

## RECORDS DISPOSITION SCHEDULE 3

## ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) Master set kept by system sponsor.  (2) All other copies.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 58e(1))  Destroy after ink corrections are made to printout. (NARA Job NC1-207-80-5, item 58e(2))
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.  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. (NARA Job NC1-207-80-5, item 59a)
	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. (NARA Job NC1-207-80-5, item 59b)

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	c. Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 59c)
	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. (NARA Job NC1-207-80-5, item 59d(1))
	(2) Duplicate tape kept by HUD.	Scratch when 1 year old. (NARA Job NC1-207-80-5, item 59d(2))
	e. Printouts, output reports.	
	(1) Copies kept by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 59e(1))
	(2) All other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 59e(2))
	<u>Paperwork Management</u>	
60.	Paperwork management program files. Consist of records on the development and improvement of the Department's paperwork management program, which involves management	Destroy when 6 years old. (NARA Job NC1-207-80-5, item 60)

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	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.	
61.	Paperwork management liaison officer designations. Consist of documents reflecting the names of 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. (NARA Job NC1-207-80-5, item 61)

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## **Attachment to SF-115**

### **Description:**

#### **Item 3.62. Issuance and other Directives.**

Directive or guidance material issued by the Department, including the Field, to Departmental employees and program participants. Include Handbooks, Notices, and Special Issuances such as Staff Bulletins, Title I Letters, Mortgage 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).

#### **Item 3.62.a. Issuance Case History Files.**

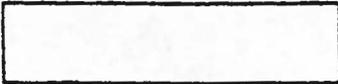
Case files on issuances prescribing administrative or programmatic policies, procedures, instructions or guidelines and issuances of an informational nature for special audiences. Include drafts showing the development of the material, clearance response records, notes on the development of the issuance, approval records, and the final printed version of the issuance. These case files are kept by the Departmental Directives Management Officer or designated Directive Management Liaison Officers for Headquarters and Field Program Offices.

### **Disposition:**

**PERMANENT.** Cut off when issuance or directive is closed, rescinded, superseded, or obsolete and place in inactive file. Retire inactive paper file to the records center and inactive electronic files to the National Archives 3 years after cutoff as specified in NARA standards applicable at the time of transfer. Transfer custody to the National Archives 15 years after cutoff.

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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. (NARA Job NC1-207-80-5, item 62b)
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	Destroy issuances when rescinded, superseded, or obsolete. (NARA Job NC1-207-80-5, item 62c)

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	Department. Primary organizations and their components may maintain comprehensive or partial master reference files as needed.	
	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. (NARA Job NC1-207-80-5, item 62d)
	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. (NARA Job NC1-207-80-5, item 62e)
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.	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 5 years after form is discontinued or cancelled. (NARA Job NC1-207-82-3, item 63a(1))

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	Arranged sequentially by form number.	
	(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. (NARA Job NC1-207-80-5, item 63a(2))
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. (NARA Job NC1-207-80-5, item 63b)
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. (NARA Job NC1-207-80-5, item 63c)
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. (NARA Job NC1-207-80-5, item 63d)
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	

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	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. (NARA Job NC1-207-80-5, item 64a(1))
	(2) Case files of cleared reports kept by the Reports Liaison Officers in Headquarters and the Field.	Destroy 6 months after the report is discontinued. (NARA Job NC1-207-80-5, item 64a(2))
	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. (NARA Job NC1-207-80-5, item 64b)
65.	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	

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	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. This system replaced the Reports Management System (RMS).	
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. (NARA Job NC1-207-80-5, item 65a)
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. (NARA Job NC1-207-80-5, item 65b)
c.	Printouts, output reports.	
(1)	Reports inventories. Consist of listings of HUD reporting requirements by type. Contain skeletal management data.	
(a)	Copies kept by Departmental Reports Management Officer in Headquarters.	Keep two latest copies and destroy all previous copies. (NARA Job NC1-207-80-5, item 65c(1)(a))
(b)	Copies kept by Reports Liaison Officers (RLO's) in Headquarters and Field.	Destroy after next updated inventory is received. (NARA Job NC1-207-80-5, item 65c(1)(b))

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(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. (NARA Job NC1-207-80-5, item 65c(2))
(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. (NARA Job NC1-207-80-5, item 65c(3))
(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 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. (NARA Job NC1-207-80-5, item 65c(5)(a))

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	(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. (NARA Job NC1-207-80-5, item 65c(5)(c))
	(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. (NARA Job NC1-207-80-5, item 65c(6))
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 destruction (a disposal list). Also includes Standard Form 135, Records Transmittal and Receipt.	Destroy 1 year after all records covered by the disposal list or SF 135 are destroyed. (NARA Job NC1-207-80-5, item 66a)

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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. (NARA Job NC1-207-80-5, item 66b)
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. (NARA Job NC1-207-80-5, item 66c (1))
	(2) Disapproved.	Destroy 1 year after disapproval. (NARA Job NC1-207-80-5, item 66c (2))
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 3 years old. (NARA Job NC1-207-80-5, item 66d)

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	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. (NARA Job NC1-207-80-5, item 66e)
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. (NARA Job NC1-207-80-5, item 66f)
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. (NARA Job NC1-207-80-5, item 66g)
	<u>Security and Protective Services</u>	
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; and to develop and implement plans to protect life and property under emergency conditions.	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 in place of GRS 18, item 30.