

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATION RECORDS

Item

No.	Description of Records	Disposition
Inspector General Records		
79-1.	Investigative, audit and related records created or kept by an OIG in performing its duties and responsibilities.	Use items 79 through 86 in place of General Records Schedule (GRS) 22.
79.	Audit Case Files - Headquarters copies of the audit report issued in the Field and all related correspondence received in or generated by Headquarters.	
	a. Cycle Audits (External).	Destroy upon receipt of new audit case file. (NARA Job NC1-207-85-1, item 79a)
	b. Final and Request Audits (External).	Destroy 1 year after date of report. (NARA Job NC1-207-85-1, item 79b)
	c. Recurring Audits and all other audits (Internal).	Cut off at the end of fiscal year in which case is closed. Destroy 10 years after cut off. (NARA Job Number N1-207-99-1, item 79c)
*80.	GAO Audit Report Files. Audits of specific activities impacting upon HUD and its mission. Reports are arranged by Region and thereunder chronologically.	

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*	a. Official Copy.	PERMANENT. Cut off annually. Retire to the Federal Records Center when 3 years old. Transfer to NARA when 10 years old. (NARA Job N1-207-91-2, item 2a)
	b. Background File. This file contains a copy of the draft, letter and published GAO reports and all inquiries and all material and correspondence relating to HUD's review, replies to the actions on GAO findings, and statements required by OMB Circular A-50.	Retire to Federal Records Center 3 years after all required actions have been taken, or when volume warrants. Destroy 6 years after all required actions have been taken. (NARA Job NC1-207-85-1, item 80)
	c. Agency Reference Copies.	Destroy when no longer needed for agency use. (NARA Job N1-207-91-2, item 2b) *
81.	Investigation Case Files.	
	a. Files are set up by constituent organization within the Department of HUD, type of violation, and by number in consecutive order of receipt.	
*	(1) Headquarters.	
	(a) Record copy of case files of historic value.	PERMANENT. Retire to Federal Records Center 2 years after case is closed. Transfer to National Archives in five-year blocks when 20-25- years old or sooner if negotiated between the National Archives and HUD. *

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NOTE: Files of historic value will normally be selected by the HUD Office of Inspector General and will normally include files on all cases that: (i) attract national news media attention; (ii) result in Congressional investigation; or (iii) result in substantive changes to agency policies and procedures. (NARA Job NL-207-90-2, item a(1)a)		
(b)	All other case files.	Retire to Federal Records Center 2 years after case is closed. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1, published in the June 12, 1992, Federal Register (57 FR 25069). (NARA Job NL-207-90-2, item a(1)b)
(c)	Disposition report. Synopsis or brief report.	Microfilm Disposition Report or brief of report 2 years after case file is closed. Refile hard copy in case file after film is verified. Retain microfilm onsite. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NCL-207-85-1, item 81a(1)(b))
(2)	Field Offices.	Destroy 1 year after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NCL-207-85-1, item 81a(2)) ★

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	b. Bulky exhibits, consisting of originals or signed statements, documents, accounting work papers, and other evidence accumulated during an investigation.	When case is closed, review the bulky exhibits to determine which should be retained. Forward this to Headquarters for inclusion in main file. Return others to those who furnished the material to OIG. Destroy balance of files. Privacy Act System of Record HUD/OIG-1. (NARA Job NCL-207-85-1, item 81b) *
82.	General Subject Files. Program Records.	
	a. Headquarters.	Out off files annually. Retire to Federal Records Center when 4 years old. Destroy when 10 years old. (NARA Job NCL-207-85-1, item 82a)
	b. Field Offices.	Review annually and destroy any material over 4 years old which has no more value. (NARA Job NCL-207-85-1, item 82b)
83.	Previous participation experience check. This is a request for information on individuals or firms who are making application to participate in programs of the Department.	Destroy when 1 year old. (NARA Job NCL-207-85-1, item 83)

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* 84.	Monthly Reports of Investigations and Audits to the Secretary. Reports from the IG to the Secretary highlighting topics of current interest. Reports are arranged chronologically.	
	a. Official Copy.	PERMANENT. Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job NI-207-91-2, item 3a)
	b. All other copies.	Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Destroy when 8 years old. (NARA Job NI-207-91-2, item 3b)
85.	Semi-Annual Reports to Congress. Contains IG messages to Congress, overview of HUD actions, audits and investigations, and specific problem areas. Arranged chronologically.	
	a. Official Copy.	PERMANENT. Cut off annually. Retire to Federal Records Center when 3 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job NI-207-91-2, item 1a)
	b. Agency Reference Copies.	Destroy when no longer needed for agency use. (NARA Job NI-207-91-2, item 1b) *

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86.	<p>OIG Automated Systems. These include: OIG Audits and Management System (G04); OIG Audit and Investigative Support System (G01); OIG Planning and Operations System (G03); OIG Investigative Case Management System (G02); OIG Hotline Management System (G05); OIG Name Indices System (G07); and OIG Complaint Management System (G08).</p> <p>Seven files are kept for each system. The retention period for each kind of file is the same in each system.</p>	<p>(ADP systems G01 through G04 are covered by NARA Job NCI-207-84-1, items 18(1) through (7). ADP systems G05, G07 and G08 are covered by NARA Job NCI-207-85-1, items 84a through g.)</p>
a.	Documentation Files.	Destroy 1 year after system is placed on inactive list.
b.	Input Documents and Monthly Reports, maintained in Management Information Division Files.	Maintain for 1 year; then destroy if no longer needed for reference.
c.	Quarter Ended and Fiscal Year Ended Reports, maintained in Management Information Division Files.	Maintain for 3 years; then destroy if no longer needed for reference.
d.	Processing Files.	Scratch after third update cycle.
e.	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.

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	f. Master Files. Constitute the definitive state of a data file in a system at a given time.	
	(1) When the system is operational.	Scratch after third update cycle.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	g. All other printings and output reports.	Destroy when superseded, obsolete, or no longer needed for reference.

NOTE: Use the appropriate functional HUD Records Disposition Schedule in place of General Records Schedules 15, 17, 19, and 22.

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OFFICE OF ADMINISTRATION

**HUD CLIENT INFORMATION AND POLICY SYSTEM
(HUDCLIPS)**

System Name: HUD Client Information and Policy System
System Code: D41

System Description: HUDCLIPS is a HUD mission critical web-based information system. HUDCLIPS provides 24 hours, 7 days a week electronic access to all HUD-Related laws, regulations, directives, handbooks, and forms. This system is the major vehicle by which HUD staff and clients, i.e., State and local governments, lenders, real estate agencies, homebuyers, sellers, and the public access directives, regulations, policies and other housing related information in an electronically distributed process.

ITEM NO.	DESCRIPTION OF RECORDS (Types of Directives)	DISPOSITION
1.	All HUD Forms	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
2.	All HUD Guidebooks	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
3.	All HUD Handbooks	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
4.	CPD Notices	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
5.	PIH Notices	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
6.	Housing Notices	Destroy or delete when superseded or

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obsolete or delete upon Program Office's request.

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**HUD CLIENT INFORMATION AND POLICY SYSTEM
(HUDCLIPS)**

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
7.	All HUD Legal Opinions	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
8.	All HUD Program Letters	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
9.	OGC Preservation Documents	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
10.	All HUD Acts	Destroy or delete when superseded or obsolete or delete upon Program Office's request.
11.	All HUD Bulletins	Destroy or delete when superseded or obsolete or delete upon Program Office's request.

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