

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.

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:

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<u>Item No:</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>General Office Files</u>		
1.	Administrative subject correspondence files. Consist of incoming and outgoing correspondence with other related records concerning routine administrative functions and housekeeping activities. Do not include program subject files since these are or will be covered in the related program schedules.	Break files annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 1)
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. (NARA Job NC1-207-80-5, item 2)
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. (NARA Job NC1-207-80-5, item 3)
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;	Destroy when 1 year old. (NARA Job NC1-207-80-5, item 4)

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	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.	
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. (NARA Job NC1-207-80-5, item 5)
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. (NARA Job NC1-207-80-5, item 6)
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.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. Other housekeeping files.	Use the appropriate General Records Schedule. <u>Except</u> : When the files are included as part of the administrative subject correspondence files, use item 1 of this schedule. (NARA Job NCI-207-80-5, item 7b)
8.	Records which are microfilmed according to 41 CFR 101-11.506 and a feasibility study or contract approved by Headquarters.	
	a. Scheduled, temporary records.	
	(1) Hard copies which were microfilmed.	Destroy after microform is checked and verified. (NARA Job NCI-207-84-4, item 8a(1))
	(2) Microform copies and hard copies <u>not</u> microfilmed.	Use the same schedule and item that covered the original records. (NARA Job NCI-207-84-4, item 8a(2))
	b. Permanent or unscheduled records.	Contact the Departmental Records Management Officer for help in preparing an SF 115 to cover these records. (NARA Job NCI-207-84-4, item 8b)

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Administrative Records

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
8-1.	Investigative Case Files (program office files). Program (other offices) file copies of working papers and background material used in the development of responses to investigative case files, Hotline Complaints and other similar investigative reports.	Destroy when 3 years old. (NARA JOB N1-207-93-5, item 8-1)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	<u>Personnel, Payroll, Leave</u>	
9.	Personnel records.	Use General Records Schedule (GRS) 1 except: <ul style="list-style-type: none"> 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). c. Use items 13 and 14 of this schedule for related ADP systems files. d. Use item 15 of this schedule in place of GRS 1, item 12a(1), for Employee IDEAS Case 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. (NARA Job NC1-207-80-5, item 10)
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. (NARA Job NC1-207-80-5, item 11a)
	b. All other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 11b)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
12.	Payroll and leave records.	Use General Records Schedule 2 except: Use items 13 and 14 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 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.	
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	Destroy 1 year after system is placed on the inactive list. (NARA Job NCI-207-80-5, item 13a)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	
b.	Input documents.	
(1)	Forms used solely as transcription documents to enter data into the system.	Destroy after General Accounting Office audit or when 3 years old, whichever is earlier. (NARA Job NC1-207-80-5, item 13b(1))
(2)	Forms, reports and other documents which serve as source documents for data entered into the system (may also serve as transcription document).	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 13b(2))
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 as requiring an extended retention.	Scratch when 3 days old. (NARA Job NC1-207-80-5, item 13c(1)(a))

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(b) All other processing files produced daily.	Scratch when 1 day old. (NARA Job NC1-207-80-5, item 13c(1)(b))
	(2) Produced biweekly.	Scratch when 14 days old. (NARA Job NC1-207-80-5, item 13c(2))
	(3) Produced quarterly.	Scratch when 90 days old. (NARA Job NC1-207-80-5, item 13c(3))
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. (NARA Job NC1-207-80-5, item 13d(1)(a))
	(b) Master files created biweekly and updated daily through end of pay period.	Scratch when 1 year old. (NARA Job NC1-207-80-5, item 13d(1)(b))
	(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. (NARA Job NC1-207-80-5, item 13d(1)(c))

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<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 3 years after system is placed on inactive list. (NARA Job NC1-207-80-5, item 13d(2))
e.	Printouts, output reports.	
	(1) Master set kept by system sponsor.	
	(a) Annual reports.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 13e(1)(a))
	(b) Quarterly reports.	Destroy upon receipt of annual report summarizing the quarterly reports. (NARA Job-NC1-207-80-5, item 13e(1)(b))
	(c) Biweekly reports.	Destroy upon receipt of quarterly report summarizing the biweekly reports. (NARA Job NC1-207-80-5, item 13e(1)(c))
	(d) Daily reports.	Destroy upon receipt of biweekly report summarizing the daily reports. (NARA Job NC1-207-80-5, item 13e(1)(d))
	(2) All other sets.	
	(a) Biweekly reports.	Keep two most recent reports and destroy all previous ones. (NARA Job NC1-207-80-5, Item 13e(2)(a))

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(b) Daily reports.	Destroy after verifying that data was correctly entered into system. (NARA Job NC1-207-80-5, item 13e(2)(b))
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 and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 14a)
	b. Program.	Delete from operational program library when system is placed on inactive list. (NARA Job NC1-207-80-5, item 14b)

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Item No.	Description of Records	Disposition
	c. Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 14c)
15. IDEAS Case Files.		
	a. Rejected.	Destroy 2 years after rejection. (NARA Job N1-207-89-1, item 15a)
	b. Adopted.	Retain for 2 years from date of adoption, then retire to Federal Records Center. Destroy 5 years after date of adoption. (NARA Job N1-207-89-1, item 15b)

Contracts, Grants, Supplies

16. Records related to contracts subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1), to grants and other forms of assistance, and to obtaining supplies. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the FAR.

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Item No.	Description of Records	Disposition
a.	Case files on grants and other forms of assistance created and maintained by HUD program offices such as Housing, Community Planning and Development, Fair Housing and Equal Opportunity, Public and Indian Housing, and Policy Development and Research. These files include accepted applications among other documents, related correspondence and final product files.	Use the appropriate HUD records disposition schedule covering the program's records. (NARA Job N1-207-93-4, item 16a)
b.	All other records.	Use General Records Schedule (GRS) 3 except:
		(1) Use item 17-2 of this Schedule in place of GRS 3, items 3a(1) and (2). (NARA Job N1-207-95-3, item 16b(1)) *
		(2) Use item 17-3 of this schedule in place of GRS 3, item 13. (NARA Job N1-207-93-4, item 16b(2))
		(3) Use items 17, 17-1, 17-4, 18, and 19 in addition to GRS 3. (NARA Job N1-207-93-4, item 16b(3))