RECORDS INVENTORY WORKSHEET

Department of Housing and Urban Development

1. **Program Office**

2. **Office/Division/Branch**

3. **LOCATION OF RECORDS/URL**

4. **NAME AND TITLE OF MANAGER RESPONSIBLE FOR MAINTAINING RECORDS**

RECORDS SERIES IDENTIFICATION

5. **CURRENT RECORDS SERIES TITLE OR ELECTRONIC APPLICATION COMMON NAME (INCLUDING ACRONYM, IF APPROPRIATE)**

6. **DESCRIPTION (INCLUDE ANY OF THE FOLLOWING - PURPOSE OF THESE RECORDS.**

7. **RECORD MEDIUM (SPECIFY)**

   PAPER

   ELECTRONIC

   MAPS, DRAWINGS

8. **ARRANGEMENT**

   ALPHABETICAL   SUBJECT

   N/A   NUMERIC

   CHRONOLOGICAL

9. **STORAGE/VOLUME**

10. **INCLUSIVE DATES**

    FROM

    TO

11. **STATUS**

    RECORD COPY

    Non-Record

12. **RESTRICTIONS** (MARK ALL THAT APPLY)

    IDENTIFIABLE INFORMATION PII   TAX INFORMATION   NOT SURE

    LEGAL or LITIGATION   CRITICAL INFRASTRUCTURE   N/A

    FINANCIAL INFORMATION   PROCUREMENT and ACQUISITION

13. **Suggested Business Need for keeping records**
    A)   **ACTIVE (IN OFFICE OR ON COMPUTER)**
    CURRENT   PROPOSED

    B)   **INACTIVE (ARCHIVED ON OTHER MEDIA)**
    CURRENT   PROPOSED

14. **ESTIMATED ACCESS ACTIVITY**
    HIGH (Daily)

    MEDIUM (Weekly to Monthly)

    LOW (Less Than Once a Month)

15. **HOW OFTEN SHOULD THIS INFORMATION BE PURGED?**

    FREQUENCY
    (Monthly, yearly, other)

16. **WHAT IS THE INPUT (ESPECIALLY FOR ELECTRONIC RECORDS) FOR THIS RECORD SERIES? EXAMPLES ARE FORMS (INCLUDE FORM NUMBER), SPOKEN CONVERSATIONS, LETTERS, ETC.**

17.
    A)   WHEN THIS INFORMATION IS CHANGED (FOR EXAMPLE, UPDATING AN ADDRESS, VERSION, PRICE, ETC.) IS A COPY OF THE OLDER DATA KEPT?

    B)   IF SO, WHERE IS THAT COPY STORED?

18. **INFORMATION MAINTAINED ON MORE THAN ONE MEDIUM or DUPLICATED ELSWHERE (EXPLAIN)**

19. **NAME OF PERSON TAKING INVENTORY**

20. **DATE OF INVENTORY**

FOR USE OF RECORDS MANAGEMENT LIAISON OFFICER

21. **RECORDS SERIES SCHEDULE**   22. **RECORDS SERIES ITEM NUMBER**

23. **RECORDS RETENTION INSTRUCTIONS**   **24. DISPOSITION AUTHORITY NUMBER**

Instructions:

PREPARING A SEPARATE INVENTORY WORKSHEET FOR EACH RECORDS SERIES - A records series is a group of identical or related documents that are arranged under a single filing system or kept together as a unit because they relate to the same subject, result from the same activity, or document the same transaction, and which, because of any of these common characteristics, may be treated as a unit for retention and disposition purposes. A records series is determined by the function and the retention of the record, not defined by chronological, numerical, or alphabetical filing considerations or by format.

Field 1 – Major HUD Program (ex. Housing, PIH, CIO, Lead Hazard)

Fields 2 through 4 - The location of the records and the manager responsible for maintaining the records. For example: Room number and location on map. In the case of electronic records, list the path or directory.

Fields 5 through 6 - The working records series title if the records series has one, a general description of the contents, and any terms other than the records series title that are used to refer to that particular records series.

Field 7 - 10 and 13 - 16 - Describe in what medium the records series is maintained, how a records series is arranged, the volume of records, record activity, storage method, and so on. The current retention period (both in the office and for inactive storage) should be noted as well as the inclusive dates of the records so that consideration may be given to disposing of obsolete records. When explaining where duplicate or summarized information is located (Fields 19 and 20), be sure to indicate in what format the duplicate exists. For example: "Duplicate of 'Air Quality Inspection Reports' is kept on magnetic tape in the agency vault."

Field 11 - Status of the record as a record copy or a non-record copy. A significant consideration in the analysis of a records series is determining if the records are the official record copy, which must be retained for the full retention period. For example, analysis of a records series maintained in a particular department may show that it is the official record copy and must be kept for the full retention period. There may be convenience copies of the same records in other departments that are needed for only a brief period of time. One of the best ways a records management program can save money is to identify and destroy convenience copies when they are no longer needed, especially if they are normally maintained in expensive office space.

In another example, however, a records series may be located in more than one department, but one set of the records should not be destroyed before the other. One department may have the record copy while a second department, in a separate location, has a disaster recovery backup copy that needs to be maintained for the full retention period. To be in legal compliance with the records retention schedule, convenience copies may not be retained any longer than the retention period approved for the record copy.

Field 12 - These fields also detail the legal status of the records series and any restrictions that should be applied to the records. For example, the inventory will reveal which records should be classified as vital to the operations of the government and must be protected to ensure their availability in the event of a disaster. Some records will also be classified as confidential, which will affect the level of security they require.

NOTE: Some fields will not apply to all the records you are examining. You will be tailoring your inventory worksheet to meet your own needs. Do not feel compelled to address every field every time, just when the information applies.

Fields 19 - 20 - Verify the name of the individual performing the inventory and the date on which the inventory was taken. It is useful to have a record of who filled out each form in case questions arise or clarification is needed, especially if you are using a staff of several people.

The time you spend on your inventory is time well spent. You are investing in the success of your total records management program, and you will see the value of a well-planned inventory in the results.

Fields 21 - 24 - To be completed by the program Records Management Liaison Officer (or their designated representative and verified by Departmental Record Management Office. Must include a Disposition Authority Number.