HUD   RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
17.	Government Technical Representative (GTR) case files. The GTR is the program person responsible for the technical direction and evaluation of contractor/grantee performance. GTR case files consist of copies of the request for services, Request for Proposals (RFP) and amendments, technical and cost proposals and modifications submitted by the contractor/ grantee, conformed copy of contract/copy of grant agreement and modifications, contractor's/grantee's management reports to GTR, GTR reports and memoranda, contractor's/grantee's interim and final technical reports, GTR evaluation reports, distribution list for final report, statement of final contract/grant status and any related correspondence or other documents.	Destroy 6 years after contract or grant is formally closed out. (NARA Job N1-207-91-1, item 17)
17-1.	Government Technical Monitor (GTM) files. The content of GTM files varies depending on what authority the GTR has delegated to the GTM. GTM files have the same kinds of documentation as GTR files.	Transfer files to the GTR when contract/grant is closed out. The GTR screens the files to eliminate any duplicate records and adds the remaining files to the GTR case file. Use the disposition in item 17 for the combined files. (NARA Job N1-207-91-1, item 17-1)

HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition

* 17-2. Routine procurement files. Contract, requisition, purchase order, lease, bond and surety records, and interagency acquisitions, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in GRS 3, items 1 and 12).

    a. Procurement or purchase organization copy, and related papers.

        (1) Formal contracts under Federal Acquisition Regulation (FAR) Parts 14, 15, and 36.   Destroy 6 years and 3 months after final payment.

        (2) Small/simplified purchases under Federal Acquisition Regulation (FAR) Part 8 or 13 and interagency acquisitions under FAR Subpart 17.5.   Destroy 3 years after final payment. (NARA Job N1-207-95-3, item 17-2)   *

HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
17-3.	Files on unsuccessful applications for grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1).	
	Files include applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	
	a. Unsuccessful application files for grants and other forms of assist-ance under HUD programs that provide for competitive distribution of assistance. These programs, some of which are listed in 24 CFR Part 12, Subpart B, section 12.10, are subject to the public inspection requirements of section 102(a)(4)(E) of the HUD Reform Act.	Retain in office for 1 year after date of award of the grant or other form of assistance. Retire to the Federal Records Center anytime thereafter that volume warrants.

(Exception: The Commu-nity Planning and Development Processing and Control Unit in Headquarters may retire these records to the Center anytime after the date of award that volume warrants.) |

HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
		Destroy 5 years and 30 days after the date of award of the grant or other form of assistance. Unsuccessful application files for Section 312 Rehabilitation Loans are part of the Privacy Act System of Record HUD/DEPT-29. (NARA Job N1-207-93-4, item 17-3a)
b.	Unsuccessful application files for grants and other forms of assistance under HUD programs that do not provide for competitive distribution of assistance.	Retire inactive records to the Federal Records Center anytime after rejection or withdrawal that volume warrants. Destroy 3 years after rejection or withdrawal. (NARA Job N1-207-93-4, item 17-3b)
17-4.	Procurement office files on grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).	Retain in office for 1 year after final payment. Retire to the Federal Records Center anytime thereafter that volume warrants. Destroy 6 years and 3 months after final payment. (NARA Job N1-207-93-4, item 17-4)
18.	Extra copies of contractor's/ grantee's final report.	Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job N1-207-91-1, item 18)

HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
19.	Office of Procurement and Contracts (OPC) Management Information System. This ADP system will provide a system- atic procedure and reporting structure to monitor procure- ment actions in both pre-award and post-award phases of a contract. It will report contract status for each	

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition

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. (NARA Job NC1-207-81-4, item 19a)

b. Input documents.

    (1) Forms, reports, and other documents intended solely to serve as inputs to the system.

Destroy after third update cycle. (NARA Job NC1-207-81-4, item 19b(1))

    (2) Forms, reports, and other documents which serve other program uses in addition to serving as inputs to the system.

Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-81-4, item 19b(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.

Scratch after third update cycle. (NARA Job NC1-207-81-4, item 19c)

d. Master files. Constitute the definitive state of a data file in a system at a given time.

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(1) While the system is operational.	Scratch after third update cycle. (NARA Job NC1-207-81-4, item 19d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-81-4, item 19d(2))
	e. Printouts, output reports.	Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job NC1-207-81-4, item 19e)

Property Disposal

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 multifamily 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. (NARA Job NC1-207-80-5, item 21)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition

Budget

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.

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. (NARA Job NC1-207-80-5, item 23)

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

Break file at end

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

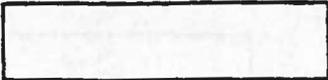| Item No.	Description of Records	Disposition
	Department budget submitted to the Office of Management and Budget and to Congress. Kept in Headquarters budget office.	of fiscal year. Destroy 6 years after end of fiscal year. (NARA Job NC1-207-80-5, item 24a)
	b. Record copies of feeder budget estimates and justifications. Kept in each preparing office.	Break file at end of fiscal year. Destroy 3 years after end of fiscal year. (NARA Job NC1-207-80-5, item 24b)
	c. All other copies.	Destroy when obsolete, superseded or no longer needed for reference. (NARA Job NC1-207-80-5, item 24c)
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 HUD's budget office. Future fiscal year staffing projections in the annual budget submissions to the Secretary, the Office of Management and Budget and the Congress are 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. (NARA Job NC1-207-80-5, item 25a)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
b.	Input documents.	
(1)	Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after third update cycle. (NARA Job NC1-207-80-5, item 25b(1))
(2)	Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system.	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 25b(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.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 25c)
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
(1)	While the system is operational.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 25d(1))
(2)	When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 25d(2))
e.	Printouts, output reports.	
(1)	Master set maintained by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 25e(1))
(2)	All other copies.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 25e(2))

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition

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).

   a. Documentation files. Cover   Destroy 1 year
      those records required for   after system is
      servicing machine-readable   placed on inactive
      records--for converting them   list. (NARA Job NC1-207-
      from human-readable information 80-5, item 26a)
      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.

   b. Input documents. Consist of forms,   Destroy after data
      reports and other documents   has been entered into
      intended solely to serve as inputs the system and
      to the system.   verified. (NARA Job NC1-207-
                                   80-5, item 26b)

   c. Processing files. Those machine-   Scratch after next
      readable files (from work files   update cycle. (NARA Job NC1-
      and raw data input files to   207-80-5, item 26c)
      publication files and security
      backup files) which are used to
      create and use a master file.

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	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. (NARA Job NC1-207-80-5, item 26d (1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on in-active list. (NARA Job NC1-207-80-5, item 26d(2))
	e. Printouts, output reports.	
	(1) Master set maintained by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 26e (1))
	(2) All other copies.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 26e(2))
	Financial Accounting	
27.	Financial accounting records.	Use General Records Schedules 6 and 7.
27-1.	RESERVED.	
	Stores, Plant and Cost Accounting	
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	Use General Records Schedule (GRS) 8 except: a. Use item 29 of this schedule in place of GRS 8, item 1.

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	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.	b. 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. (NARA Job NC1-207-80-5, item 29)
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 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. (NARA Job NC1-207-80-5, item 30a)
	b. Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 30b(1))