

Request for Records Disposition Authority

Records Schedule Number DAA-0207-2014-0002

Schedule Status Approved

Agency or Establishment Department of Housing and Urban Development

Record Group / Scheduling Group General Records of the Department of Housing and Urban Development

Records Schedule applies to Major Subdivision

Major Subdivision Office of the Inspector General

Schedule Subject HUD-OIG Simplified Records Schedule

Internal agency concurrences will be provided No

Background Information The HUD OIG Simplified Records Schedule covers all program, operations, and administrative records created by the OIG. This schedule applies to all formats and media in which records are created and maintained at OIG and authorizes the disposition of records in any media.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	2	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0207-2014-0002

Sequence Number	
1	Inspector General records Disposition Authority Number: DAA-0207-2014-0002-0001
2	Program Records
2.1	Historically Significant OIG Program Records Disposition Authority Number: DAA-0207-2014-0002-0002
2.2	All Other OIG Program Records Disposition Authority Number: DAA-0207-2014-0002-0003

Records Schedule Items

Sequence Number	
1	<p>Inspector General records</p> <p>Disposition Authority Number DAA-0207-2014-0002-0001</p> <p>The substantive records of official activities of the Inspector General as an individual that document the policies and programs of HUD OIG, including correspondence, memoranda, project files, subject files, studies, decisions, meeting minutes, speeches, public communications, briefing books, schedules of official activity, Congressional relations, and all external/public/substantive reports, including the Semi-Annual Reports to Congress and the final reports for all audits. These records include those records that originate with or are created and signed by the Inspector General; that include significant notes to the file made by the Inspector General; or that contain substantive information created or received relating to official activities of the Inspector General. Excluded are the personal papers of the Inspector General as well as the routine records described in items #3-4 below</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-207-91-2 / 1/a N1-207-91-2 / 2/a N1-207-91-2 / 3/a</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually or when the incumbent leaves office.</p> <p>Transfer to Inactive Storage Transfer to off-site storage in five-year blocks for storage/pre-accessioning.</p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after cutoff</p> <p>Additional Information</p>

What will be the date span of the initial transfer of records to the National Archives? **Unknown pre-2011 records from previous IGs**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper	5 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Program Records

Records containing information relating to the official activities of the program offices within the Office of the Inspector General, including the case files for strategic projects, Audits, Investigations, Evaluations, Hotline, and Legal.

2.1

Historically Significant OIG Program Records

Disposition Authority Number **DAA-0207-2014-0002-0002**

Records of all cases that: attract national news media attention; result in Congressional investigation; or result in substantive changes to agency policies and procedures. For example, the OIG's investigation into illegal lobbying in 2014 by HUD senior officials.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-207-90-2 / 1/a/1/a [also known as item 81a(l)a]**

Disposition Instruction

Cutoff Instruction Cutoff 2 years after the case is closed and no further actions are pending.

Transfer to Inactive Storage Transfer to off-site storage in five-year blocks for storage/pre-accessioning.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
These are handled on a case-by-case basis.

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 MB	5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

All Other OIG Program Records

Disposition Authority Number DAA-0207-2014-0002-0003

Records containing non-significant investigation and audit case files; working papers; background materials; indexes to case files; etc. Examples include routine audits of housing authorities and investigations that do not garner broad attention.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NC1-207-85-1 / 79 N1-207-99-1 / 7 N1-207-90-2 / 1/a/1/b [also known as item 81(a)(1)(b)] NC1-207-85-1 / 81/a/2 NC1-207-85-1 / 82 NC1-207-85-1 / 84 NC1-207-84-1 / 18 NC1-207-85-1 / 81/b N1-207-91-2, / 1/b N1-207-91-2 / 2/b N1-207-91-2, / 3/b NC1-207-85-001 / 81/a/1/a
Disposition Instruction	
Cutoff Instruction	Cut off 2 years after case file is closed and no further actions are pending.
Transfer to Inactive Storage	Transfer to off-site storage 2 years after the case is closed.
Retention Period	Destroy 10 year(s) after closure
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/04/2014	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
01/28/2016	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/08/2016	Submit For Certification	Cheryl Stadel-Bevans	Records Management and FOIA Officer	Office of the Inspector General - Office of Legal Counsel
03/23/2016	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
07/20/2016	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/25/2016	Submit For Certification	Cheryl Stadel-Bevans	Records Management and FOIA Officer	Office of the Inspector General - Office of Legal Counsel
09/07/2016	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
09/08/2016	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services

09/08/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/08/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/09/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Old Schedule	Item #	Intermediate Supersede	Current Supersede	HUD 2225.6, Appendix 3
NC1-207-84-1	Item 18, all parts		Item 0003	Item 86
NC1-207-85-1	Item 79(a)		Item 0003	Item 79(a)
NC1-207-85-1	Item 79(b)		Item 0003	Item 79(b)
NC1-207-85-1	Item 79(c)	N1-207-99-1, Item 7(a)	Item 0003	Item 79(c)
NC1-207-85-1	Item 81(a)(1)(a)	N1-207-90-2, Item (a)(1)(a)	Item 0002	Item 81(a)(1)(a)
NC1-207-85-1	Item 81(a)(1)(b)	N1-207-90-2, Item (a)(1)(b)	Item 0003	Item 81(a)(1)(b)
NC1-207-85-1	Item 81(a)(2)		Item 0003	Item 81(a)(2)
NC1-207-85-1	Item 81(b)		Item 0003	Item 81(b)
NC1-207-85-1	Item 82, all parts		Item 0003	Item 82
NC1-207-85-1	Item 84, all parts		Item 0003	Item 86
N1-207-90-2	Item (a)(1)(a)		Item 0002	Item 81(a)(1)(a)
N1-207-90-2	Item (a)(1)(b)		Item 0003	Item 81(a)(1)(b)
N1-207-91-2	Item 1(a)		Item 0001	Item 85(a)
N1-207-91-2	Item 1(b)		Item 0003	Item 85(b)
N1-207-91-2	Item 2(a)		Item 0001	Erroneously listed as Item 80 in the Manual. Item 80 should still be GAO Audit Report Files as listed in NC1-207-85-1, item 80. (Reports by the GAO on HUD, not HUD OIG reports.)
N1-207-91-2	Item 2(b)		Item 0003	
N1-207-91-2	Item 3(a)		Item 0001	Item 84(a)
N1-207-91-2	Item 3(b)		Item 0003	Item 84(b)
N1-207-99-1	Item 7		Item 0003	Item 79(c)

Proposed Item # (proposed NARA draft)	Item Title	Results of NARA Review – (list of items from previously approved schedules which appear to be superseded by this schedule submission)	HUD Confirmation of Possible Superseded Items
Item 0001	Inspector General Records	N1-207-91-002, item 3a Monthly Reports of Investigations and Audits to the Secretary appears to be superseded by Item 0001. If in agreement please add to ERA as a superseded authority for this item.	
Item 0002	OIG Program Records	N1-207-90-002 item 1a(i), item 1a(ii) and item 1a(iii) Investigation Case Files (Headquarters-Case Files of Historical Value appear to be superseded by Item 0002. If in agreement please add to ERA as a superseded authority for this item. In addition please remove "Item 81" from the GRS or Superseded Authority Citation in ERA. "Item 81" is an internal HUD manual number and not part of the valid authority for the schedule cited.	
Item 0002	OIG Program Records	N1-207-91-002, item 1a Semi-Annual Reports to Congress (Official Copy) appears to be superseded by Item 0002. If in agreement please add to ERA as a superseded authority for this item.	
Item 0002	OIG Program Records	N1-207-91-002, item 2a Final Reports of Audits (Official Copy) appears to be superseded by Item 0002. If in agreement please add to ERA as a superseded authority for this item.	
Item 0002	OIG Program Records	N1-207-91-002, item 3a Monthly Reports of Investigations and Audits to the Secretary (Official Copy) appears to be superseded by Item 0002. If in agreement please add to ERA as a superseded authority for this item. Please note, "item 3 is technically missing from the schedule for "Monthly Reports..." , but is implied in the 1991 job.	
Item 0003	All Other OIG Program Records	N1-207-90-002, item 1b Investigation Case Files (Headquarters-All other case files) appears to be superseded by Item 0003. If in agreement please add to ERA as a superseded authority for this item.	
Item 0003	All Other OIG Program Records	N1-207-91-002, item 1b Semi-Annual Reports to Congress (Agency Reference Copies) appears to be superseded by Item 0003. If in agreement please add to ERA as a superseded authority for this item.	

Item 0003	All Other OIG Program Records	N1-207-91-002 item 2b Final Reports of Audits (Agency Reference Copies) appears to be superseded by Item 0003. If in agreement please add to ERA as a superseded authority for this item.	
Item 0003	All Other OIG Program Records	N1-207-91-002 item 3b Monthly Reports of Investigations and Audits to the Secretary (All other copies) appears to be superseded by Item 0003. If in agreement please add to ERA as a superseded authority for this item. Please note, "item 3 is technically missing from the schedule for "Monthly Reports...", but is implied in the 1991 job.	
Item 0003	All Other OIG Program Records	Please note in your schedule submitted to ERA you have cited N1-207-90-2, item 81 in the GRS or Superseded Authority Citation field in item 2.2 All Other Program Records. This is not a valid citation. NARA believes the proper citation should read, NC1-207-85-001, item 81a and appears to be superseded by item 0003 of this schedule. If in agreement please add to ERA as a superseded authority for this item.	
Item 0003	All Other OIG Program Records	NC1-207-84-01, item 18, OIG Automated Systems (including sub-items 1-7) is the valid authority for GO1-GO4. NC1-207-85-01, item 84 OIG Automated Systems (including sub-items 1-7) is the valid authority for GO5, GO7, and GO8. Please confirm if these two authorities need to be added to ERA as superseded authorities for this item.	