PENDIX 3

HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(b)	Records of internal HUD non-mission orientated intra-agency task forces, special project groups, committees, boards and conferences.	Break files at end of calendar year in which committee, board, conference, task force or special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Destroy 3 years after file break. (NARA Job N1-207-96-10, item 47b(2)(b)).
c.	All other committee records and copies.	Destroy when 3 years old or when no longer needed for reference. (NARA Job NC1-207-80-5, item 4c).

licative, fragmentary, non-record materials and items covered by the eral Records Schedule may be disposed of without further permission from the Department of Housing and Urban Development.

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
48.	Staff meeting records. Consist of memoranda, handwritten notes, and other papers relating to staff meetings held by Departmental officials.	Destroy when no longer needed for reference or when one year old, whichever is earlier. (NARA Job NC1-207-80-5, item 48)
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. (NARA Job NC1-207-80-5, item 49a(1))
	(2) Draft study report.	Destroy when final study report is completed and accepted. (NARA Job NC1-207-80-5, item 49a(2))
	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. (NARA Job NC1-207-80-5, item 49b)
	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. (NARA Job NC1-207-80-5, item 49c(1)(a))

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(b) Flow charts prepared separately in response to special requests.	Destroy when 2 years old. (NARA Job NC1-207-80-5, item 49 c(1) (b))
	(2) Other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 49c(2))
50.	Workload reports. Prepared monthly by selected offices. Used to gather data used primarily in work measurement/productivity analysis.	
	a. Copies submitted to Headquarters.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 50a)
	b. Copy retained in reporting office. Includes Field input.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 50b)
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.	

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No. Description of Records	Disposition
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 51a)
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. (NARA Job NC1-207-80-5, item 51b(1)(a))
(b) Copies retained in Field Offices.	Break file at end of fiscal year. Destroy 1 year after file break. (NARA Job NC1-207-80-5, item 51b(1)(b))
(2) Other input documents.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 51b(2))

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
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 51c)
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. (NARA Job NC1-207-80-5, item 51d(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 51d(2))
e.	Printouts, output reports. Most output reports are produced in microfiche. A few, less voluminous output reports are generated in paper form.	
(1)	Research set maintained by system sponsor.	
(a)	Monthly reports.	Destroy upon receipt of quarterly report incorporating those monthly reports. (NARA Job NC1-207-82-6, item 51e(1)(a))
(b)	Quarterly reports.	Destroy when 2 years old. (NARA Job NC1-207-82-6, item 51e(1)(b))

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(c) National year-end reports and the program/activity summary data from the Regional year-end reports.	Destroy when 6 years old. (NARA Job NC1-207-82-6, item 51e(1)(c))
	(d) Regional year-end report except the program/activity summary data.	Destroy when 2 years old. (NARA Job NC1-207-82-6, item 51e(1)(d))
	(2) Field copies.	
	(a) Monthly reports.	Destroy when 1 year old. (NARA Job NC1 207-82-6, item 51e(2)(a))
	(b) Year end reports.	Destroy when 3 years old. (NARA Job NC1-207-82-6, item 51e(2)(b))
	(3) All other copies, wherever maintained.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-82-6, item 51e(3))
52.	Files on the narrative and control table portion of the Regional Operating Plans (ROP's). Manually prepared before the beginning of the Fiscal Year and revised once during the Fiscal Year.	
	a. Files kept by Headquarters office 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. (NARA Job NC1-207-80-5, item 52a)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	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. (NARA Job NC1-207-80-5, item 52b)
	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 (NARA Job NC1-207-80-5, item 52c)
	d. Other printed copies of the narrative and control table portion of the ROPs.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 52d)
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 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.	

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	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 53a)
	b. Input documents.	
	(1) Performance Data Forms.	Break file at end of fiscal year. Destroy 3 months after files break. (NARA Job NC1-207-80-5, item 53b(1))
	(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. (NARA Job NC1-207-80-5, item 53b(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.	Retention period cannot be specified until system has been operational for a full fiscal year. Review in 1 year. (NARA Job NC1-207-80-5, item 53c)
	d. Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Destroy when 5 years old. (NARA Job NC1-207-80-5, items 53d(1))

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(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 53d(2))
	e. Printouts, output reports.	
	(1) Master set kept by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 53e(1))
	(2) Sets kept by Regional Offices.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 53e(2))
	(3) All other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 53e(3))
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 responsible for coordinating, assembling, and arranging for printing and	Destroy 5 years after end of Fiscal Year in which report is prepared. (NARA Job NC1-207-80-5, item 54a)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	distribution of the EMRs. Files include background sheets, originals, and a printed copy of each monthly EMR.	
	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. (NARA Job NC1-207-80-5, item 54b)
	c. Other printed copies of the EMRs.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 54c)
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 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. (NARA Job NC1-207-80-5, item 55a)
	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. (NARA Job NC1-207-80-5, item 55b)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
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.	
	a. Typed originals of Yearbook and submissions from HUD program offices and outside sources kept in the Headquarters office responsible for compiling the Yearbook.	Destroy when 1 year old. (NARA Job NC1-207-80-5, item 56a)
	b. Copies of the program submissions kept in the HUD program offices which prepared them.	Destroy after publication of Yearbook incorporating those submissions. (NARA Job NC1-207-80-5, item 56b)
	c. Extra printed copies of Yearbook.	Destroy when superseded, obsolete or no longer needed for reference (NARA Job NC1-207-80-5, item 56c)
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 which is responsible for compiling the publication.	Break file quarterly. Destroy after next quarterly update. (NARA Job NC1-207-80-5, item 57a)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	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. (NARA Job NC1-207-80-5, item 57b)
	c. Extra printed copies of Trends.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 57c)
58.	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.	
	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 58a)

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
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. (NARA Job NC1-207-80-5, item 58b)
c.	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 second update cycle. (NARA Job NC1-207-80-5, item 58c(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 58c(2))
d.	Printouts, output reports.	
(1)	Master set kept by system sponsor.	Keep the two most recent issues and destroy all previous issues. (NARA Job NC1-207-80-5, item 58d (1))
(2)	All other copies.	Destroy all previous copies when new copy is received. (NARA Job NC1-207-80-5, item 58d(2))
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.	