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TO: GENERAL SERVICES ADMINISTRATION		DATE RECEIVED OCT 2 4 1975	јов но. С <b>- 207 - 76 - 4</b>
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, 1. FROM (AGENCY OR ESTABLISHMENT) Department of Housing and Urban De 2. MAJOR SUBDIVISION Assistant Secretary for Housing Ma 3. MINOR SUBDIVISION	evelopment	In accordance with the provis posal request, including amo	DN TO AGENCY ions of 44 U.S.C. 3303a the dis- endments, is approved except for 'disposal not approved'' or ''with-
4. NAME OF PERSON WITH WHOM TO CONFER Bruce H. Vincent 6. CERTIFICATE OF AGENCY REPRESENTATIVE:	5. TEL. EXT. 755 6700	<u>1-20-76</u> (Date) Arct	NSBR odu

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<ul> <li>REVOLVING FUND (LIQUIDATING PROGRAMS) RECORDS</li> <li>This schedule provides disposition instructions for records of programs that are in liquidation that have been transferred to the HUD Revolving Fund.</li> <li>This schedule superseded the following schedules of HUD and its predecessor agency Housing and Home Finance Agency - Office of the Administrator:</li> <li>1. Accelerated Public Works Program, Job No. NN-165-59, approved 5-13-65.</li> <li>2. Advances for Public Works Planning Program, Job No. NN-166-137, approved 3-14-66.</li> <li>3. Alaska Housing Program, Job No. NN-166-115, approved 3-14-66.</li> <li>4. Lanham Act War Public Works Program, Job No. II-NN-3454, approved 9-26-61.</li> <li>5. Public Facility Loan Program and Defense Community Facilities and Services Program, Job No. II NNA-3141, approved 3-1-60.</li> </ul>	7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
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		Facilities and Services Program, Job No. II NNA-3141,		

#### **RECORDS SCHEDULE 16**

### REVOLVING FUND (LIQUIDATING PROGRAMS) RECORDS

The Revolving Fund (Liquidating Programs) was established by the Independent Offices Appropriation Act of 1955 to provide a single fund to assist in the efficient liquidation of assets under various housing and urban development programs. The assets of certain war and emergency housing constructed under the Lanham and related Acts, Alaska Prefabricated Housing, War Public Works, Defense Community Facilities, and Reconstruction Finance Corporation Public Agency Loan Programs were initially included in this fund. At the end of FY 1970, the Public Works Planning Advances, Grants to Aid Advance Acquisition of Land, the Accelerated Public Works Program, and the Alaska Housing Grants and Loans Programs were terminated and the assets were transferred to this fund for liquidation.

Pursuant to Section 117 of the Housing and Community Development Act of 1974, which provides for the transfer for liquidation of community development programs, the Grants for Basic Water and Sewer Facilities, Grants for Neighborhood Facilities, the Open Space Land Program, and the Public Facility Loans Program will be transfered in 1975. The Rehabilitation Loan Program will be transfered subsequent to its termination in FY 1976 as provided in the Act. The Assistant Secretary for Community Planning and Development will retain the responsibility for monitoring these programs until they have been officially transferred to the Revolving Fund for liquidation. The Assistant Secretary for Housing Management will be responsible for monitoring programs transferred to the Revolving Fund.

This schedule covers records accumulated by the Department of Housing and Urban Development, and predecessor agencies, for the following Revolving Fund Programs whether located in the Headquarters Office or field locations.

Item

No.

## Description of Records

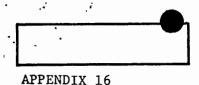
#### Disposition

APPENDIX 16

## A. GENERAL PROGRAM RECORDS

The records described under Section A are common to more than one program. All programs do not have all records described under this Section. Use these items for disposition of appropriate records of all programs. For disposition instructions for other records, see items listed under the specific programs.

 Chronological Files. These are temporary non-record files used for reference. Destroy after 3 years old.



#### Description of Records

- 2. General Subject (Program) Files consisting of basic statues, legislative proposals, legal opinions, Congressional statements, organization charts, termination of functions, delegations of authority, redelegations, policy statements, operating procedures and instructions, accounting and fiscal reporting, sample copies of forms, agendas and minutes of meetings, decisions and recommendations, reports, contracts, agreements, memorandums of understanding, and studies.
  - a. Headquarters Office Files.
    - ( 1 cu.ft. per year)
  - b. All other files including Area and Regional Offices.
- General Subject Files. (Housekeeping Records)
- 4. Administrative Procedures, Informational Releases and Publications consisting of dissemination of informational and promotional material including press releases, speeches, handbook issuances, publications, and similar material
  - a. Headquarters Office Files.
  - b. All other files incuding Area and Regional Offices.

PERMANENT. Offer to National Archives upon

Disposition

completion of program.

Destroy when file is 4 years old.

Use applicable GSA Records Schedules.

Retain one complete set of each type of issuance for offer to National Archives upon completion of program. Destroy when superseded or obsolete. Review every 3 years and destroy when superseded with second with the superseded of the supersed of the superseded of the supersed of the superseded of the supersed of the superseded of the superseded of the superseded of the superseded of the supersed of the s



Item <u>No.</u>	Description of Records	Disposition
5.	Requisition files.	
	Area and Headquarters Office Files.	Destroy 3 years after final disbursement and satisfactory close of final audit.
6.	Construction Contract Documents.	
	Area and Headquarters Office Files.	Destroy 3 years after satisfactory settle- ment of contract and close of final audit.
7.	Bond Transcript Documents.	
,	Area and Headquarters Office Files.	Destroy 3 years after all bonds purchased have been redeemed, and all agreements termi- nated.
		When long-term govern- ment loan is rescinded by sale of bonds to private investor, the

 Withdrawn, Cancelled, Disapproved or Deferred Applications and related correspondence.

 Project Control Record consisting of individual applicant status record documenting actions taken from application to project completion stage.

Area Office Files.

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Withdrawal, cancellation, disapproval, or deferral.

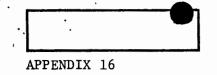
Destroy 3 years after

upon completion of sale.

record set of bond transcript documents shall be released to private investor

PERMANENT. Send as a

#### HUD-Wash., D. C.



Description of Records

( 20 cu. ft. total)

- Progress Record Cards maintained in various organizational units.
- Contractors' Payrolls, consisting of weekly payrolls, with related certifications.

12. Field Engineers' Project Records.

 Field Engineers' General Subject Files. Disposition

complete unit 1 year after liquidation to Paperwork Management Branch for offer to the National Archives.

Destroy 2 years after recording final action on card.

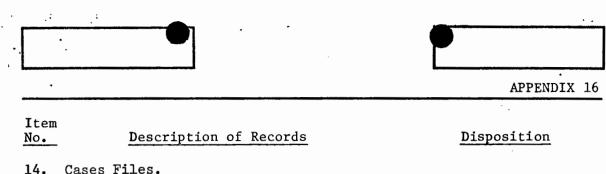
Destroy 6 months after final project inspection unless wages or other matter involving the payrolls are in dispute or question, in which instance destroy after case is satisfactorily closed.

Destroy 1 year after satisfactory completion of contract and final settlement.

Destroy when material has no further reference need, or when obsolete. Review every 3 years.

## B. ADVANCES FOR PUBLIC WORKS PLANNING PROGRAM

This schedule covers records under the Advances for Public Work Planning Program under the First Advance Planning Program, Public Law 78-458 (Title V of the War Mobilization and Reconversion Act of 1944); the Second Advance Planning Program, Public Law 81-352; the Public Works Planning Program authorized by Section 702 of the Housing Act of 1954, Public Law 83-560 and the Housing Amendments of 1955, Public Law 84-345; Section 602 of the Housing Act of 1964, Public Law 88-560; Section 6 of the Public Works Acceleration Act of 1965, Public Law 87-658; the Housing and Urban Development Act of 1965, Public Law 89-117. (This was HUD Records Schedule 16 - NN-166-137, approved 3-14-66).



- 4. Cases Files. Repaid or refunded advances (including Justice Department settlements), advances where liability for repayment is terminated, advances with agreements terminated where there is no reasonable likelihood that the public work or portion of the public work will be constructed, and advances where liability for repayment is canceled for facilities constructed with an Accelerated Public Works Program grant.
  - a. Fiscal Files.

Regional Office Files.

b. Program Files.

Area and Headquarters Office Files.

15. Case files relating to unpaid advances, where the liability has not been terminated, where the agreements have not been terminated, or where a compromise settlement has not been made.

Area and Headquarters Office Files.

-(-60 eu. ft. total)

Destroy 3 years after close out of project or satisfactory audit if sooner.

**Ø**Destroy 1 year after satisfactory settlement of account or final audit if sooner. A)Headquarters will select two case files for each five year period for offer to National Archives. Come shall be selected from amale and earge watte mo mide tracio rep type for noter ske

**DERMANENT.** When advances are repaid, liability and agreements termi-

HUD-Wash., D. C.

APPE	NDI	X 16	
Item No.	l -	Description of Records	Disposition
	c.	PUBLIC FACILITY LOAN PROGRAM AND DEFENS FACILITIES AND SERVICES PROGR	
<b>an</b> d Pub1 84-3	Defe ic H 45;	nedule covers records under the Public H ense Community Facilities and Services H Facility Loans, of the Housing Amendment the Defense Housing and Services Act, H Records Schedule 21 - II NNA-3141, appr	Facility Loan Program <b>force</b> Program under Title II, as of 1955, Public Law Public Law 83-163. (This
16.	App	olication and Loan Agreement Files.	
	a.	When long-term government loan is rescinded by sale of bonds to private investor.	
		Area and Headquarters Office Files.	Destroy 3 years after loan is rescinded.
	b.	Projects partially or wholly financed with Federal funds through bond purchase agreements.	
		Area and Headquarters Office Files.	Destroy 3 years after all bonds purchased have been redeemed, or sold, and loan agree- ment terminated.
	c.	Projects receiving Federal grant only (no Federal loanDefense Community Facilities Program).	
		Area and Headquarters Office Files.	Destroy 3 years after close of final audit.
17.		respondence relative to any stage the project consisting of communi-	

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## Description of Records

meetings and attendance, and other communications of obvious transitory value.

Area and Headquarters Office Files.

- Loan Servicing Files -- established only when bonds are purchased by the Federal government.
  - a. Documentation between HUD and borrower evidencing borrower's understanding and agreement to continue compliance with covenants and pledges of loan documents; noncompliance with requirements of loan agreement or bond resolution.

Area and Headquarters Office Files.

b. Correspondence including acknowledgements and transmittals, and other communications of obvious transitory value not affecting status of loan repayment.

Area and Headquarters Office Files.

c. Reports consisting d f initial, annual, and special reports submitted by borrower or auditor to HUD.

Area and Headquarters Office Files.

## Disposition

Destroy when 2 years old.

Destroy 3 years after repayment of the loan and termination of loan agreement.

Destroy after 2 years.

Destroy 3 years after exceptions have been satisfactorily resolved. If no exceptions, retain current and previous year's report.

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ADDENDTY	16	

Item No.

Description of Records

Disposition

## D. ACCELERATED PUBLIC WORKS PROGRAM

This schedule covers records under the Accelerated Public Works Program under the Public Works Acceleration Act, Public Law 87-658. (This was HUD Records Schedule 30 - NN-165-59, approved 5-13-65).

19. Application and Grant Agreement Destroy. Files.

E. ALASKA HOUSING PROGRAM

This schedule covers records under the Alaska Housing Program under the Alaska Housing Act, Public Law 81-52, as amended. (This was HUD Records Schedule 33 - NN-166-115, approved 3-14-66).

20. Case Files consisting of applications, Agency examiner reports, review committee recommendations, articles of incorporation, by-laws, financial statements, resolutions, minutes of meetings, disbursement procedures, loan authorizations, bond purchase agreements and resolutions, abstract of title, progress payments, certifications, depository agreements, opinion of counsel, insurance policies, progress reports, appointment of receiver, receiver's reports, proposal for sale of property, and related correspondence.

a. Headquarters Office Files.

 Application, Agency review reports and recommendations, final progress report, evidence of settlement or repayment. (6 cu. ft. total)

(2) All other records.

 Regional Office and Alaska Representative Files. PERMANENT. One year after liquidation of program, offer to National Archives.

Destroy 3 years after settlement, repayment, or refunding of loan.

Destroy 3 years after settlement, repayment, or refunding of loan.

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# Item No. Description of Records

- 21. Title Papers and Property Documents.
  - Papers documenting acquisition of real property by foreclosure or otherwise.
  - b. Quitclaim deed and bill of sale transferring property to Alaska State Housing Authority.
  - c. Original deed of trust notes and trust on Nunaka Valley properties securing the Alaska State Housing Authority refunding bonds are held in trust for the Federal Government by the Alaska State Housing Authority.

Copies of closing settlement sheets, deed of trust notes, quitclaim deeds and deed of trust on Nunaka Valley lots and dwelling units conveyed to individual purchasers prior to the transfer of the Anchor Park project to the Alaska State Housing Authority by May 1, 1960 quitclaim deed.

22. Bond Refunding Documents consisting of By-Laws, minutes of meetings, resolutions, and certificates of the Alaska State Housing Authority; bond refunding agreement, assignment of deeds of trust, and opinion of counsel. ( 1 cu ft. total)

- 23. Loan Management File.
  - Substitution of liability, trustee, moratorium of principal

#### Disposition

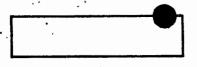
Destroy 10 years after unconditional sale or release by the Government without continuing conditions, restric--tions, mortgages, or liens.

PERMANENT. After release by the Government, offer to National Archives.

Destroy 6 years after transfer of property to individual purchasers.

PERMANENT. After liquidation of program, offer to National Archives.

Destroy 3 years after repayment of loan and



## Item No. Description of Records

payments, repayment of loan and interest, and compliance with covenants and pledges of bond refunding agreement.

- b. Correspondence including acknowledgements and transmittals, and other communications of obvious transitory value not affecting status of loan repayment.
- c. Reports including Report of Delinquent Deeds of Trust, Contracts, and Mortgages securing refunding bonds, and Alaska State Housing Authority Audit Reports.

#### Disposition

termination of agreement.

Destroy after 2 years.

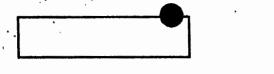
Destroy 3 years after exceptions have been satisfactorily resolved. If no exceptions, retain current and previous year.

## F. ADVANCE ACQUISITION OF LAND PROGRAM

This schedule covers records under the Grants to Aid Advance Acquisition of Land Program under Section 704 of the Housing and Urban Development Act of 1965, Public Law 89-117.

24. Application and Grant Files consisting of: applications and supporting documents; grant contracts with waivers of amendments; allocation orders; fund reservations; review reports and recommendation; requisitions; bid and contract documents; final completion and inspection reports; certificate of final completion; and final project cost, trip, relocation, and audit reports; and related correspondence.

> Section 704(c) and (d) of the Housing and Urban Development Act of 1965 require that land acquired shall be utilized for a public purpose within 5 years after a contract is entered into and prohibit the conversion of



## Item No.

## Description of Records

acquired land to other uses without approval of the Secretary. The records are required for information on the original and subsequent approved land use.

Area and Headquarters Office Files.

## Disposition

Transfer to the Federal Perordo Center 3 years ofter min orticlochory construct settlement. PERMIENT. Review files and statutory requirements in 1995 to delar min is the law has been ormended to allow

G. LANHAM ACT WAR PUBLIC WORKS PROGRAM destruction of the fits

This schedule covers records under the Lanham Act, P.L. 849, as amended. This was HHFA-OA Schedule 14 - II NN-3454, approved 9-26-61).

25. Microfilm reels of project records containing land acquisition, application and loan agreement, priority determinations, construction, and fiscal records filmed under the microfilm and disposal arrangement initiated in 1946.

Headquarters Office Files.

( 20 cu. ft. total)

- 26. Fiscal preconstruction, and construction material on projects which have been sold, transferred, or otherwise disposed of.
- 27. Title papers and property documentation.
  - Papers documenting acquisition of real property by purchase, donation, condemnation, exchange, or otherwise.

PERMANENT. Offer to National Archives when all property has been sold, transferred or disposed of.

Destroy.

Destroy 10 years after unconditional sale or release by the Government without continuing conditions, restrictions mortgages or liens.

HUD-Wash., D. C.

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Item No.

## Description of Records

b. Abstracts of title.

c. Bill of sale and quitclaim deed.

( 2 cu. ft. total)

- d. Property Management records, consisting of leases, tranfer, inspection reports, property receipts, insurance coverage, offer to purchase, acceptance of offer, and approval documents.
- 28. President's books consisting of justification and recommendations from the Office of Education, Surgeon General, and Federal Works Agency for approval of facility; President's approval and information summary sheet.
- (13 cu. ft. total) Loan servicing file (established only the bonds are purchased by the Federal Government) containing documentation between Regional Administrator, trustees, and borrower, evidencing borrower's understanding and agreement to continue compliance with convenants and pledges of loan

## Disposition

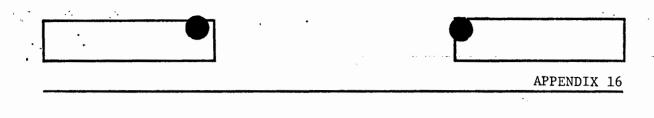
Transfer to purchaser after unconditional sale or release by the Government without continuing conditions, restrictions, mortgages or other liens. If transfer of abstract has not been effected, destroy after satisfactory settlement of the continuing conditions referred to above.

PERMANENT. Offer to National Archives after program is liquidated.

Destroy 7 years after termination of agreements and transfer of property to other Federal or local public agencies.

PERMANENT. Offer to National Archives after program is liquidated.

Destroy 3 years after all bonds purchased have been redeemed or sold and all agreements terminated.



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## Description of Records

## Disposition

documents; noncompliance with requirements of loan agreement or bond resolution.

## H. PREFABRICATED HOUSING LOANS PROGRAM

This schedule covers records under the Veterans' Emergency Housing Act of 1946, P.L. 388 and the Housing Act of 1948, P.L. 464 relating to Prefabricated Housing Loans transferred from the Reconstruction Finance Corporation by Reorganization Plan 23 of 1950. (347-S58, approved 9-17-46).

- 30. Application and Loan Files.
  - Applications, examiners' reports, release deeds evidencing repayment, satisfaction or settlement of mortgage; and bills of sale and quitclaim deeds on property acquired through foreclosure and disposal by Federal Government. ( 20 cu. ft. total)
    - and disposal by Federal Government. (20 cu. ft. total) Financial statements, balance sheets, Deport and loss statements, credit da reports; loan authorizations and se amendments, minutes of meetings; da preliminary reports; certificates of insurance, fire insurance policies, power of attorney, and

PERMANENT. Offer to National Archives after program is liquidated.

Destroy 6 years after date of final payment, settlement or liquidation of loan.

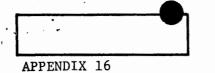
## I. RECONSTRUCTION FINANCE CORPORATION LOANS PROGRAM

This schedule covers Reconstruction Finance Corporation loans with States, municipalities, public agencies, and public bodies and loans for drainage and irrigation projects transferred by Reorganization Plan No. 1 of 1957. (347-S58, approved 9-17-46).

31. Application and Loan Files.

related correspondence.

 Application, examiners' reports and evidence of repayment or settlement of loans
 ( 40 cu. ft. total) PERMANENT. Offer to National Archives after program is liquidated.



## Description of Records

b. Financial statements, balance sheets, profit and loss statements; loan authorizations and amendments, minutes of meetings, preliminary reports; certificates of insurance fire insurance policies, power of attorney, and related correspondence.

## Disposition

Destroy 6 years after date of final payment, settlement or liquidation of loan.