

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*(See Instructions on reverse)*

LEAVE BLANK

JOB NO

NCL-207-85-1

DATE RECEIVED

9-30-85

TO GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1 FROM (Agency or establishment)

U.S. Dept. of Housing and Urban Development

2 MAJOR SUBDIVISION

Office of Inspector General

3 MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4 NAME OF PERSON WITH WHOM TO CONFER

George W. Pluta, ZFM Room 8260

5 TELEPHONE EXT

755-6401

DATE

7-14-86

ARCHIVIST OF THE UNITED STATES

*Frank A. Bunker*

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence  is attached, or  is unnecessary

B DATE

9/13/85

C SIGNATURE OF AGENCY REPRESENTATIVE

*Robert J. Devlin*  
Robert J. Devlin

D TITLE

Departmental Records Management  
Officer, ASES

7  
ITEM  
NO

8 DESCRIPTION OF ITEM  
*(With Inclusive Dates or Retention Periods)*

9 GRS OR  
SUPERSEDED  
JOB  
CITATION

10 ACTION  
TAKEN  
*(NARS USE  
ONLY)*

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

This is a request to add new items 79, 80, 81, 82, 83 and 84 to HUD Records Disposition Schedule 3, dated 2/81. Schedule 3 is published as Appendix 3 to HUD Handbook 2225.6. These items supplement General Records Schedule 25. They provide the flexibility we need to properly manage HUD records.

*George W. Pluta*  
Program Concurrence *WGP*

9-16-85  
Date

*Phillip h. Schulman*  
Legal Concurrence *by mlb*

9-16-85  
Date

All changes to this proposed schedule have been approved by:

*Madisonville*  
NARS Appraiser 4-8-86  
Date

*Robert J. Devlin*  
Agency Representative 4/8/86  
Date

21 items



APPENDIX 3

Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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.
	b. Final and Request Audits (External)	Destroy 1 year after date of report.
	c. Recurring Audits and all other audits.(Internal)	Retain for 5 years after date of audit report. Transfer to the Federal Records Center and destroy <del>8</del> 7 years after date of audit. GRS 25 item 4
80.	GAO Audit Report Files. This file contains a copy of 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.
81.	Investigation Case Files.	
	a. Files are set up by constituent organization within the Department of HUD, type of violations, and by number in consecutive order of receipt.	

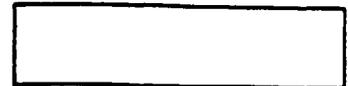


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Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(1) Headquarters	
	(a) Case Files	Transfer case file to Federal Records Center 2 years after case is closed. Destroy 10 years after case is closed,
	(b) 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 on site. Destroy 10 years after case is closed.
	(2) Field Offices	Destroy 1 year after case is closed.
	b. Bulky exhibits, consisting of the originals or signed statements, documents, accounting work papers, and other evidence accumulated during an investigation.	When case is closed, review 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.
82.	General Subject Files. Program Records.	
	a. Headquarters	Cut off files annually. Transfer to Federal Records Center when 4 years old. Destroy when 10 years old.
	b. Field Offices	Review annually and destroy any material over 4 years old which has no more value.

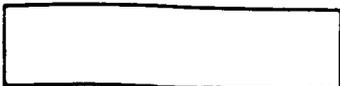
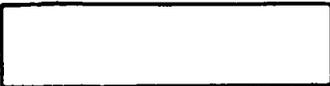


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Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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.
84.	<p>OIG Automated Systems. These include: <del>OIG Audits and Management System (G04);</del> <del>OIG Audit and Investigative Support System (G01);</del> <del>OIG Planning and Operations System (G03);</del> <del>OIG Investigative Case Management System (G02);</del> <del>OIG Hotline Management System (G05);</del> <del>OIG Name Indices System (G07);</del> and <del>OIG Complaint Management System (G08).</del></p> <p>Seven files are kept for each system. The retention period for each kind of file is the same in each system.</p>	ADP Systems G01 through G04 already covered by NARS Job No. NC1-207-84-01, approved 3/18/85.
	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.



APPENDIX 3

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Records Disposition Schedule 3

ADMINISTRATIVE RECORDS

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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.
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.