

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Rec'd NCD 99018014

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)

Department of Housing and Urban Development

2 MAJOR SUBDIVISION

Office of Administration

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

Carol L. Hutzell Room 3284

5 TEL EXT

755-5200

LEAVE BLANK

JOB NO

NC1-207-80-5

DATE RECEIVED

4-9-80

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

11-6-80
Date

Robert R. Wray
Archivist of the United States

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 61 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>4/8/80</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert R. Wray</i>	E. TITLE Department Records Management Officer
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7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>RECORDS DISPOSITION SCHEDULE 3</p> <p>ADMINISTRATIVE RECORDS</p> <p>This Schedule provides disposition instructions for those records relating to the administrative functions of the Department. The administrative functions covered include budget, management and organization analysis, financial systems and accounting operations, personnel management and administration, data and statistical analysis, general administrative services, procurement and contracting services and general automatic data processing (ADP) records. Records of specific ADP systems relating to the functions listed above are covered in this Schedule. Records of other specific ADP systems are covered in the functional records disposition schedule to which the system relates.</p> <p>Public Law 95-440, approved 10-10-78, made the use of the General Records Schedules mandatory for all Federal agencies. This HUD Records Disposition Schedule 3 was developed to:</p>		

250 items

*Closed Out: 11-18-80: K.T.J.
Copy sent to ALL FRCs, Agency, NAR
NNB, NNH & NNF*

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>1. Include items to cover administrative records created and maintained in HUD but not covered, or inadequately covered, in the General Records Schedules.</p> <p>2. Provide specific disposition instructions for HUD records described in General Records Schedule items for which the disposition instruction reads, "Submit SF 115, Request for Records Disposition Authority."</p> <p>3. Cover specific HUD automatic data processing (ADP) systems which relate to administrative functions.</p> <p>4. Tie the General Records Schedules in with the HUD Records Disposition Schedules by cross-referencing so HUD employees are aware of their interrelationship.</p> <p>5. Incorporate all items covering administrative records into one HUD Records Disposition Schedule for consistency and to make it easier to use and revise such items.</p> <p>This Schedule covers administrative records described above regardless of what office maintains the records, i.e. it covers Field records as well as Headquarters records and covers administrative records kept in program offices as well as those kept in administrative offices.</p> <p>This Schedule also covers the records of the immediate office of the Assistant Secretary for Administration. The Assistant Secretary for Administration is the principal adviser to the Secretary and the chief Departmental Officer on administrative matters. He/she directs the Department's administrative program which consists of the functions listed above.</p> <p>This Schedule also covers administrative records of HUD's predecessor agencies such as the Public Housing Administration (PHA), the Federal Housing Administration (FHA) and the Housing and Home Finance Agency.</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>A. <u>Summary</u>. This is a summary of HUD and predecessor agency schedules, Handbook Appendixes, and NARS Jobs superseded by this Schedule. Sections B through F below give more detailed information on the supersedure. This Schedule supersedes:</p> <p>1. The following HUD Records Disposition Schedules or parts of Schedules:</p> <p style="padding-left: 40px;">Schedule 1 (items 38 through 43 and items 75 through 111 only)</p> <p style="padding-left: 40px;">Schedule 17 (items 1 through 19, 21 through 23, 25 through 30 and 33 through 35 only)</p> <p style="padding-left: 40px;">Schedule 38 (all)</p> <p>2. The following predecessor agency records disposition schedules or parts of schedules:</p> <p style="padding-left: 40px;">Entire Housing and Home Finance Agency - Office of the Administrator (HHFA-OA) Schedules 1 through 7 and 9 through 13.</p> <p style="padding-left: 40px;">Federal Housing Administration (FHA) Schedules 1 (items 38 through 43 and items 75 through 111 only), 8 (all), 11 (all), 14 (all), 16(all), and 17 (items 1 through 19, 21 through 23, 25 through 30 and 33 through 35 only).</p> <p style="padding-left: 40px;">Entire Public Housing Administration (PHA) Schedules 2661, 2668, 2679 and HUD-52660.</p> <p>3. Appendix 85, Program Subject Files and Administrative Procedures and Informational Records, and Appendix 87, Non-Record Material and Temporary Records Common to Most Offices, of HUD Handbook 2225.6.</p> <p>4. The following NARS Jobs or parts of Jobs:</p> <p style="padding-left: 40px;">344-S111, approved 5-5-44</p> <p style="padding-left: 40px;">348-S132, approved 2-17-48</p> <p style="padding-left: 40px;">348-S163, approved 3-22-48</p> <p style="padding-left: 40px;">348-S168, approved 4-15-48</p> <p style="padding-left: 40px;">352-S91, approved 9-19-51 (May also be listed as 352-S591)</p>		

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352-S345, approved 4-7-52
 II-NNA-294, approved 2-18-53
 II-NNA-295, approved 2-18-53
 II-NNA-1280, approved 1-21-58
 NN-166-89, approved 1-25-66
 NN-167-83, approved 5-9-67
 NN-167-89 (items 1 through 19, 21 through 23, 25
 through 30 and 33 through 35 only), approved
 5-9-67
 NN-167-116 (items 38 through 41 and items 75
 through 111 only), approved 6-16-67
 NN-168-91, approved 7-30-68
 NN-169-107 (item 43 only), approved 6-12-70
 NN-169-112 (item 42 only), approved 6-30-70

B. Conversion Table. For each item of the new Schedule, the following table gives the corresponding items of the superseded HUD schedules, predecessor agency schedules, and NARS Jobs which the item replaces. Many of the items in the new Schedule 3 are simply cross-references to the General Records Schedules.

CONVERSION TABLE

Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS	
Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.
1	1	38	FHA 1	38	NN-167-116	38
	1	40	FHA 1	40	NN-167-116	40
	17	1	FHA 17	1	NN-167-89	1
	17	7	FHA 17	7	NN-167-89	7
	38	4	PHA 2668	4	II-NNA-294	14
	38	5	PHA 2668	5	II-NNA-294	15
			FHA 11	59	NN-168-91	59
			FHA 14	7	II-NNA-1280	7
					II-NNA-295	37
2	1	41	FHA 1	41	NN-167-116	41
	17	2	FHA 17	2	NN-167-89	2
	17	7	FHA 17	7	NN-167-89	7
	17	28	FHA 17	28	NN-167-89	28
			FHA 11	15	NN-168-91	15
			FHA 11	55	NN-168-91	55
			FHA 11	64	NN-168-91	64
			FHA 11	74	NN-168-91	74
			FHA 14	3	II-NNA-1280	3

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Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS	
Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job. No.	Item No.
3	1	91	FHA 1	91	NN-167-116	91
4			FHA 11	76	NN-168-91	76
			FHA 14	41	II-NNA-1280	41
			FHA 14	62	II-NNA-1280	62
					352-S345	31
5	17	6	FHA 17	6	NN-167-89	6
					352-S345	27
					352-S345	33
6	1	79	FHA 1	79	NN-167-116	79
	17	30	FHA 17	30	NN-167-89	30
	38	6	PHA 2668	6	II-NNA-294	16
			FHA 11	45	NN-168-91	45
			FHA 11	58	NN-168-91	58
			FHA 14	5	II-NNA-1280	5
			FHA 14	21	II-NNA-1280	21
			FHA 14	32	II-NNA-1280	32
			FHA 14	86	II-NNA-1280	86
			PHA 2679	10	NN-166-89	2
7	1	77	FHA 1	77	NN-167-116	77
	17	3	FHA 17	3	NN-167-89	3
			FHA 11	14	NN-168-91	14
			FHA 11	56	NN-168-91	56
			FHA 11	71	NN-168-91	71
8	NEW					
9-11	1	75	FHA 1	75	NN-167-116	75
	1	76	FHA 1	76	NN-167-116	76
	1	78	FHA 1	78	NN-167-116	78
	1	80	FHA 1	80	NN-167-116	80
	1	82	FHA 1	82	NN-167-116	82
	17	5	FHA 17	5	NN-167-89	5
			HHFA- OA 1	1-22	*See note after table	
			FHA 11	1-13	NN-168-91	1-13
			FHA 11	16-33	NN-168-91	16-33
			FHA 11	35,36	NN-168-91	35,36
			FHA 11	38-44	NN-168-91	38-44
			FHA 11	46-54	NN-168-91	46-54
			FHA 11	57	NN-168-91	57
			FHA 11	60	NN-168-91	60
			FHA 11	62,63	NN-168-91	62,63
			FHA 11	65-69	NN-168-91	65-69
			FHA 11	72,73	NN-168-91	72,73

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Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS	
Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.
9-11 (Cont.)			FHA 11	75	NN-168-91	75
			FHA 14	6	II-NNA-1280	6
			PHA 2661	1-25	*	
12			HHFA- OA 2	1-22	*	
					344-S111	2,3
					344-S111	12
					344-S111	17
					344-S111	19
					352-S345	12
13-15	NEW					
16-18	17	21	FHA 17	21	NN-167-89	21
	17	27	FHA 17	27	NN-167-89	27
			HHFA- OA 7	1-11	*	
			HHFA- OA 12	1	*	
			FHA 11	34	NN-168-91	34
			FHA 14	2	II-NNA-1280	2
			FHA 14	13-20	II-NNA-1280	13-20
			FHA 14	22	II-NNA-1280	22
			FHA 14	28	II-NNA-1280	28
			FHA 14	85	II-NNA-1280	85
			HUD 52660	1-4 (p.4,5)	*	
			HUD 52660	5 (p.5)	344-S111	7
			HUD 52660	6,8 (p.5)	*	
			HUD 52660	7 (p.5)	352-S345	32
			HUD 52660	2 (p.6)	*	
					344-S111	8
					344-S111	10,11
					348-S132	3
					348-S168	3,4
					352-S345	5
					352-S345	9-11

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Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS	
Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.
16-18 (Cont.)					352-S345	13
					352-S345	16,17
					352-S345	19
					352-S345	23
					II-NNA-295	1,2
					II-NNA-295	5-8
					II-NNA-295	13-16
					II-NNA-295	20
					II-NNA-295	30-32
					II-NNA-295	35,36
19	17	22	FHA 17	22	NN-167-89	22
20,21			HHFA- OA 7	12-15	*	
			FHA 14	23-25	II-NNA-1280	23-25
			HUD 52660	1-7 (p.6-8)	*	
					352-S345	18
					352-S345	21
					II-NNA-295	17-28
					II-NNA-295	34
					II-NNA-295	36
22-24			HHFA- OA 6	1-6	*	
			FHA 8	1-7	NN-167-83	1-7
			FHA 8	13	NN-167-83	13
			FHA 11	70	NN-168-91	70
			FHA 14	4	II-NNA-1280	4
25,26	NEW					
27	1	93,94	FHA 1	93,94	NN-167-116	93,94
	1	111	FHA 1	111	NN-167-116	111
			HHFA- OA 3	1-7	*	
			HHFA- OA 4	1-4	*	
			FHA 14	8	II-NNA-1280	8
28,29	1	100	FHA 1	100	NN-167-116	100
			FHA 14	26,27	II-NNA-1280	26,27
					344-S111	9
					352-S345	8
					352-S345	20

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)						9. SAMPLE OR JOB NO	10 ACTION TAKEN
	Proposed Schedule 3	Superseded HUD Schedules	Superseded Predecessor Agency Schedules	Superseded NARS JOBS				
	Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.	
	28,29 (Cont.)					352-S345	22	
						II-NNA-295	20	
	30	NEW						
	31			HHFA- OA 5	1-6	*		
				FHA 14	29-31	II-NNA-1280	29-31	
				FHA 14	33-38	II-NNA-1280	33-38	
				HUD 52660	1 (p.6)	352-S345	25	
				HUD 52660	1-3 (p.11, 12)	*		
						344-S111	1	
						344-S111	5,6	
						348-S168	1	
						II-NNA-295	3	
						II-NNA-295	29	
	32			HHFA- OA 9	1-6	*		
				FHA 14	43-46	II-NNA-1280	43-46	
				HUD 52660	1 (p.3)	*		
				HUD 52660	2 (p.3)	348-S163	1	
				HUD 52660	5,6 (p.3)	348-S163	5,6	
				HUD 52660	7-9 (p.4)	II-NNA-295	10-12	
				HUD 52660	10-12 (p.4)	*		
						344-S111	4	
						348-S163	3,4	
						348-S163	7	
						352-S345	28-30	
						II-NNA-295	4	
						II-NNA-295	9	
	33			HHFA- OA 10	1-5	*		
				FHA 14	1	II-NNA-1280	1	
				FHA 14	9-12	II-NNA-1280	9-12	
				FHA 14	47-53	II-NNA-1280	47-53	

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	Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS		
	Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.	
	33 (Cont.)			HUD 52660	3,4 (p.3)	*		
				HUD 52660	1-5 (p.10, 11)	*		
				HUD 52660	6 (p.11)	352-S345	7	
						348-S163	2	
						352-S345	14,15	
	34			HHFA- OA 11	1-7	*		
				FHA 14	54-57	II-NNA-1280	54-57	
				FHA 14	59-61	II-NNA-1280	59-61	
				FHA 14	63-65	II-NNA-1280	63-65	
				HUD 52660	1-5 (p.1)	*		
				HUD 52660	6 (p.1)	348-S132	1,2	
				HUD 52660	7-9 (p.2, 3)	*		
				HUD 52660	10 (p.3)	344-S111	16	
				HUD 52660	11 (p.3)	348-S132	5	
						352-S345	24	
						352-S345	26	
	35-37			HHFA- OA 12	2-7	*		
				FHA 14	74-79	II-NNA-1280	74-79	
				FHA 14	81	II-NNA-1280	81	
				FHA 14	87-90	II-NNA-1280	87-90	
				HUD 52660	1 (p.8)	*		
				HUD 52660	2 (p.8)	344-S111	18	
				HUD 52660	3 (p.8)	348-S132	4	

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	Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS		
	Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.	
	35-37 (Cont.)			HUD 52660	4 (p.8)	348-S168	2	
				HUD 52660	5 (p.8)	348-S168	5	
				HUD 52660	6-10 (p.8, 9)	*		
				PHA 2679	11,12	NN-166-89	3,4	
						352-S345	1-4	
	38-40			HHFA- OA 13	1-8	*		
				FHA 14	80	II-NNA-1280	80	
				PHA 2679	1-8	*		
				PHA 2679	9	NN-166-89	1	
	41-43	NEW						
	44	17	4a	FHA 17	4a	NN-167-89	4a	
		17	16	FHA 17	16	NN-167-89	16	
		38	9	PHA 2668	9	II-NNA-294	19	
	45			FHA 14	68,69	II-NNA-1280	68,69	
	46	NEW						
	47	17	4	FHA 17	4	NN-167-89	4	
	48	38	7	PHA 2668	7	II-NNA-294	17	
	49,50			FHA 8	8	NN-167-83	8	
						344-S111	15	
	51	1	92	FHA 1	92	NN-167-116	92	
	52-59	NEW						
	60			FHA 14	70	II-NNA-1280	70	
	61	NEW						
	62	1	42	FHA 1	42	NN-169-112	42	
		1	43	FHA 1	43	NN-169-107	43	
		17	8,9	FHA 17	8,9	NN-167-89	8,9	
		38	1	PHA 2668	1	II-NNA-294	1-11	
		38	3	PHA 2668	3	II-NNA-294	13	
	63	17	12	FHA 17	12	NN-167-89	12	
		38	2	PHA 2668	2	II-NNA-294	12	
				FHA 14	82-84	II-NNA-1280	82-84	
	64	17	15	FHA 17	15	NN-167-89	15	
	65	NEW						
	66	17	13,14	FHA 17	13,14	NN-167-89	13,14	
		17	33,34	FHA 17	33,34	NN-167-89	33,34	

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Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
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Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

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	Proposed Schedule 3	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS																																																		
	Item No.	Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.																																																	
	66			FHA 14	66,67	II-NNA-1280	66,67																																																	
	(Cont.)			FHA 14	71-73	II-NNA-1280	71-73																																																	
	67-69			FHA 16	1-26	*																																																		
				HUD 52660	3 (p.6)	352-S91	1-8																																																	
				HUD 52660	4 (p.6)	352-S345	6																																																	
	70-78	NEW																																																						
<p>*Note: These predecessor agency record disposition schedule items were taken from the General Records Schedules existing at that time. Therefore, there are no NARS Jobs for these items.</p> <p>C. HUD/PHA/FHA Schedule Items and NARS Job Items Covered by HUD Records Disposition Schedule 2. Some of the old items of HUD Records Disposition Schedules 17 and 38 actually cover records of a legal nature, rather than general management or administrative planning records. Revised Records Disposition Schedule 2 includes those items and was approved on 1/17/80 by National Archives (NARS Job No. NC1-207-79-11). Therefore, the following HUD/PHA/FHA records disposition schedule items and related NARS Job items are superseded:</p> <table border="1"> <thead> <tr> <th colspan="2">Superseded HUD Schedules</th> <th colspan="2">Superseded Predecessor Agency Schedules</th> <th colspan="2">Superseded NARS JOBS</th> <th>Use HUD Schedule 2</th> </tr> <tr> <th>Sched. No.</th> <th>Item No.</th> <th>Sched. No.</th> <th>Item No.</th> <th>Job. No.</th> <th>Item No.</th> <th>Item</th> </tr> </thead> <tbody> <tr> <td>17</td> <td>25</td> <td>FHA 17</td> <td>25</td> <td>NN-167-89</td> <td>25</td> <td>4</td> </tr> <tr> <td>17</td> <td>26</td> <td>FHA 17</td> <td>26</td> <td>NN-167-89</td> <td>26</td> <td>3</td> </tr> <tr> <td>17</td> <td>29</td> <td>FHA 17</td> <td>29</td> <td>NN-167-89</td> <td>29</td> <td>10</td> </tr> <tr> <td>38</td> <td>8</td> <td>PHA 2668</td> <td>8</td> <td>II-NNA-294</td> <td>18</td> <td>1</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>II-NNA-295</td> <td>33</td> <td>3</td> </tr> </tbody> </table> <p>D. Obsolete Record Series. Following is a list of HUD/FHA records disposition schedule items and NARS job items which cover record series no longer being</p>								Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS		Use HUD Schedule 2	Sched. No.	Item No.	Sched. No.	Item No.	Job. No.	Item No.	Item	17	25	FHA 17	25	NN-167-89	25	4	17	26	FHA 17	26	NN-167-89	26	3	17	29	FHA 17	29	NN-167-89	29	10	38	8	PHA 2668	8	II-NNA-294	18	1					II-NNA-295	33	3
Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS		Use HUD Schedule 2																																																		
Sched. No.	Item No.	Sched. No.	Item No.	Job. No.	Item No.	Item																																																		
17	25	FHA 17	25	NN-167-89	25	4																																																		
17	26	FHA 17	26	NN-167-89	26	3																																																		
17	29	FHA 17	29	NN-167-89	29	10																																																		
38	8	PHA 2668	8	II-NNA-294	18	1																																																		
				II-NNA-295	33	3																																																		

Request for Records Disposition Authority – Continuation					JOB NO		PAGE OF 12 of 13																																																																																									
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)						9. SAMPLE OR JOB NO	10 ACTION TAKEN																																																																																								
<p>created. Those items are being superseded by this Schedule. We will prepare a disposal list on an SF 115 for any of these records we find.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th colspan="2" style="text-align: center;">Superseded HUD Schedules</th> <th colspan="2" style="text-align: center;">Superseded Predecessor Agency Schedules</th> <th colspan="2" style="text-align: center;">Superseded NARS JOBS</th> </tr> <tr> <th style="text-align: center;">Sched. No.</th> <th style="text-align: center;">Item No.</th> <th style="text-align: center;">Sched. 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Such materials are nonrecord and we feel their disposal should be left to the discretion of the HUD librarian and not covered in a schedule. Therefore, the following items of FHA 14 and related NARS Job items are being superseded:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th colspan="2" style="text-align: center;">Superseded Predecessor Agency Schedules</th> <th colspan="2" style="text-align: center;">Superseded NARS JOBS</th> </tr> <tr> <th style="text-align: center;">Sched. No.</th> <th style="text-align: center;">Item No.</th> <th style="text-align: center;">Job. 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No.	Item No.	Sched. No.	Item No.	Job No.	Item No.	17	23	FHA 17	23	NN-167-89	23			FHA 14	39	II-NNA-1280	39			FHA 14	58	II-NNA-1280	58					344-S111	13,14	Superseded Predecessor Agency Schedules		Superseded NARS JOBS		Sched. No.	Item No.	Job. No.	Item No.	FHA 14	40	II-NNA-1280	40	FHA 14	42	II-NNA-1280	42	Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS		Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.	1	39	FHA 1	39	NN-167-116	39	1	81	FHA 1	81	NN-167-116	81	1	83-90	FHA 1	83-90	NN-167-116	83-90	1	95-99	FHA 1	95-99	NN-167-116	95-99
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Request for Records Disposition Authority – Continuation

JOB NO

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13 of 137
ITEM NO8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)9.
SAMPLE OR
JOB NO10.
ACTION TAKEN

Superseded HUD Schedules		Superseded Predecessor Agency Schedules		Superseded NARS JOBS	
Sched. No.	Item No.	Sched. No.	Item No.	Job No.	Item No.
1	101- 110	FHA 1	101- 110	NN-167-116	101- 110
17	10,11	FHA 17	10,11	NN-167-89	10,11
17	17-19	FHA 17	17-19	NN-167-89	17-19
17	35	FHA 17	35	NN-167-89	35
		FHA 8	9-12	NN-167-83	9-12
		FHA 11	37	NN-168-91	37
		FHA 11	61	NN-168-91	61

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

This Schedule provides disposition instructions for those records relating to the administrative functions of the Department. The administrative functions covered include budget, management and organization analysis, financial systems and accounting operations, personnel management and administration, data and statistical analysis, general administrative services, procurement and contracting services and general automatic data processing (ADP) records. Records of specific ADP systems are covered in the functional records disposition schedule to which the system relates.

This Schedule covers administrative records described above regardless of what office maintains the records, i.e. it covers Regional and Field Office records as well as Headquarters records and covers administrative records kept in program offices as well as those kept in administrative Offices. This Schedule also covers administrative records of HUD's predecessor agencies.

The records of the immediate office of the Assistant Secretary for Administration are also covered by this Schedule.

Since this Schedule is comprehensive for Departmental records relating to administrative functions, the Schedule items have been grouped by function under a subheading. The following index shows the item numbers included under each functional subheading and gives the page number where that group of items begins:

<u>Function:</u>	<u>Includes Items:</u>	<u>Begins on Page:</u>
General Office Files	1 thru 8	2
Personnel, Payroll, Leave	9 thru 15	5
Contracts, Grants, Supplies	16 thru 19	11
Property Disposal	20 and 21	14
Budget	22 thru 26	14
Financial Accounting	27	19
Stores, Plant and Cost Accounting	28 thru 30	19
Travel and Transportation	31	21
Motor Vehicle Maintenance and Operation	32	21



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

Space and Maintenance	33	21
Communications	34	21
Printing, Binding, Duplication and Distribution	35 thru 37	22
Informational Services	38 thru 40	23
Planning, Management and Evaluation	41 thru 59	24
Paperwork Management	60 thru 66	45
Security and Protective Services	67 thru 70	54
Library Services	71 and 72	55
Automatic Data Processing	73 thru 76	58
Claims Collection	77 and 78	60

<u>Item</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>General Office Files</u>		
1.	General correspondence (subject) files. Consist of originals (incoming) and record copies (outgoing) of correspondence, reports and other material of a general nature on a wide variety of subjects, whether program or administrative. Do not include documents related to a specific project or case which are filed in the project or case file.	Break files annually. Destroy 3 years after files break or when no longer needed for reference, whichever is earlier.
2.	Correspondence chronological or reading files. Consist of extra (nonrecord) copies of outgoing correspondence originated in the office solely as a reference or reading file for the convenience of office personnel.	Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier.

see
revision
P. 2A

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7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1.	<p>Administrative subject correspondence files.</p> <p>Consists of incoming and outgoing correspondence with other related records concerning routine administrative functions and house-keeping activities. Does not include program subject files since these are or will be covered in the related program schedules.</p> <p>Break files annually. Destroy 3 years after files break or when no longer needed for reference, whichever is earlier.</p> <p><i>per M.G. of NCP-NARS and R.D. of HOD 10-15-80</i></p>		

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
3.	Suspense or tickler files. Consist of nonrecord extra copies of documents set aside to assure action by a specific date and other cards, notes or papers used as reminders that an action is required.	Destroy 1 year after action is taken or reply is received or destroy when no longer needed for reference, whichever is earlier.
4.	Transitory files. Consist of papers of short-term interest which have no value as documentation or evidence. include routine requests for information or publications and the replies; letters of transmittal which do not add any information; and memoranda and other papers on non-official matters such as holidays, charity drives, and bond campaigns.	Destroy when 1 year old.
5.	Routine work control files. Consist of papers or cards used to facilitate or control work in progress. Include job control records, status cards, routing slips, and work processing sheets.	Destroy when work is completed or when no longer needed for control.
6.	Technical reference files. Consist of extra (nonrecord) copies of issuances and directives, publications, reports, speeches, and other material used for reference purposes. Include informational copies of correspondence. Also include nonrecord copies of: Organizational charts and statements, staffing documents, documents establishing policy or precedents which apply to future and continuing actions, publications of other Government agencies, and non-Government publications.	Destroy when superseded, obsolete, or no longer needed for reference.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	other Government agencies, and non-Government publications.	
7.	Housekeeping files. Consist of non-record copies of documents which relate to personnel, budget, travel, and similar administrative functions.	
	a. Employee travel files. Consist of correspondence, requests, travel authorizations and orders, itineraries, copies of travel vouchers, and similar papers pertaining to employee travel. Do not include travel records maintained for accounting purposes.	Use General Records Schedule 9, Item 4a.
	b. Other housekeeping files.	Use the appropriate General Records Schedule. <u>Except:</u> When the files are included as part of the general correspondence (subject) files, use Item 1 of this Schedule.
8.	Administratively confidential and security classified files. Consist of correspondence and other documents requiring special handling and storage.	<i>withdrawn</i>



1. PURPOSE OF SCHEDULE



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Documents which are administratively restricted.	Keep in file equipment providing the security needed. Cross-reference to related restricted file, if any. Use the appropriate item in the related Departmental Records Disposition Schedule and follow the special procedures for physical destruction of such records.
	b. Security classified documents.	In accordance with Executive Order 12065, contact the organization that originally classified the records and request approval for the destruction. If approval is given, follow the special procedures for physical destruction of such records.

withdrawn

Personnel, Payroll, Leave

9. Personnel records.
- Use General Records Schedule (GRS) 1 except:
- a. Use item 10 of this Schedule in place of GRS 1, item 12e.
 - b. Use item 11 of this Schedule in place of GRS 1, item 30a(1).

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		c. Use items 13 through 15 of this Schedule for related ADP systems files.
10.	Departmental level awards files. Consist of records related to awards made at the Department level (Secretary's Awards) or higher (Presidential, etc.).	Destroy when 5 years old.
11.	Training aids. Consist of manuals, syllabi, textbooks and other training aids developed by HUD.	
	a. Record copy kept by office which developed the training aid.	Retire to Federal Records Center when superseded or obsolete. Destroy 5 years after retirement.
	b. All other copies.	Destroy when superseded, obsolete or no longer needed for reference.
12.	Payroll and leave records.	Use General Records Schedule 2 except: Use items 13 through 15 of this Schedule for related ADP systems files.
13.	Terminally Operated Personnel/Payroll System (TOPPS). This ADP system provides necessary data and reports dealing with all	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	<p>personnel processing and provides all files maintenance, updating and formula calculations necessary for pay processing, bond preparation and accumulation and balances of employee's leave. TOPPS also provides accumulative totals and reporting of FICA, retirement, State and Federal income tax withholding. TOPPS became operational in January 1979 and replaced the Personnel System and the Pay and Leave System. All three systems are covered by items 13a through 13e.</p> <p>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.</p> <p>b. Input documents.</p> <p>(1) Forms used solely as transcription documents to enter data into the system.</p> <p>(2) Forms, reports and other documents which serve as source documents for data entered into the system</p>	<p>Destroy 1 year after system is placed on the inactive list.</p> <p>Destroy after General Accounting Office audit or when 3 years old, whichever is earlier.</p> <p>Use the appropriate item elsewhere in this Schedule.</p>

TYPING GUIDE SHEET

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(may also serve as transcription document).	
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.	
	(1) Produced daily.	
	(a) Those processing files produced daily and specifically identified by the Chief, Personnel/Payroll Systems Branch, Headquarters Office of ADP Systems Development, as requiring an extended retention.	Scratch when 3 days old.
	(b) All other processing files produced daily.	Scratch when 1 day old.
	(2) Produced biweekly.	Scratch when 14 days old.
	(3) Produced quarterly.	Scratch when 90 days old.
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	
	(a) Master files created daily.	Scratch when 6 months old.

 Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(b) Master files created created biweekly and updated daily through end of pay period.	Scratch when 1 year old.
	(c) Hard core master files needed for end-of-year processing as well as daily and biweekly processing. Include A90AAA, main transactions file, and A90 CBF which is used as input to other ADP systems, such as accounting systems.	Scratch when 3 years old.
	(2) When the system is deleted from the inventory of active systems.	Destroy 3 years after system is placed on inactive list.
e. Printouts, output reports.		
	(1) Master set kept by system sponsor in Headquarters Office of Personnel.	
	(a) Annual reports.	Destroy when 3 years old.
	(b) Quarterly reports.	Destroy upon receipt of annual report summarizing the quarterly reports.
	(c) Biweekly reports.	Destroy upon receipt of quarterly report summarizing the biweekly reports.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(d) Daily reports.	Destroy upon receipt of biweekly report summarizing the daily reports.
	(2) All other sets.	
	(a) Biweekly reports.	Keep two most recent reports and destroy all previous ones.
	(b) Daily reports.	Destroy after verifying data was correctly entered into system.
14.	Retirement Annuity Calculation System. This ADP system calculates estimated retirement annuity for each HUD employee as requested. The system is self-explaining and is used in an interactive mode by any individual requestor. The system produces its own input document and an explanation of how to use the document. Provision is made to include cost-of-living increases by two different methods. The system was developed by Region V but can be used by all Regions.	
	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	Destroy 1 year after system is placed on inactive list.

 Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	and maintain specific applications of ADP systems.	
	b. Program.	Delete from operational program library when system is placed on inactive list.
	c. Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference.
15.	(Reserved for TEACH System which is not yet operational.)	
	<u>Contracts, Grants, Supplies</u>	
16.	Records related to contracts and grants and to obtaining supplies.	Use General Records Schedule (GRS) 3 except: <ul style="list-style-type: none"> a. Use HUD Records Disposition Schedule 69 in place of GRS 3, items 14 through 18, for Community Planning and Development Grant Records. b. Use HUD Records Disposition Schedule 67 in place of GRS 3, items 14 through 18, for Policy Development and Research Grant Records. c. Use items 17 and 18 of this Schedule in addition to GRS 3.

ADMINISTRATIVE RECORDS

withdrawn



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	Report contract status for each procurement action processed and also provide summary reports concerning overall OPC Division performance/workload and contract specialist performance/workload.	
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.
b.	Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after third update cycle.
	(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.
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.
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	

withdrawn



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) While the system is operational.	Scratch after third update cycle.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	e. Printouts, output reports.	Destroy when superseded, obsolete, or no longer needed for reference.
<u>Property Disposal</u>		
20.	Property disposal records. Consist of records relating to sales of real and personal Government property which is surplus to HUD needs. Do not include records relating to the disposition of HUD-acquired single or multi-family property which are covered by HUD Records Disposition Schedule 7.	Use General Records Schedule (GRS) 4 except: Use item 21 of this Schedule in place of GRS 4, item 3.
21.	Excess real property reports.	Destroy 1 year after excess real property is sold, donated, traded or otherwise passes from HUD ownership.
<u>Budget</u>		
22.	Budget records. Consist of files related to formulating and justifying the HUD budget submitted to the Secretary, Office of Management and Budget and Congress; defending such budget requests; and managing the budget during the fiscal year for which it applies.	Use General Records Schedule (GRS) 5 except: a. Use item 23 of this Schedule in place of GRS 5, item 1.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
		b. Use item 24 of this Schedule in place of GRS 5, item 2a.
		c. Use items 25 and 26 of this Schedule for related ADP systems files.
23.	Budget policy files. Consist of correspondence or subject files in formally organized budget offices documenting HUD policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for HUD programs. (See GRS 5, item 3 for non-policy budget correspondence files.)	Break file at end of fiscal year. Destroy 6 years after end of fiscal year.
24.	Copies of budget estimates and justifications. Include appropriation language sheets, narrative statements, and related schedules and data.	
	a. Record copy of the final consolidated Department budget submitted to the Office of Management and Budget and to Congress. Kept in Headquarters budget office.	Break file at end of fiscal year. Destroy 6 years after end of fiscal year.
	b. Record copies of feeder budget estimates and justifications. Kept in each preparing office.	Break file at end of fiscal year. Destroy 3 years after end of fiscal year.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	c. All other copies.	Destroy when obsolete, superseded or no longer needed for reference.
25.	Budget Management Information System. This ADP system maintains a current staffing file, by activity and source fund, from which the operating expenses budget reports are prepared for the Office of Budget. Future fiscal year staffing, projections in the annual budget submissions to the Secretary, the Office of Management and Budget and the Congress is one of the major products of the system.	
	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.
	b. Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after third update cycle.
	(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.

Records Disposition Schedule 3

ADMINISTRATIVE 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.
	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.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	e. Printouts, output reports.	
	(1) Master set maintained by Headquarters Office of Budget.	Destroy when 5 years old.
	(2) All other copies.	Destroy when 3 years old.
26.	Zero Base Budgeting System (ZBBS). This ADP system maintains the budget and staffing figures for the current fiscal year, next estimated fiscal year, and the fiscal year being budgeted for the HUD submission to the Office of Management and Budget, under the Zero Base Budgeting concept. The system also produces the budget and staffing figures on magnetic tape for the Office of Management and Budget's use with their Budget Statistical System (BSS).	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	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.
	b. Input documents. Consist of forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after data as been entered into the system and verified.
	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 next update cycle.
	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 next update cycle.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	e. Printouts, output reports.	
	(1) Master set maintained by Headquarters Office of Budget.	Destroy when 5 years old.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) All other copies.	Destroy when 3 years old.
	<u>Financial Accounting</u>	
27.	Financial accounting records.	Use General Records Schedules 6 and 7 and HUD Records Disposition Schedule 12.
	<u>Stores, Plant and Cost Accounting</u>	
28.	Specialized stores, plant and cost accounting records. Stores accounting records provide personal accountability for receipt and custody of materials and indicate how much the materials are worth. Plant accounting records give the principal characteristics of each item of physical plant and equipment, including real property. Cost accounting records show cost of HUD's operation and direct and indirect cost of production, administration, and performing HUD program functions.	Use General Records Schedule (GRS) 8 except: <ol style="list-style-type: none"> Use item 29 of this Schedule in place of GRS 8, item 1. Use item 30 of this Schedule for related ADP systems files.
29.	Plant accounting files. Consist of plant account cards and ledgers pertaining to structures.	Destroy 3 years after structure passes from HUD ownership.
30.	Personal Property Management System. This ADP system will provide comprehensive, detailed and responsive capability to control and account for the personal property investment of the Department as required by the basic laws and regulations governing control	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	and accounting for Federal Property.	
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.
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.
	(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.
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.
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.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	e. Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference.
	<u>Travel and Transportation</u>	
31.	Travel and transportation records. Consist of HUD records dealing with the movement of goods and persons under Government orders.	Use General Records Schedule 9.
	<u>Motor Vehicle Maintenance and Operation</u>	
32.	Motor vehicle maintenance and operation records. Consist of chauffeur service logs and reports, vehicle repair and maintenance check-off sheets, cost ledgers and claims correspondence and forms.	Use General Records Schedule 10.
	<u>Space and Maintenance</u>	
33.	Records related to space and maintenance.	Use General Records Schedule 11.
	<u>Communications</u>	
34.	Records documenting communication functions. Include messenger service data, telecommunications service control and operational records, summary of long distance telephone reports, postal records, mail control records and related papers, HUD copies of penalty mail	Use General Records Schedule 12.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	reports, and records relating to private delivery services (such as United Parcel Service).	
35.	Records relating to printing, binding, duplicating and distribution.	Use General Records Schedule (GRS) 13 except: <ul style="list-style-type: none"> a. Use item 36 of this schedule in place of GRS 13, item 1a. b. Use item 37 of this schedule in place of GRS 13, item 3a.
36.	Record copy of publications files. Also known as the "HUD Printed Archives." Consists of copies of each HUD publication, poster, chart, directive, regulation, booklet, speech, form, press release, and other material printed by HUD. Does not include copies and related program material kept in originating office or which are part of the issuances file (item 63 of this Schedule) or the rules and regulations files (Records Disposition Schedule 2). The HUD Printed Archives is kept by the Headquarters Office of Organization and Management Information. (Current volume 74 cu. ft. covering material from 1965 to present. Accumulates 5 cu. ft. annually).	<u>Permanent</u> . Break file annually. Hold in HUD storage. Offer to NARS 3 years after files break.
37.	Project files pertaining to the accomplishment of the printing, binding, duplication and distribution	



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	jobs. Include requisitions, bills, samples, camera-ready copies, manuscript clearances and related papers. Do not include requisitions on the Public Printer and related records and records relating to services obtained outside HUD.	
	a. Camera-ready copies of items which are reprinted periodically, such as letter-head stationery and forms.	Destroy when superseded or obsolete.
	b. All other copies, documents and files. Include camera-ready copies of one-time publications.	Destroy 1 year after completion of job.
	<u>Informational Services</u>	
38.	Informational services records. Consist of records pertaining to informational services performed by HUD in its day-to-day affairs and relations with the public. Include records created in administering the Freedom of Information Act and Privacy Act Programs.	Use General Records Schedule (GRS) 14 except: a. Use item 39 of this schedule in place of GRS 14, item 1. b. Use item 40 of this schedule in place of GRS 14, item 2.
39.	Information files. Consist of a complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, and indexes thereto.	



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Information case files. Also known as publication case files. Include clearance response records, approval records and final printed version of the publication. Kept in the Headquarters Office of Administrative Services.	Break files annually. Retire to Federal Records Center 1 year after files break. Destroy 5 years after files break.
	b. Originals and printed copies of press releases and speeches kept by the Headquarters Office of Public Affairs to fill requests.	Break file annually. Destroy 3 years after files break.
	c. Working papers and background material not significant enough to be included in the case file in item 39a of this Schedule.	Destroy when 6 months old.
	d. All other copies. Do not include those which are part of the HUD Printed Archives (item 36 of this Schedule).	Destroy when superseded, obsolete, or no longer needed for reference.
40.	Information subject files. Consist of subject files of formally designated informational offices, not covered elsewhere in this Schedule. Includes program reference files kept in Headquarters Program Information Center.	Destroy when superseded, obsolete, or no longer needed for reference.

Planning, Management and Evaluation

Note: Items 41 through 67 of this Schedule will be used in place of General Records Schedule 16.

41. Management planning files. Consist of documents relating to the establishment of short - and long-term planning for the Department. Include documents



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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setting HUD's objectives, establishing schedules to meet the objectives, developing new concepts and requirements for planning purposes, and evaluating progress in meeting the objectives established by the plans.

- a. Files kept by the Headquarters' office responsible for preparing the plan.

Place in inactive file when plan is superseded. Retire to Federal Records Center 3 years after plan is superseded or when volume warrants. Destroy when 10 years old.

- b. Comments or input provided by other HUD offices (not including those which have become a part of the files in item 41a) and duplicate copies.

Destroy when obsolete or no longer needed for reference.

42. Organizational records. Consist of ~~official~~ organization charts, functional charts, staff studies, reports of working groups, ~~narrative histories~~, and related records which document HUD's organization and functions.

a. Place in inactive file when organizational change is completed. Retire to FRC when volume warrants. Destroy when 10 years old.

- a. Record copy. Kept in Headquarters' Office of Organization and Management Information (current volume 16 cu. ft. Accumulates 2 cu. ft. annually).

Permanent. Place in inactive file when organizational change is completed. Retire to Federal Records Center 7 years after organizational change is completed or when

change per M.G. & N.R.S. & C.H. of HUD 6-3-90

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		volume warrants. Offer to NARS when 20 years old.
	b. All other copies.	Destroy when superseded or obsolete.
43.	Evaluation project files. Consist of files relating to the evaluation of HUD program efforts to determine if goals were achieved and to assess the effectiveness of the program.	
	a. Copy of final published evaluation report which becomes a part of the HUD Printed Archives in item 36 of this schedule.	Same as for the HUD Printed Archives in item 36 of this Schedule.
	b. Record copy of evaluation project file. Includes copies of reports, questionnaires, and other data; evaluation of guidelines and procedural documents; progress reports and other papers reflecting the status of the project; and a copy of the final evaluation report.	Place in inactive file when evaluation project is completed. Retire to Federal Records Center 3 years after evaluation project is completed or when volume warrants. Destroy 6 years after project completion.
	c. All other copies.	Destroy when no longer needed for reference.
	d. Working papers and background materials.	Destroy 6 months after final action on project report or 3 years after completion of report if no action is taken.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
44.	<p>Management improvement files. Includes interagency management improvement projects initiated by the Office of Management and Budget and projects authorized by HUD management.</p> <p>a. Management improvement project files. Includes authorization for project, progress reports and correspondence, finished project report, and actions taken as a result of project.</p> <p>(1) Record copy kept by office conducting project or by office sponsoring the contract for project services.</p> <p>(2) All other copies.</p> <p>b. Project working papers and background material. Do not include material which is a part of the project file in item 4a of this Schedule.</p> <p>c. Office of Management and Budget (OMB) Circular files. Consist of correspondence and related documents</p>	<p>Place in inactive file when action is completed on project. Retire to Federal Records Center 3 years after action is completed on project or when volume warrants. Destroy 7 years after project completion.</p> <p>Destroy when no longer needed for reference.</p> <p>Destroy 6 months after final action on project report or 3 years after completion of report if no action is taken.</p>

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	concerning the coordination of HUD activities in response to OMB Circulars.	
	(1) Record copy of files relating to HUD activities in response to OMB Circular A 102 (Federal Management Circular 74-7). Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments. Kept in Headquarters Office of Organization and Management Information.	Destroy when 6 years old.
	(2) Record copy of files relating to HUD activities in response to all other OMB (FMC) Circulars.	Destroy when 2 years old.
	(3) All other copies.	Destroy when no longer needed for reference.
45.	Files on general management projects, studies or reviews of problem areas in HUD or special concerns of top management. Include pamphlets, reports, published processed documents (or the last manuscript report if not published).	
	a. Record copy. Includes supporting papers which document the inception, scope and purpose of the project, study or review. Kept by office conducting the project, study or review or by office sponsoring the contract for study services.	Place in inactive file when action is completed on project, study or review. Retire to Federal Records Center 3 years after action is completed or when volume warrants. Destroy 7 years after action is completed.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. All other copies.	Destroy when no longer needed for reference.
	c. Working papers and background material.	Destroy 6 months after final action on project/study/review report or 3 years after completion of report if no final action is taken.
46.	Project control files. Memoranda, reports and other records documenting assignments, progress and completion of projects.	Destroy 1 year after the year in which the project is closed.
47.	Committee, board and conference records.	
	a. Committee, board and conference management files. Consist of documents on the establishment, organization, membership, review, coordination, continuance or termination of committees, boards and conferences. Include establishment proposals, approvals, changes in membership, charters, reports and related papers.	
	(1) Record copy for interagency, advisory, interdepartmental or international committees, boards and conferences. Kept by Committee Management Officer in Headquarters or by office of origin in the Field.	Break file when committee or board discontinued or establishment of committee or board disapproved. For conferences, break file when conference ended or proposal to hold conference disapproved. Reire to Federal Records

*see revision
MP. 29A-30A*



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		Center 3 years after file break or when volume warrants. Destroy 10 years after files break.
(2)	Record copy for internal HUD committees, boards and conferences. Kept by Committee Management Officer in Headquarters or by office of origin in the Field.	Destroy 2 years after committee or board is terminated or establishment of committee or board is disapproved. For conferences, destroy 2 years after conference ends or proposal to hold conference is disapproved.
(3)	All other copies.	Destroy when no longer needed for reference.
b.	Committee, board and conference operations files. Consist of records created by committees, boards and conferences. Include agendas, minutes, final reports and related records documenting the accomplishments of official boards, committees, and conferences.	
(1)	One-time committees, boards and conferences files. Consist of files on the operations of	

*see revision
MP. 29A-30A*



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	committees, boards, and conferences with a life span of 2 years or less from establishment to termination.	
	(a) Chairman, secretarial, or recorder's files designated as "official record" by Committee Management Officer in Headquarters or office of origin in the Field.	Destroy 3 years after committee, board or conference is terminated.
	(b) Member's records and duplicate copies.	Destroy when 2 years old or when no longer needed for reference, whichever is earlier.
	(2) Standing committees, boards and conferences files. Consist of files on the operations of committees, boards and conferences with a life span of more than 2 years from establishment to termination.	
	(a) Chairman, secretarial, or recorder's files designated as "official record" by Committee Management Officer in Headquarters or office of origin in the Field.	Break file at end of calendar year. Retire to Federal Records Center when 3 years old or when volume warrants. Destroy when 7 years old.
	(b) Member's records and duplicate copies.	Destroy when 8 years old or when no longer needed for reference.

*see
revision*

MP. 29A-30A

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF 29A
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
47.	<p>Committee, board, and conference records.</p> <p>a. Record set relating to the establishment, organization, membership, and termination. Includes establishment proposals, approvals, charters, membership lists, and related documents. Kept by the Committee Management Officer in headquarters or by the office of origin in the field.</p> <p>(1) Interagency, advisory, and international committees, boards, and conferences where HUD is the sponsor or secretariat.</p> <p>Permanent. Cut off file when committee, board, or conference is terminated and place in inactive file. Retire inactive file to FRC 3 years after cutoff or when volume warrants. Offer to NARS 10 years after cutoff.</p> <p>(2) Internal committees, boards, and conferences.</p> <p>Destroy 2 years after termination.</p> <p>(3) Records on committees, boards, and conferences where the proposed establishment is disapproved.</p> <p>Destroy 3 years after establishment is disapproved.</p> <p>b. Record set created by committees, boards, and conferences. Includes agendas, minutes, special studies, final reports, and related items documenting major activities and accomplishments. This is the designated official record set of the chairman, secretariat, or recorder.</p> <p>(1) Interagency, advisory, and international committees, boards, and conferences where HUD is the sponsor or secretariat.</p> <p>Permanent. Cut off when committee, board, or conference is terminated and place</p>		

Request for Records Disposition Authority—Continuation

JOB NO

PAGE OF

30A

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>in inactive file. Transfer to FRC 3 years after cutoff or when volume warrants. Offer to NARS 10 years after cutoff.</p> <p>(2) Internal committees, boards, and conferences.</p> <p>Destroy when 3 years old or when no longer needed for reference.</p> <p>c. All other committee records and copies.</p> <p>Destroy when 3 years old or when no longer needed for reference.</p> <p>per M.G. of NCD-NARS and R. D. of HUD 10-15-80</p>		

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
48.	Staff meeting records. Consist of <i>MEMORANDA, hand-</i> <i>Written notes</i> agendas, minutes, and other papers relating to staff meetings held by Departmental officials.	
a.	Record copy of documents relating to staff meetings held by the Secretary, Under Secretary, or one of the Department's primary organization heads. The primary organization heads are those managers who are responsible for major HUD organizations and who report directly to the Secretary (Assistant Secretaries, General Counsel, Deputy Under Secretaries, New Communities General Manager, Inspector General, and Regional Administrators)	Destroy when 2 years old no longer needed for reference or when one year old, whichever is sooner.
b.	Record copy of documents relating to staff meetings held by Department officials other than the Secretary, Under Secretary, or primary organization head.	Destroy current staff meeting documents after the next staff meeting is held or when no longer needed for reference, whichever is later.
c.	All other copies.	Destroy when no longer needed for reference.

*change per M.G. of NARS
& C.H. of HUD
5-14-80*

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
49.	Process analysis, work measurement and productivity files.	
	a. Study reports. Consist of reports on the findings and recommendations based on process analysis/work measurement/productivity studies. May include printed copies of flow charts as part of the report.	
	(1) Final study report.	Destroy when 10 years old.
	(2) Draft study report.	Destroy when final study report is completed and accepted.
	b. Background data. Includes data forms completed by employees of the office(s) under study.	Destroy 3 years after completion and acceptance of final study report.
	c. Flow charts.	
	(1) Camera copies.	
	(a) Flow charts prepared as part of process analysis/work measurement/productivity studies.	Destroy 2 years after the final study report is completed.
	(b) Flow charts prepared separately in response to special requests.	Destroy when 2 years old.
	(2) Other copies.	Destroy when superseded, obsolete or no longer needed for reference.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
50.	Workload reports. Prepared monthly by selected offices. Used to gather data used primarily in work measurement/productivity analysis.	
	a. Copies submitted to the Headquarters Office of Organization and Management Information.	Destroy when 5 years old.
	b. Copy retained in reporting office. Includes Field input.	Destroy when 3 years old.
51.	Regional Employee Time Reporting System (RETRS). This ADP system applies time expended against HUD programs by Regional and Field Offices. It produces detailed reports which assist Administrators in tracking personnel expenditures by program area against projected program budgets. The system also produces data used for budget formulation and execution, monitoring staff resource expenditures against the Regional Operating Plan, work measurement and productivity analyses and for billing other Federal agencies for reimbursable work performed.	
	a. Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information in 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.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
b.	Input documents. Consist of forms intended solely to serve as inputs to the system.	
(1)	Forms prepared by each Regional and Field Office employee to show how much time is spent on each activity and related documents, such as Forms HUD 193.1, 193.3 and 193.4.	
(a)	Copies submitted to Headquarters each month.	Destroy when 3 months old.
(b)	Copies retained in Field Offices.	Break file at end of fiscal year. Destroy 1 year after file break.
(2)	Other input documents.	Destroy after data has been entered into the system and verified.
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.
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 when 2 years old.
(2)	When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	e. Printouts, output reports.	
	(1) Research set maintained by system sponsor in Headquarters Office of Organization and Management Information.	
	(a) Monthly reports.	Destroy upon receipt of quarterly report incorporating those monthly reports.
	(b) Quarterly reports.	Destroy when 2 years old.
	(c) National year-end reports and the program/activity summary data from the Regional year-end reports.	Destroy when 6 years old.
	(d) Regional year-end report except the program/activity summary data.	Destroy when 2 years old.
	(2) Field copies.	
	(a) Monthly reports.	Destroy when 1 year old.
	(b) Year-end reports.	Destroy when 3 years old.
	(3) All other copies, wherever maintained.	Destroy when superseded, obsolete or no longer needed for reference.
52.	Files on the narrative and control table portion of the Regional Operating Plans (ROPs). Manually prepared before the beginning of the Fiscal Year and revised once during the Fiscal Year.	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Files kept by Headquarters Staff Resources Division, Office of Organization and Management Information, responsible for finalizing and assembling the narrative and control table portion of the ROPS and arranging for printing and distribution.	Destroy when 5 years old.
	b. Files kept by Regional Office unit responsible for preparing the narrative and control table portion of the Regional Operating Plan submission.	Destroy when 3 years old.
	c. Input for narrative and control table portion of the ROP kept by individual program offices.	Destroy when superseded, obsolete or no longer needed for reference.
	d. Other printed copies of the narrative and control table portion of the ROPs.	Destroy when superseded, obsolete or no longer needed for reference.
53.	Regional and Field Operating Plan System (OPLAN). This ADP system is intended to expedite the planning, negotiation, and preparation of the Regional Operating Plans which govern the establishment of Priority Objectives and the allocation of workload and staff resources to organizational elements. Accepting data from both Headquarters and the Field, the system will also allow monthly monitoring of Priority Objectives and a monthly comparison of work accomplished and staff resources expended. Information will be	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	displayed to the work-unit level for each activity of HUD programs. This system became operational in March 1979 and replaced the demonstration automated Regional Operating Plan System and the Field Operating Plan System. All three systems are covered by items 53a through 53e.	
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.
b.	Input documents.	
	(1) Performance Data Forms.	Break file at end of fiscal year. Destroy 3 months after files break.
	(2) All other input documents intended solely to serve as inputs to the system.	Destroy after data has been entered into the system and verified.
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.	Retention period cannot be specified until system has been operational for a full fiscal year. Review in 1 year.
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) While the system is operational.	Destroy when 5 years old.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	e. Printouts, output reports.	
	(1) Master set kept by system sponsor in Headquarters Office of Organization and Management Information.	Destroy when 5 years old.
	(2) Sets kept by Regional Offices.	Destroy when 3 years old.
	(3) All other copies.	Destroy when superseded, obsolete or no longer needed for reference.
54.	Executive Management Report (EMR) files. Consist of monthly reports which measure the Regional Offices' progress against current and cumulative monthly targets for selected priority objectives established in the Regional Operating Plans. Data for these monthly reports are automatically extracted from the OPLAN data base. Includes input reports and related documents.	
	a. EMR files kept by Headquarters Office of Organization and Management Information office responsible for coordinating, assembling, and arranging for printing and distribution of the EMRs. Files include background sheets, originals, and a printed copy of each monthly EMR.	Destroy 5 years after end of Fiscal Year in which report is prepared.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. EMR files kept by individual program offices in Headquarters and Field. Consist of copies of the program office's input for inclusion in the EMR, in cases where items are not automatically extracted from the OPLAN data base.	Destroy when superseded, obsolete or no longer needed for reference.
	c. Other printed copies of the EMRs.	Destroy when superseded, obsolete or no longer needed for reference.
55.	Reorganization staffing lists files. Consist of historical data relating to the impact of Departmental reorganizations on staffing.	
	a. Files kept by the Headquarters Office of Organization and Management Information office responsible for staffing resource matters. These files contain original staffing lists, proposed staffing patterns, appeals, and final official Permanent Full Time (PFT) staffing lists.	Destroy 2 years after reorganization is completed.
	b. Copies of the final official PFT staffing lists and related documents kept in Regions and Headquarters offices other than that named in Item 55a.	Destroy when superseded, obsolete or no longer needed for reference.
56.	HUD Statistical Yearbook files. The HUD Statistical Yearbook is an annual compilation of data on HUD's program and financial operations and statistical information related to housing and urban activities.	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Typed originals of Yearbook and submissions from HUD program offices and outside sources kept in the Headquarters Office of Organization and Management Information office responsible for compiling the Yearbook.	Destroy when 1 year old.
	b. Copies of the program submissions kept in the HUD program offices which prepared them.	Destroy after publication of Yearbook incorporating those submissions.
	c. Extra printed copies of Yearbook.	Destroy when superseded, obsolete or no longer needed for reference.
57.	Housing and Urban Development Trends files. The Housing and Urban Development Trends is a quarterly publication which provides current information on housing production and financing and on HUD's program activities. The publication displays data for the most recent 3 to 4 years.	
	a. Typed originals of publication and monthly submissions from HUD program offices and outside sources kept in the Headquarters Office of Organization and Management Information office which is responsible for compiling the publication.	Break file quarterly. Destroy after next quarterly update.
	b. Copies of the monthly program submissions kept in the HUD program offices which prepared them.	Destroy after publication of the quarterly update incorporating those submissions.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	c. Extra printed copies of Trends.	Destroy when superseded, obsolete or no longer needed for reference.
58.	<p>HUD Master Locality File System. This ADP system maintains a master reference file containing geographic codes which uniquely identify each place where a HUD project is located. It uses a geographical hierarchy of places (using State, county and locality codes) by population, for use as an analytical tool. The file is also used to interface with other automated systems to achieve standardization within HUD programs and to eliminate redundant data entry into each program file of elements of information regarding the localities of projects.</p>	
	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.
	b. Input documents. Consist of 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.
	c. Master files. Constitute the definitive state of a data file in a system at a given time.	



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) While the system is operational.	Scratch after second update cycle.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	d. Printouts, output reports.	
	(1) Master set kept by system sponsor in Headquarters Office of Organization and Management Information.	Keep the two most recent issues and destroy all previous issues.
	(2) All other copies.	Destroy all previous copies when new copy is received.
	e. Memoranda listing ink corrections to be made to printouts. Serves to help users keep their copies up-to-date until next printout is received.	
	(1) Master set kept by system sponsor in Headquarters Office of Organization and Management Information.	Destroy when 5 years old.
	(2) All other copies.	Destroy after ink corrections are made to printout.
59.	Federal Information Exchange (FIX) System. This ADP system provides the Community Services Administration (formerly Office of Economic Opportunity) with Federal outlays by geographic location (counties and cities having 25,000 or more inhabitants) for prior Fiscal Year activity on selected HUD programs.	



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	CSA produces a yearly publication for each State using data submitted by all Federal agencies. This system is authorized by OMB Circular A-84.	
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.
b.	Input documents. Consist of 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 and cannot be reused.
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.
d.	FIX data files. Consist of summary tapes.	
	(1) Tape submitted to CSA. This tape is eventually returned to HUD.	Scratch when tape is returned to HUD.



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(2) Duplicate tape kept by HUD.	Scratch when 1 year old.
	e. Printouts, output reports.	
	(1) Copies kept by system sponsor in Headquarters Office of Organization and Management Information.	Destroy when 5 years old.
	(2) All other copies.	Destroy when superseded, obsolete or no longer needed for reference.

Paperwork Management

60.	Paperwork management program files. Consist of records on the development and improvement of the Department's paperwork management program which involves management of records, forms, correspondence, mail, reports, microfilm, word processing and vital records. Files include reports, correspondence, authorizations, and related records not covered elsewhere in this Schedule.	Destroy when 6 years old.
61.	Paperwork management liaison officer designations. Consist of documents reflecting the name and information about individuals designated to perform paperwork management duties in specific HUD organizations. Include designations for Records Management Liaison Officers, Issuances Management Officers, Forms Management Liaison Officers, and similar representatives.	Destroy when superseded by a new designation or when obsolete.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
62.	Issuances and other directives. Directive or guidance material issued by the Department, including Field Offices, to Departmental employees and program participants. Include Handbooks, Notices, and Special Issuances such as Staff Bulletins, Title I Letters, Mortgagee Letters, Structural Engineering Bulletins, Materials Releases, Use of Materials Bulletins, and Land Planning Bulletins. Also include directives and guidance material issued by HUD's predecessor agencies. Do not include regulations and notices published in the Federal Register (see HUD Records Disposition Schedule 2) or general publications (see item 39 of this Schedule).	
	a. Issuance case history files. Case files on issuances prescribing administrative or programmatic policies, procedures, instructions or guidelines and issuances of an informational nature for special audiences. Include drafts showing the development of the material, clearance response records, notes on the development of the issuance, approval records, and the final printed version of the issuance. These case files are kept by the Departmental Issuances Management Officer or, as he/she authorizes, at designated substations in the Headquarters and Field. (Current volume 1200 cu. ft. Accumulates 330 cu. ft. annually.)	Permanent. Cut off when issuance is rescinded, superseded, or obsolete and place in inactive file. Retire to Federal Records Center three years after cutoff or when volume warrants. Offer to National Archives 15 years after issuance is rescinded, superseded, or obsolete.

*see revised
disposition
P. 46A*

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF 46A
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
62a	<p>Cut off when issuance is rescinded, superseded, or obsolete and place in inactive file. Retire inactive file to FRC 3 years after cutoff or when volume warrants. Destroy 15 years after cutoff.</p> <p>per M. G. of NCD-NARS and R. D. of HUD</p> <p>10-15-80</p>		

 Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. Working papers and background material on the development of an issuance which are not significant enough to be a part of the issuance case history files.	Destroy 6 months after date the final printed version of the issuance is received by Issuances Management Officer for the originating office as entered on the Clearance Log.
	c. Master reference files. Consist of a complete file of all current issuances designated as a "master" set. Serves as a central reference set for all personnel at that geographical location. Usually kept in loose-leaf binders. The Departmental Issuances Management Officer keeps the HUD master reference file of all issuances issued within the Department. Primary organizations and their components may maintain comprehensive or partial master reference files as needed.	Destroy issuances when rescinded, superseded, or obsolete.
	d. Extra copies of the clearance package for each issuance which are distributed to each clearance point for concurrent clearances and the comments given to clearance point for preparation of a consolidated response. Do not include those parts of the package and responses which become part of the issuance case history file.	Destroy when 3 years old or when no longer needed for reference purposes, whichever is earlier.
	e. Printed copies of the final printed version of the issuance distributed to HUD employees for use as reference.	Destroy when rescinded, superseded, obsolete, or no longer needed for reference purposes.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
63.	Forms Files.	
	a. Forms history files. Consist of documentation of the complete history of each form from its development to its current status.	
	(1) Numerical forms history files kept by Departmental Forms Management Officer and Regional Forms Management Liaison Officers. Include camera copy, rough drafts showing development of the form, printing requisition, processing forms and Plain English clearance approvals. Arranged sequentially by form number.	Place in inactive file when form is discontinued, superseded, or cancelled. Retire to Federal Records Center two years after form is discontinued, superseded, or cancelled, or when volume warrants. Destroy 10 years after form is discontinued, superseded, or cancelled.
	(2) Files kept by the originating offices on the reasons for revising the form. Include correspondence on suggested changes.	Destroy 1 year after form is discontinued or cancelled or when no longer needed for reference, whichever is earlier.
	b. Working papers and background material on the development or revision of a form which are not significant enough to be a part of the forms history files in Item 63a.	Destroy when related form is discontinued, superseded, or cancelled.
	c. Forms reference files. Consist of files kept by Headquarters Forms Management Liaison Officers on all forms originated by their organization.	Destroy when no longer needed for reference.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	d. Forms register. Card files showing pertinent information about the form such as dates initiated, approved, and discontinued; office of primary interest; and the preparing office. Kept by Departmental Forms Management Officer.	Destroy one year after form is discontinued.
64.	Reports files.	
	a. Reports control files. Consist of case files maintained for each Department public use, internal, or interagency report created, cancelled, or superseded. Include requests for clearance and approval of reports; copies of pertinent forms; copies of the issuance requiring the report; preparation instructions; documents relating to the continuance of or changes to the report; and correspondence, evaluations, and other documents relating to the reports.	
	(1) Master file of case folders kept by the Reports Management Officer in Headquarters for the Department.	Destroy two years after the report is discontinued.
	(2) Case files of cleared reports kept by the Reports Liaison Officers in Headquarters and Field Offices.	Destroy 6 months after the report is discontinued.
	b. Log of report clearance symbols assigned for each major HUD component. Kept by Reports Management Officer in Headquarters.	Destroy when no longer needed for controlling the assignment of new report clearance symbols.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
65.	<p>Reporting and Data Inventory Control System (RADICS). This ADP system provides information on reports, forms and issuances which aid in the management of these functions within HUD. The inclusion of data elements for reports and issuances aids substantially in the tracking of data to avoid duplication of collection activities and to provide a basis for standardization activities. This system provides direct access to stored data via terminals. The system is maintained and operated at HUD. However, all data are stored on equipment owned by the contractor.</p> <p>This system replaced the Reports Management System (RMS).</p>	
	a. Documentation files. Consist of those records produced in the initiation, analysis, design and development of the system from the user request through the project documentation.	Destroy one year after system is cancelled.
	b. Master files. Constitute the definitive state of a data file in a system at a given time.	Destroy one year after system is cancelled.
	c. Printouts, output reports.	
	(1) Reports inventories. Consist of listings of HUD reporting requirements by type. Contain skeletal management data.	

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(a) Copies kept by Departmental Reports Management Officer in Headquarters.	Keep two latest copies and destroy all previous copies.
	(b) Copies kept by Reports Liaison Officers (RLO's) in Headquarters and Field.	Destroy after next updated inventory is received.
(2)	Complex prints which list management data and data elements for each report for internal file maintenance use only.	Destroy when obsolete, superseded or no longer needed for reference.
(3)	Key word listings which show all data elements in the system in alphabetical order.	Destroy when obsolete, superseded or no longer needed for reference.
(4)	Issuances inventory. Consists of a listing of current HUD issuances. A HUD Handbook is printed from this RADICS printout.	
	(a) Printed issuances inventory handbook.	Use item 62 of this Schedule.
	(b) Copy from which handbook is printed.	Use item 35 of this Schedule.
(5)	Forms Catalog. Consists of a listing of current HUD forms, including Standard and Optional Forms used in HUD.	
	(a) Master copy (actually part of the numerical forms history files in item 63a(1). Kept by the Departmental Forms Management Officer in Headquarters.	Place in inactive file when Forms Catalog is discontinued, superseded

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		or cancelled. Retire to Federal Records Center 2 years after Forms Catalog is discontinued, superseded or cancelled, or when volume warrants. Destroy 10 years after Forms Catalog is discontinued, superseded or cancelled.
	(b) Copy from which Catalog is printed.	Use item 35 of this Schedule.
	(c) All other copies.	Destroy when superseded, obsolete or no longer needed for reference.
	(6) Codes listings. Consist of listings of organizational codes, program codes, Standard Metropolitan Statistical Areas (SMSA) and Standard Consolidated Statistical Areas (SCSA) codes, and geographic codes for the United States and U.S. territories. The listings are used as input to the HUD Handbook of Codes.	Destroy after HUD Handbook of Codes is printed.
66.	Records disposition files. These files relate to the retirement, transfer, or destruction of records.	
	a. Descriptive inventories, disposal lists and shelf lists. Include Standard Form 115, Request for Records Disposition Authority, when used to prepare a one-time request for	Destroy 1 year after all records covered by the disposal list or SF 135 are destroyed.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	destruction (a disposal list). Also includes Standard Form 135, Records Transmittal and Receipt.	
b.	HUD Records Disposition Schedules on Standard Form 115, Request for Records Disposition Authority. Does not include copies of the Schedules issued through the Unified Issuances System (see Item 62).	Destroy 1 year after supersession.
c.	Documentation of direct offer of unscheduled records or transfer of scheduled records to the National Archives. Normally prepared on Standard Form 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States.	
	(1) Approved.	Destroy 1 year after records are transferred to National Archives.
	(2) Disapproved.	Destroy 1 year after disapproval.
d.	Reports related to records disposition. Include the annual records holdings reports and records retention reports. The annual records holdings reports are statistical reports of the Department's records holdings required by the General Services Administration and include feeder reports from all HUD offices and data on the volume of records disposed of by destruction or transfer. The records retention	Destroy when three years old.



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

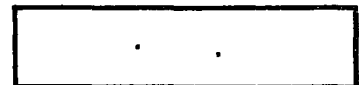
<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	reports are reports on changes or additions to the recordkeeping requirements imposed on the public by the Department's regulations and include feeder reports from all HUD offices. The records retention reports are required by the Office of the Federal Register.	
e.	Extra copies and routine correspondence and memoranda.	Destroy when no longer needed for reference.
f.	Working papers and background material relating to records disposition but which are not significant enough to be a part of items 66a through d.	Destroy when no longer needed for reference.
g.	Records disposition control cards. Card files which show the disposition of records. Used to insure that records are disposed of promptly in accordance with approved records schedules.	Destroy when superseded or obsolete.

Security and Protective Services

- | | | |
|-----|---|---|
| 67. | Security and protective services records. Include files created to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage or loss; to determine loyalty and fitness of current or prospective Government employees; | Use General Records Schedule (GRS) 18 except:

a. Use item 68 of this Schedule in place of GRS 18, item 28.

b. Use item 69 of this Schedule. |
|-----|---|---|



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	and to develop and implement plans to protect life and property under emergency conditions.	in place of GRS 18, item 30.
68.	Emergency planning case files. Consist of record copies of plans or directives issued, with related background papers. Kept by offices responsible for preparing and issuing emergency plans and directives.	Destroy when superseded or obsolete.
69.	Emergency planning reports. HUD reports of operations tests. Consist of consolidated or comprehensive reports reflecting HUD-wide results of tests conducted under emergency plans.	Destroy when three years old.

Audiovisual

- | | | |
|-----|---|--|
| 70. | Audiovisual records. Consist of still pictures, motion pictures, sound recordings and video recordings. Include related documentation needed to properly identify and retrieve the audiovisual records. Also include related documentation on the origin, acquisition, use and ownership of the records. | Use General Records Schedule (GRS) 21. |
|-----|---|--|

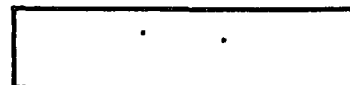
*withdrawn*Library Services

71. Library Periodicals Control System. This ADP system provides a control of periodicals received by

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	the HUD Library and produces a published list of such periodicals including the names and addresses of publishers and vendors. Another product of the system is a listing reflecting the disposition or filing location of the periodical within the Library, which is used as a directory for both filing and retrieving the materials.	
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.
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.
	(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.
c.	Processing files. Those machine-readable files (from work files and raw data input files to	Scratch after third update cycle.



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	publication files and security backup files) which are used to create and use a master file.	
	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.
	(2) When the system is deleted from the inventory of active systems.	Destroy one year after system is placed on inactive list.
	e. Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference.
72.	Library 701 Reports Control System. This ADP system supports the HUD Library in cataloging HUD sponsored planning reports. It disseminates the technical planning and research information contained in the HUD sponsored 701 Planning Reports to HUD users and outside client groups.	
	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 one year after system is placed on inactive list.



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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.
	(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.
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.
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.
	(2) When the system is deleted from the inventory of active systems.	Destroy one year after system is placed on unactive list.
e.	Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference.

Automatic Data Processing

73. Automatic data processing (ADP) records. Also called machine-readable records. Includes the related documentation required to service them.
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Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Records relating to management of the automatic data processing function itself.	Use items 74 through 76 of this Schedule in place of General Records Schedule 20.
	b. Records relating to a specific ADP system.	Use the functional HUD Records Disposition Schedule to which the ADP system relates and the appropriate item covering that system.
74.	HUD Inventory of Automated Systems files. The HUD Inventory of Automated Systems is a publication which lists HUD automated systems which are operational, under development or planned. It is produced annually and reflects system status as of the last day of the Fiscal Year. Files include interim updates.	
	a. Working files kept by Office of ADP Systems Development office which prepares the Inventory.	Destroy when one year old.
	b. Copies of printed Inventory.	Destroy when superseded, obsolete or no longer needed for reference.
75.	Master set of documents used in requesting new ADP systems or new reports from existing systems. Consists of Advanced Requirements Notice (ARN), Evaluation of Proposal (EOP) and System Requirement Specification (SRS). The ARN and SRS are prepared by the user.	Destroy when 10 years old.

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	The EOP is prepared by the Office of ADP Systems Development. Copies of the ARN, EOP and SRS are also part of the documentation files for each operational system. However, this master set also contains documents on disapproved user requests.	
76.	Computer usage accounting records. Consist of records on how much computer time was used for each program and administrative area user.	Destroy when five years old.
	<u>Claims Collection</u>	
77.	Claims collection case files. Consist of records relating to the collection of claims of the United States for money or property arising from Departmental activities. Kept by claims collection officers or the Departmental Claims Officer.	Place in inactive file when administrative collection action on claim is completed. Retire to Federal Records Center two years after administrative collection action on claim is completed or when volume warrants. Destroy 7 years after administrative collection action on claim is completed.
78.	Claims collection reports files. Consist of reports on claim collection activities in HUD. Consist of monthly reports prepared by Field and Headquarters claims collection officers and quarterly cumulative reports prepared by the Regional Office Claims Report Coordinators.	Destroy when 2 years old.



Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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NOTE: Use the appropriate functional HUD Records Disposition Schedule in place of General Records Schedules 15, 17, 19 and 22.

SUGGESTED REVISIONS: NCI-207-80-5

Item 1:

1. Administrative Subject Correspondence Files.
Consists of incoming and outgoing correspondence with other related records concerning routine administrative functions and housekeeping activities. Does not include program subject files.

Item 47:

47. Committee, board, and conference records.

a. Records relating to the establishment, organization, membership and policy. Includes establishment proposals and approvals, charters, membership lists, and other items documenting creation, changes in duties and membership, and termination.

(1) Interagency, advisory, and international committees, boards, and conferences where HUD is the sponsor or secretariat.

Permanent. Cut off file when committee, board, or conference is terminated and place in inactive file. Transfer inactive file to FRC, if volume warrants, when 3 years old. Offer to NARS when 10 years old.

(2) Internal committees.

Destroy 2 years after termination of committee.

b. Records created by committees, boards, and conferences. Includes agendas, minutes, special studies, final reports, and related items documenting major activities and accomplishments.

(1) Record set when HUD is the sponsor or secretariat.

Permanent. Cut off when committee, board, or conference is terminated and place in inactive file. Transfer inactive file to FRC, if volume warrants, when 3 years old. Offer to NARS when 10 years old.

(2) All other copies.

Destroy when 3 years old or when no longer needed for reference.

c. All other committee records.

Destroy when 3 years old or when no longer needed for reference.

Item 62a:

Cut off when issuance is rescinded, superseded, or obsolete and place in inactive file. Transfer inactive file to FRC when 3 years old if volume warrants. Destroy when 5 years old.