

RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

This schedule provides records disposition standards for the official Department of Housing and Urban Development (HUD) files created, received, and maintained in the Office of Lead Hazard Control (LHC). LHC works to enhance public and private participation in controlling lead hazards. Services include technical assistance and outreach to the public and private sectors including local and state governments; the lead hazard control industry; the building and construction industry; realtors; landlords; home owners; parents; and others working towards a lead-safe America. LHC provides funds to cities, counties, and states to conduct the types of programs most appropriate and effective in their communities. LHC develops guidelines and regulations to assure safe conditions for occupants, especially children. In addition, technical studies are conducted to keep up with and promote innovation and technological improvements in controlling lead hazards.

Item

No.	Description of Records	Disposition
1.	CORRESPONDENCE	
a.	General Subject Correspondence Files. General subject correspondence consisting of official record copies of outgoing and original incoming correspondence, and related documents.	Temporary. Use HUD Records Disposition Schedule 3, item 1, which reads: "Break files annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier." (NARA Job NC1-207-80-5, item 1)
b.	Chronological Correspondence File. Non-record copy of correspondence.	Temporary. Use HUD Records Disposition Schedule 3, item 2, which reads: "Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier." (NARA Job NC 1-207-80-5, item 2)

RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

Item No.	Description of Records	Disposition
2.	POLICY AND ISSUANCE FILES	
a.	Official Record Set. Consists of the record copy of LHC policy and issuances including manuals, guidelines, and rules.	PERMANENT. Remove superseded or obsolete issuances to inactive file, annually at the end of each calendar year. Break inactive file every four years and transfer to National Archives. (NARA Job N1-207-97-2, item 2a)
b.	Reference Copies of Policy and Issuances. Contains reference copies of HUD directives including those developed by LHC. These copies are non-record materials.	Non-record. Use HUD Records Disposition Schedule 3, item 62e, which states: "Destroy when rescinded, superseded, obsolete, or no longer needed for reference purposes." (NARA Job NC1-207-80-5, item 62e)
c.	Policy Development Files. Contains the working papers relating to the development of directives by LHC.	Temporary. Use HUD Records Disposition Schedule 3, item 62b, which states: "Destroy 6 months after date the final printed version of the issuance is received by the Issuances Management Officer for the originating office as entered on the Clearance Log." (NARA Job NC1-207-80-5, item 62b)

RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

Item No.	Description of Records	Disposition
3.	GRANT, INTERAGENCY AND COOPERATIVE AGREEMENT FILES	
a.	Unsuccessful Grant Application Files. Contains applications, correspondence, and other related records concerning unsuccessful (rejected or withdrawn) grant applications.	Temporary. Break file at end of calendar year in which the grant application is formally closed. Retire to FRC 1 year after file break. Destroy 6 years 3 months after file break. (NARA Job N1-207-97-2, item 3a)
b.	Successful Grant Application Files. Contains applications, correspondence, and other related records concerning successful (approved) grant applications.	Temporary. Break file at end of calendar year in which the grant is formally closed. Retire to the FRC 1 year after the file break. Destroy 6 years and 3 months after file break. (NARA Job N1-207-97-2, item 3b)
c.	Grant Final Report and Product. Contains record set of grantee final report and the grant product as applicable.	PERMANENT. Break file at end of calendar year in which grant is formally closed. Retire to FRC 1 year after file break. Transfer to the National Archives 6 years and 3 months after file break. (NARA Job N1-207-97-2, item 3c)

RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

Item No.	Description of Records	Disposition
d.	Interagency and Cooperative Agreements Final Reports and Products. Contains record copy of interagency or cooperative agreement final reports and/or agreement product as applicable.	PERMANENT. Break file at end of calendar year in which the agreement is concluded. Retire to the FRC 1 year after file break. Transfer to the National Archives 6 years 3 months after file break. (NARA Job N1-207-97-2, item 3d)
e.	Government Technical Representative (GTR) Case Files.	
1)	Case File. Contains the approved grant applications, interagency and cooperative agreements, and statements of work; requests for services; requests for proposals (RFP); technical and cost proposals and modifications submitted by the grantee; copy of grant, interagency or cooperative agreement and modifications; grantee's management reports; GTR reports and memoranda; grantee interim technical reports; GTR evaluation reports; photographs of properties subject to grants; statement of final grant status; associated correspondence and other related documents.	Temporary. Use HUD Records Disposition Schedule 3, item 17, which reads, "Destroy 6 years after contract or grant is formally closed out. (NARA Job N1-207-91-1, item 17)

RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

Item No.	Description of Records	Disposition
2)	Annual Reports. Consists of all required Annual Reports either by the Secretary of HUD, the Congress, etc.	PERMANENT. Break File at end of calendar year. Transfer to the National Archives. 3 years after file break. (NARA Job N1-207-97-2, item e.2)

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
4.	Reports, Studies and Publications. Consist of record copy annual or special reports required by the Secretary of HUD or Congress; program related studies either prepared by staff or by contractors; and publications such as booklets, pamphlets, tri-fold brochures, Frequently Asked Questions, and related information distribution materials. Estimated annual accumulation: 3 inches. (Supersedes NARA Job No. N1-207-97-2, item 4)	Permanent. Cut off at end of calendar year and place in inactive file. Break inactive file every four years and transfer - four-year block to the National Archives. (NARA No. N1-207-02-4, item 4)
5.	City/Planning Records: Consist of textual reports received from the health departments of cities and counties throughout the United States. Used as background material for selecting targets for investigation. Arranged alphabetically by city name. Dates: 1999 to present. Current volume: 2 cubic feet. Estimated annual accumulation: 1 cubic foot.	Temporary. Cut off at end of calendar year in which record closes. Retire to records center one year after cut off. Destroy six years after cut off. (NARA Job No. N1-207-02-4, item 5)
6.	The Target List. A spreadsheet-based system used to identify the property managers for potential on-site inspection of lease or sale records. A new spreadsheet is started for each incoming City/Planning Report. Used as background material for selecting targets for investigation. Dates: 1999 to present.	Temporary. Cut off at end of calendar year in which record closes. Destroy six years after cut off. (NARA No. N1-207-02-4, item 6)
7.	Investigation Case Files: Consist of receipts for rent and deposits, lead based paint exposure disclosure forms, copies of leases, and other related background materials. Arrangement:	Temporary. Cut off at end of calendar year in which case is closed. Retire to records center one year after cut off.

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
	Alphabetical by name of management company or owner, thereunder by the property name, and thereunder alphabetical by name of primary lessee. Dates: 1999 to present. Current volume: 45 cubic feet. Estimated annual accumulation: 10 cubic feet.	Destroy six years after cut off. (NARA No. N1-207-02-4, item 7)
8.	Compliance Case Files: Consist of consent decrees, hearing transcripts before the civil or administrative law judge, correspondence, an abatement project plan, and reports from independent abatement inspection firms. Dates: 1999 to Present. Current volume: 10 cubic feet. Estimated annual accumulation: 5 cubic feet.	Temporary. Cut off at the end of the calendar year in which the case is closed. Retire to the record center one year after cut off. Destroy seven years after cut off. (NARA No. N1-207-02-4, item 8)
9.	Compliance Monitoring Charts. Consists of spreadsheets used to track compliance with consent decree or other settlement requirements. Dates: 1999 to Present. Current volume is 100KBs. Estimated annual accumulation: 100KB.	Temporary. Cut off at end of calendar year in which associated case is closed. Destroy six years after cut off. (NARA No. N1-207-02-4, item 9)
10.	Decree Compliance Monitoring Database Index: Database for tracking and reporting case management activities. It serves as an index for the cases and tracks case actions with data fields such as date of complaint, date of inspection, settlement/consent decree date, number of dwelling impacted, case name, case number, sanction dollar amounts, property address and names of owners, final actions taken, and others. Dates: 1999 to Present.	

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
10-a	Master Data File.	Temporary. Delete or overwrite when no longer needed for administrative, fiscal or legal reference. (NARA No. N1-207-02-4, item 10a)
10-b	Textual Documentation. Contains data dictionaries, program codes and record layouts for the data fields, user manuals, glossaries for program terms and acronyms, and related materials.	Temporary. Destroy, delete, or overwrite when superseded or obsolete. (NARA No. N1-207-02-4, item 10b)
10-c	Outputs. Regular and ad hoc reports.	Temporary. File in appropriate record series or destroy or delete when no longer needed for administrative, legal, fiscal, or reference purposes, as applicable. (NARA No. N1-207-02-4, item 10c)
10-d	Back-up Files.	Temporary. Destroy or delete when superseded or obsolete. (NARA No. N1-207-02-4, item 10d)

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
11.	<p>Statement of Inadequate Capacity (SIC) and Transition Implementation Plans (TIP). This is a closed series containing statements by jurisdictions documenting their localities' inadequate capacity to meet regulatory requirements to build capacity in lead-safe work practices for workers performing rehabilitation or maintenance in federally assisted housing, training for risk assessors, and abatement contractors as prescribed in Rule 1012. Also contains transition implementation plans documenting the jurisdictions' good faith efforts to build capacity, correspondence, forms, and related materials. Arranged by sequential number issued when the SICs and TIPs were received. Dates: September 11, 2000 – January 10, 2002. Total Volume: Approximately 35 cubic feet.</p>	<p>Temporary. Retire to records center immediately. Destroy after January 10, 2008. NARA No. N1-207-02-4, item 11)</p>
12.	<p>Electronic Copies. Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule and/or the series scheduled in N1-207-97-2, to cover all currently scheduled records of the Office of Healthy Homes and Lead Hazard Control.</p>	
12-a	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.</p>	<p>Temporary. Delete within 180 days after the record keeping copy has been produced. (NARA No. N1-207-02-4, item 12a)</p>

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
12-b.	Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.	Temporary. Delete when dissemination, revision, or updating is complete. (NARA No. N1-207-02-4, item 12b)

Duplicative, fragmentary, nonrecord materials and items covered by the General Records Schedule may be disposed of without further permission from the Department of Housing and Urban Development.