

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		EAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-207-03-3	DATE RECEIVED 2-21-2003
1 FROM (Agency or establishment) Department of Housing and Urban Development		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of General Counsel (OGC)		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Ernestine Howard, RMLO Pauline Grant, Management Analyst	5 TELEPHONE (202) 708-0614 x090 (202) 708-0614	DATE 090 x7297	ARCHIVIST OF THE UNITED STATES Withdrawn

6 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 on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 1/30/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda Smoot</i> Brenda Smoot	TITLE Departmental Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>RECORDS DISPOSITION SCHEDULE 2</p> <p>LEGAL RECORDS</p> <p>The Department of Housing & Urban Development is proposing to add items 21. Imaging, 22. Compliance Tracking System, (CTS), and 23. Departmental Tracking System, (DTS) to Schedule 2, Legal Records, 2225.6 handbook to provide descriptions and disposition instructions for these new records. These files are not used for or needed for financial matters related to HUD activities, therefore, General Accounting Office, (GAO) concurrence is not required.</p> <p>See the attached Descriptions of Records and Disposition instructions for the Office of General Counsel new records for your approval.</p>	<p>WITHDRAWN 5/8/2003</p>	<p><i>Suzanne Myrick Kelly</i> OFFICE OF GENERAL COUNSEL, (OGC) 1/30/03</p> <p><i>Clarence Brantley</i> 1/29/03 OFFICE OF INSPECTOR GENERAL, (OIG)</p>

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

This Schedule provides disposition instructions for those records relating to the legal functions of the Department. Legal functions are the main responsibility of the Office of General Counsel, the HUD Board of Contract Appeals and the Office of the Administrative Law Judge. The Office of General Counsel provides legal advice, opinions and services regarding all programs, policies and activities of the Department. The HUD Board of Contract Appeals issues final decisions for the Secretary in all contract disputes which are appealable to the Court of Claims up to 6 years after the date of issue. The Board also issues decisions in other administrative appeals that become final 30 days after issue. The Administrative Law Judge issues decisions in administrative appeal areas where the right to a hearing is granted by statute or agreement.

This Schedule covers legal records kept in Field Offices as well as in Headquarters. Some HUD offices other than those listed above may also have records relating to a legal activity and those records are also covered by this Schedule. The Schedule also covers legal records created by HUD's predecessor agencies.

Item

No. Description of Records

Disposition

1. Proposed and final rules and notices.

Consists of material published in the Federal Register. Final rules have the effect of law and are codified in the Code of Federal Regulations (CFR). Rules are also known as regulations.

a **Case history files** Official record copy. Includes drafts showing development of rule or notice, clearance records, public comments, signed documents. Case history files from 1970 to present are maintained in Headquarters Office of General Counsel. Case history files prior to 1970 are maintained in originating program offices.

(1) **Public docket file.** Consists of public comments received on proposed rules, environmental impact findings, inflationary impact findings, or findings on need for

Close file after the final rules become effective and place in inactive file. Retire to Federal Records Center 3 years after close of file or when volume

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	or findings on need for regulatory analysis, and signed copies of the proposed and final rules in the same form as sent to the Federal Register for publication	file or when volume warrants. Destroy 20 years after close of file. (NARA Job NC1-207-79-11, item 1a(1))
(2)	Internal file Consists of copies of proposed and final rules as sent through internal clearance process, Clearance records, internal HUD Comments on the proposed and Final rules, and notes from internal HUD meetings held to discuss the proposed or final rules	Close file after the final rules become effective and place in inactive file. Retire to Federal Records Center 3 years after close of file or when volume warrants Destroy 10 years after close of file (NARA Job NC1-207-79-11, item 1a(2))
(3)	General notice files. Also called N-series docket files Consist of copies of general notices as sent through clearance process, clearance records, internal HUD records, internal HUD comments on general notices and signed copies of general notices in the same form as sent to the Federal Register for publication Includes notices of delegations of authority.	Close file after notice published in the Federal Register and place in inactive file Retire to Federal Records Center 3 years after close of file or when volume warrants. Destroy 5 years after close of file (NARA Job NC1-207-79-11, item 1a(3))
b.	Working papers and background material not significant enough to be a part of the case history files	Destroy 6 months after date the final regulation or notice is published in the Federal Register. (NARA Job NC1-207-79-11, item 1b)

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c.	Extra copies of the clearance package for the regulation or notice which are distributed for concurrent clearances Includes the comments given to clearance point for preparation of a consolidated response. Does not include those parts of the package and responses which become part of the case history file.	Destroy when 3 years old or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-79-11, item 1c)
d.	Printed Code of Federal Regulations (CFR) volumes. Title 24 CFR contains Housing and Urban Development regulations Each volume of the CFR is revised at least once each calendar year. Title 24 CFR is updated as of April 1 each year	Destroy when later revised CFR volume is received. (NARA Job NC1-207-79-11, item 1d)
e	Printed daily issues of the Federal Register. The CFR is kept up-to-date by the individual issues of the Federal Register The two publications must be used together to determine the latest version of any given rule. A revised CFR volume incorporates the final regulations on the same subject area which were published in the Federal Register since the last revision of that CFR volume. Title 24 of the CFR revised as of April 1, 1979, will contain all final Housing and Urban Development regulations published in the Federal Register since April 1, 1978.	
(1)	Issues containing notices or proposed or final regulations related to the same subject area as the CFR volumes being maintained	Keep issues printed since the revision date of the current CFR volume. When a later revised CFR volume is received,

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		destroy all issues of the daily Federal Register printed before the revision date of the CFR volume. (NARA Job NC1-207-79-11, item 1e(1))
(2)	All other issues.	Destroy after review and finding that the issue does not contain any notices or proposed or final regulations related to the same subject area as the CFR volumes being maintained. (NARA Job NC1-207-79-11, item 1e(2))
f.	Printed or processed copies of individual proposed or final regulations or notices as published in the Federal Register.	Destroy when rescinded, superseded, obsolete or no longer needed for reference (NARA Job NC1-207-79-11, item 1f)
2	Delegations of authority files. Include redelegations and revocations or withdrawals of authority.	
a	Each separate delegation.	
(1)	Record copy of delegations published in the Federal Register. Includes background material and record of concurrences or clearances. These files are kept by the Headquarters Office of General Counsel as part of the general notice files (see item 1a(3) of this Schedule).	Use the disposition instruction for item 1a(3) of this Schedule. (NARA Job NC1-207-79-11, item 2a(1))
(2)	Record copy of delegations not published in the Federal Register. Includes background material. These files are kept by the originating office	Destroy when 6 years old. (NARA Job NC1-207-79-11, item 2a(2))

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LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(3) All other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-79-11, item 2a(3))
b	Printed book of current delegations. Compiled by Headquarters Office of General Counsel. This book is distributed to certain Headquarters and Field Offices. It is updated quarterly.	
	(1) Master set kept by the Headquarters Office of General Counsel unit which compiles the book.	
	(a) Delegations published in the Federal Register.	Destroy when superseded or obsolete. (NARA Job NC1-207-79-11, item 2b(1)(a))
	(b) Unpublished delegations.	Place superseded or rescinded delegations in inactive file. Destroy 6 years after end of calendar year in which delegation is superseded or rescinded. (NARA Job NC1-207-79-11, item 2b(1)(b))
	(2) All other sets.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-79-11, item 2b(2))
3.	Tort claims case files. Consist of records concerning claims for damages against the United States for personal injury or death or	Destroy 3 years after case is closed. (NARA Job NC1-207-79-11, item 3)

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

Item No.	<u>Description of Records</u>	<u>Disposition</u>
	loss of property caused by a Departmental employee. Files include claim form, evidence, investigation statements, decision and related correspondence	
4.	Employees' personal property claims case files. Consist of records concerning claims filed by HUD employees for loss or damage to personal property connected with Government service.	Destroy 3 years after case is closed. (NARA Job NC1-207-79-11, item 4)
5	Official Litigation Case Files Each file contains all documents and correspondence pertaining to any case in which a Department official or employee is a party, from filing of complaint until entry of final judgment. Includes cases in which the Department files as a friend of the court but is not actually a party	
*	a. Official litigation case files specifically identified by a Headquarters Associate General Counsel or a Regional Counsel as having unusual significance for the Department. Such cases will be segregated by office personnel prior to retirement to the Federal Records Center.	Close file and retire to Federal Records Center after entry of order or last appeal (final judgment). Destroy 7 years after entry of order or last appeal (final judgment). (NARA Job NC1-207-79-11, item 5a)
	b. All other official litigation case files.	Close file after entry of final judgment. Retire to Federal Records Center 1 year after entry of final judgment

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		Destroy 4 years after entry of final judgment. (NARA Job NC1-207-79-11, item 5b)
c	Unofficial reference copies of litigation documents.	Destroy when superseded or obsolete, or when no longer needed for administrative or reference use. Do not retire to Federal Records Center. (NARA Job NC1-207-79-11, item 5c)
6.	Administrative adjudication case files. Consists of files on cases docketed for hearing and resolution by the Office of Administrative Law Judges and the Board of Contract Appeals. Includes but is not limited to cases under: Contract Appeals; HUD-IRS Administrative Offsets; Mortgagee Review Board, Fair Housing; Program Fraud, Debt Collection; Community Development Block Grant; Mobile Home Construction and Safety Standards; Interstate Land Sales, Debarment, Suspension and Ineligibility of Contractors and Grantees.	
a.	Official administrative adjudication files kept by the Office of Administrative Law Judges and the Board of Contract Appeals. Each file contains all documents, exhibits, transcripts of hearings, decisions, orders and correspondence pertaining to each case from a charge, complaint or notice of appeal to final decision or order.	Close file after entry of final order or decision. Retire to Federal Records Center 2 years after entry of final order or decision, or when volume warrants. Destroy 8 years after entry of final order or decision. (NARA Job N1-207-94-1, item 6a)

RECORDS DISPOSITION SCHEDULE 2

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
b.	Files kept by the Office of General Counsel on administrative adjudications. May include documents involving actions or decisions which led to a charge, complaint or appeal and hearing, as well as copies of documents in the official file (see item 6a of this Schedule).	Destroy 6 years after entry of final order or decision. (NARA Job N1-207-94-1, item. 6b)
7.	Legislative history files. Consist of printed copies of the basic legislation under which the Department operates. Includes copies of Congressional hearings, bills and amendments, Public Laws and excerpts from the Congressional Record. The record set of legislative history files for all Federal <u>agencies</u> is kept by the Office of Management and Budget. All printed sets in HUD are considered to be reference material only. This includes the legislative history files in the Office of the Associate General Counsel for Legislation and Regulations.	Destroy when superseded, obsolete or no longer needed for reference. These files may not be retired to a Federal Records Center. (NARA Job NC1-207-79-11, item 7)
8	HUD legislative proposals files. Consist of proposed legislation developed by HUD and related correspondence and other documents. May include background material, drafts, reviews, minutes of meetings, and position papers.	
a	Master files kept by the Office of the Associate General Counsel for Legislation and Regulations.	Close file at end of fiscal year in which legislation is enacted or dropped. Destroy 15 years after close of file. (NARA Job NC1-207-79-11, item 8a)

LEGAL RECORDS

Item No.	<u>Description of Records</u>	<u>Disposition</u>
b.	Files kept by other HUD offices which initiate or review HUD's legislative proposals.	Close file at end of fiscal year in year in which legislation is enacted or dropped. Destroy 6 years after close of file. (NARA Job NC1-207-79-11, item 8b)
9.	Legislative reports files. Consist of files of reports to Congress and the Office of Management and Budget on legislative proposals affecting HUD, but developed by Congress or other Federal agencies Also, consist of files on oversight reports to Congress and the Office of Management and Budget on HUD program activities Include correspondence and other related documents	
a	Record copies of legal opinions, interpretations, rulings or advice concerning HUD's relationship with the public housing agencies (PHA's). Filed by PHA	Destroy 3 years after end of Annual Contributions Contract period. (NARA Job NC1-207-79-11, item 10a)
b.	Record copies of legal opinions, interpretations, rulings or advice not covered in Item 10a	
(1)	Considered to be <u>significant or precedent setting</u> . Includes background material Kept by the Office of General Counsel (OGC) unit which issued the opinion, interpretation, ruling or advice	Place in inactive file when superseded or obsolete Destroy 3 years after being placed in inactive file. (NARA Job NC1-207-79-11, item 10b(1))

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RECORDS DISPOSITION SCHEDULE 2

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) Not considered to be significant or precedent setting. Includes background material kept by OGC unit which issued the opinion, interpretation, ruling or advice	Destroy when 5 years old. (NARA Job NC1-207-79-11, item 10b(2))
c.	Book of legal opinions compiled, printed and distributed annually. Only those legal opinions considered to be significant are included in the book. Attachments to the opinions are not always included	
	(1) Master set kept by OGC unit which prepares the book. Those editions prior to 1976 have separate card indexes	PERMANENT. Offer to NARA when 12 years old For those volumes having separate <u>card indexes</u> , offer the indexes to NARA with the corresponding volumes (NARA Job NC1-20779-11, item 10c(1))
	(2) All other sets.	Destroy when superseded, obsolete or no longer needed for reference These files may not be retired to a Federal Records Center. (NARA Job NC1-207-79-11, item 10c(2))
d	Memoranda on recent legal developments of interest to the Field. Contain summaries of the developments. Copies of the related opinions or other documents may be attached Prepared monthly from weekly reports submitted by all Associate General Counsels. Distributed to all Field and Headquarters attorneys	

RECORDS DISPOSITION SCHEDULE 2

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) Master set kept by OGC unit which prepares the memoranda	Destroy when 6 years old. (NARA Job NC1-207-79-11, item 10d(1))
	(2) All other sets.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-79-11, item 10d(2))
e.	All other nonrecord copies of legal opinions, interpretations, rulings or advice.	Destroy when superseded, obsolete or no longer needed for reference (NARA Job NC1-207-79-11, item 10e)
11.	Legal activity report files Consist of weekly reports prepared by each Associate General Counsel on the activities of his/her office to keep the General Counsel informed Also used to prepare the memoranda on recent legal developments (see item 10d of this Schedule).	
a	Record copies kept in office of each Associate General Counsel.	Destroy when 2 years old or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-79-11, item 11a)
b	Originals submitted to the General Counsel	Destroy after issuance of memorandum of recent developments which reflects those reports. (NARA Job NC1-207-79-11, item 11b)

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Item No.	<u>Description of Records</u>	<u>Disposition</u>
12	Legal reference files Consist of extra (nonrecord) copies of legislation, opinions, litigation, court decisions, issuances, publications, reports, speeches and other material used for reference purposes, regardless of source. Includes informational copies of correspondence Official record copies of such documents are covered elsewhere in this Schedule or in other Departmental records disposition schedules	Destroy when superseded, obsolete or no longer needed for reference. Reference files may not be retired to a Federal Records Center. (NARA Job NC1-207-79-11, item 12)
13	Notice of Proceedings Files. Consist of case files relating to administrative proceedings against developers for violations under the Interstate Land Sales Full Disclosure Act. Include copy of Notice of Proceeding, developer's response, closing documents and related correspondence. The closing document may be a settlement, order of suspension, consent order, or effective date letter.	Place in inactive file when closed Destroy 3 years after close of case file (NARA Job NC1-207-79-11, item 13)

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

Item No.	Description of Records	Disposition
14	Subpoena transcript files. Consist of files relating to subpoena return hearings with developers before an Office of Interstate Land Sales Registration (OILSR) hearing officer. May include a copy of the subpoena issued by OILSR.	Destroy 3 years after date of hearing (NARA Job NC1-207-79-11, item 14)
15	Copies of subpoenas issued by the Office of Interstate Land Sales Registration which do not become part of another file (i.e., on which no further action is taken).	Destroy when 1 year old. (NARA Job NC1-207-79-11, item 15)
16	Settlement case files involving penalties imposed on manufacturers for violations under the Mobile Home Construction and Safety Standards Act. Consist of files on cases where settlement was reached without need for an administrative hearing or litigation. Include preliminary determinations, subpoenas, investigation documents, settlement papers and related correspondence	Destroy 5 years after settlement (NARA Job NC1-207-79-11, item 16)
17	Temporary Denials of Participation (TDP) and Conditional Participation files. Consist of orders, notices and other documents issued by Field Offices to deny or limit a contractor's or grantee's participation in HUD programs for a temporary period.	
a	Record copy kept by Field Office issuing the orders and other documents.	Destroy 6 years after Temporary Denial or Conditional Participation is removed. (NARA Job NC1-207-79-11, item 17a)

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LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. All other copies.	Destroy 3 years after Temporary Denial or Conditional Participation is removed or when no longer needed for reference, whichever is earlier (NARA Job NC1-207-79-11, item 17b)
18.	Debarment ADP system. This Automatic Data Processing (ADP) system provides recurring updated listings of contractors and grantees debarred from, ineligible for, or suspended from recurring awards by the Department. The reason for the actions, extent of restrictions, and cross-reference of individuals and companies are reflected.	
	a. Documentation files Cover those records required for servicing machine readable records--for converting them from human-readable information to encoded data and vice versa These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-79-11, item 18a)
	b. Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-79-11, item 18b(1))
	(2) Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system	Use the appropriate item elsewhere in this Schedule (NARA Job NC1-207-79-11, item 18b(2))

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file	Scratch after third update cycle (NARA Job NC1-207-79-11, item 18c)
d	Master files. Constitute the definitive state of a data file in a system at a given time	
	(1) While the system is operational	Scratch after third update cycle (NARA Job NC1-207-79-11, item 18d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-79-11, item 18d(2))
e.	Printouts, output reports.	
	(1) Joint Consolidated List of Debarred, Suspended and Ineligible Contractors and Grantees. Produced quarterly	
	(a) Master set kept by the Office of the Inspector General.	Destroy when 5 years old. (NARA Job NC1-207-79-11, item 18e(1)(a))
	(b) All other copies	Keep the most recent quarterly list and destroy all previous editions. (NARA Job NC1-207-79-11, item 18e(1)(b))
	(2) Monthly lists of additions and deletions to the Joint Consolidated List	

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APPENDIX 2

RECORDS DISPOSITION SCHEDULE 2

LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(b) All other copies	Destroy upon receipt of quarterly Joint Consolidated List incorporating the monthly lists. (NARA Job NC1-207-79-11, item 18e(2)(b))
19.	Attorney working files. Consist of drafts, notes, background material and reference copies of documents. The record copies of documents prepared by attorneys are placed in the official case files, project docket files or other official files as appropriate. Other items of this Schedule or other Department records disposition schedules cover the record copies.	
	a Related to specific administrative or court cases.	When the administrative or court case is closed, screen the related working file and transfer any record material to the official case file. Destroy the remaining working file 2 years after case is closed. (NARA Job NC1-207-79-11, item 19a)
	b Related to foreclosure and sale of single family homes and multi-family projects.	When the home or project is sold and HUD no longer has an interest in it, screen the related working file and transfer any record material to the official case file. Destroy the remaining working file 2 years after home or project is sold (NARA Job NC1-207-79-11, item 19b)

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LEGAL RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
c.	All other working files.	Destroy when the attorney who created the file leaves HUD or when no longer needed for reference, whichever is earlier. Screen working file before destruction and transfer any record material to the related official file (NARA Job NCI-207-79-11, item 19c)
20.	Correspondence files not covered elsewhere in this Schedule	Close file at end of calendar year. Destroy 3 years after file is closed (NARA Job NCI-207-79-11, item 20)

RECORDS DISPOSITION SCHEDULE 50

OFFICE OF THE GENERAL COUNSEL

System Name: Enforcement Center Imaging System (ECIS)

System Code: V01A

System Description: The Enforcement Center Imaging System (ECIS) provides the HUD Enforcement Center management staff with the ability to scan/image paper documents, index files, link documents, manipulate files (based on a primary key code) and track cases in a secure environment. ECIS allows case managers to link electronic documents and documents received by fax in one streamlined filing system. ECIS operates in a client/server environment and is hosted on a dedicated server connected to the users through the local area network (LAN) of each of the five field offices: Atlanta, New York City, Chicago, Fort Worth, Los Angeles, and HUD Headquarters.

Item No.	Description of Records	Disposition
21. 1.	Master Data Files.	
a.	Historical Copy of Master Data Files. (Include listing of restricted data fields. Restrictions remain in place until 30 years after transfer to NARA.)	Permanent. Transfer a copy of entire ECIS electronic Master Data Files to the National Archives every 5 years beginning in 2002 and prior to system data purging. (NARA No. N1-207-03-X, item 1a.)

Item

No.	Description of Records	Disposition
b.	On-Site Master Data Files.	Temporary. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 1b.)
2.	System Documentation.	
a.	Record Copy Documentation. Contains user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in ECIS, and their definition; ECIS Q & A describing the system, how it works, the type of help available through the System and other related facts, office codes for offices and FHAP agencies who use ECIS; and other related materials as appropriate.	PERMANENT. Transfer all system documentation with ECIS electronic Master Data Files to the National Archives every 5 years and prior to system data purging. (NARA No. N1-207-03-X, item 2a)
b.	Reference Copy System Documentation. Contains reference copies of user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in ECIS, and their definition,	TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 2b.)

Item	Description of Records	Disposition
	ECIS Q & A describing the system, how it works, the type of help available through the System and other related facts; office codes for offices and FHAP agencies who use ECIS; and other related materials as appropriate.	
3.	Input Screens. Web template screens.	TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference (NARA No. N1-207-03-X, item 3.)
4.	Outputs. Regular and ad hoc reports and outgoing form letters.	TEMPORARY. File to designated record series or delete when no longer needed for administrative, legal, or fiscal reference, as is appropriate. (NARA No. N1-207-03-X, item 4.)
5.	Backups.	
a.	Mirror Database. Copy of on-line database that is periodically updated that resides on the ECIS server.	TEMPORARY. Delete or overwrite when superseded or obsolete. (NARA No. N1-207-03-X, item 5a.)

Item

No. Description of Records

Disposition

b. Backup Tapes.

TEMPORARY. Delete or overwrite when superseded or obsolete. (NARA No. N1-207-03-X, item 5b)

RECORDS DISPOSITION SCHEDULE 50

OFFICE OF THE GENERAL COUNSEL

System Name: Compliance Tracking System (CTS)

System Code: VO2

System Description: The Enforcement Center developed the Compliance Tracking System to monitor all enforcement actions for the HUD, Program Compliance Division. This division is responsible for Department-wide handling of debarments, suspensions, appeals of Limited Denials of participation (LDPs), and appeals of denials of participation. Consolidation of the Departmental sanction process is a critical role of the Enforcement Center as it will be able to take prompt and effective action against those who abuse HUD's programs.

Item

No.

Description of Records

Disposition

22.
1.

Master Data Files.

a. Historical Copy of Master Data Files.
(Include listing of restricted data fields.
Restrictions remain in place until 30
years after transfer to NARA)

Permanent. Transfer a
copy of entire CTS
electronic Master Data Files
to the National Archives every
5 years beginning in 2002 and
prior to system data purging.
(NARA No. N1-207-03-X,
item 1a.)

Item No.	Description of Records	Disposition
b.	On-Site Master Data Files.	Temporary. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 1b.)
2.	System Documentation.	
a.	Record Copy Documentation. Contains user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in CTS, and their definition; CTS Q & A describing the system, how it works, the type of help available through the System and other related facts; office codes for offices and FHAP agencies who use CTS; and other related materials as appropriate.	PERMANENT. Transfer all system documentation with CTS electronic Master Data Files to the National Archives every 5 years and prior to system data purging. (NARA No. N1-207-03-X, item 2a.)
b.	Reference Copy System Documentation. Contains reference copies of user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in CTS, and their definition;	TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 2b.)

Item	Description of Records	Disposition
	CTS Q & A describing the system, how it works, the type of help available through the System and other related facts; office codes for offices and FHAP agencies who use CTS, and other related materials as appropriate.	
3.	Input Screens. Web template screens.	TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No N1-207-03-X, item 3.)
4.	Outputs. Regular and ad hoc reports and outgoing form letters.	TEMPORARY. File to designated record series or delete when no longer needed for administrative, legal, or fiscal reference, as is appropriate. (NARA No. N1-207-03-X, item 4.)
5.	Backups.	
a.	Mirror Database. Copy of on-line database that is periodically updated that resides on the CTS server.	TEMPORARY. Delete or overwrite when superseded or obsolete. (NARA No. N1-207-03-X, item 5a.)

Item

No. Description of Records

Disposition

b. Backup Tapes.

TEMPORARY. Delete or overwrite when superseded or obsolete. (NARA No. N1-207-03-X, item 5b.)

RECORDS DISPOSITION SCHEDULE 50

OFFICE OF THE GENERAL COUNSEL

System Name: Departmental Enforcement Center (DECMS)

System Code: V02A

System Description: Reporting system used to provide management with local and national housing data that helps carry out the Department's mission in addition to monitoring field and administrative activities

Item No.	Description of Records	Disposition
23. (?) 1.	Master Data Files.	
a.	Historical Copy of Master Data Files. (Include listing of restricted data fields. Restrictions remain in place until 30 years after transfer to NARA.)	Permanent. Transfer a copy of entire DECMS electronic Master Data Files to the National Archives every 5 years beginning in 2002 and prior to system data purging. (NARA No. N1-207-03-X, item 1a.)

Item No.	Description of Records	Disposition
b.	On-Site Master Data Files.	Temporary. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 1b.)
2.	System Documentation.	
a.	Record Copy Documentation. Contains user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in DECMS, and their definition; DECMS Q & A describing the system, how it works, the type of help available through the System and other related faDECMS; office codes for offices and FHAP agencies who use DECMS; and other related materials as appropriate.	PERMANENT. Transfer all system documentation with DECMS electronic Master Data Files to the National Archives every 5 years and prior to system data purging. (NARA No. N1-207-03-X, item 2a.)
b.	Reference Copy System Documentation. Contains reference copies of user manuals that describes the function and usage of the system; data dictionary that provides a listing of field names, terms used in DECMS, and their definition;	TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 2b.)

Item	Description of Records	Disposition
3.	<p>DECMS Q & A describing the system, how it works, the type of help available through the System and other related faDECMS; office codes for offices and FHAP agencies who use DECMS; and other related materials as appropriate.</p> <p>Input Screens. Web template screens.</p>	<p>TEMPORARY. Delete or overwrite when superseded, obsolete, or no longer needed for administrative, legal, or fiscal reference. (NARA No. N1-207-03-X, item 3.)</p>
4.	<p>Outputs. Regular and ad hoc reports and outgoing form letters.</p>	<p>TEMPORARY. File to designated record series or delete when no longer needed for administrative, legal, or fiscal reference, as is appropriate. (NARA No. N1-207-03-X, item 4.)</p>
5.	<p>Backups.</p> <p>a. Mirror Database. Copy of on-line database that is periodically updated that resides on the DECMS server.</p>	<p>TEMPORARY. Delete or overwrite when superseded or obsolete. (NARA No. N1-207-03-X, item 5a.)</p>