

CHAPTER 2. ESTABLISHING RECORDS DISPOSITION SCHEDULES

- 2-1. ADP SYSTEM LIFECYCLE. As described in Handbook 2400.15 , Documentation Standards, the development of an ADP system evolves in phases from the idea (can be identified in a user meeting or via an Advanced Requirements Notice) to create the software to its final operation. Following is an overview of the lifecycle phases required to initiate the development and operation of a system. The amount and type of documentation and the level of detail for each document will vary from project to project depending upon the level of effort required for a specific system.

There are three distinct phases of the ADP System lifecycle; e.g., Initiation, Development, and Operation. To ensure records disposition schedules for ADP system files are addressed adequately during the ADP system lifecycle, a system's files will be scheduled during the Design Stage of the Development Phase. During this stage, design alternatives and functions to be performed by the system are analyzed. Detailed design specifications are produced. For a complex system, as a part of the Design Report, the Database Specifications are developed, which describe the following:

- (1) The database structure and content.
 - (2) The data fields and records that comprise each database.
 - (3) Database interface and storage requirements.
 - (4) Methods of accessing and maintaining the database.
- 2-2. SCHEDULING PROCEDURES. The following procedures occur during the process of scheduling Departmental ADP System files.
- a. IPS' Systems Engineering Group (SEG) receives a request for development of a new ADP system or major modification of an existing system. For a major modification to an existing system, the files will be scheduled if it is determined there will be over 240 hours of effort and a work plan is prepared.
 - b. During the Design Stage of the Development Phase, SEG, the Computer Services Group (CSG) and the ADP system sponsor review the model records disposition schedule (Appendix 1) and make any changes to the standard retention periods needed to fit that specific system. Users are encouraged to deviate from the standard retention periods where appropriate, but are required to cite reasons for retention periods that are longer than those in the model retention schedule.

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- C. SEG, CSG and ADP system sponsor provide written concurrences the records disposition schedule developed.

- d. SEG attaches the completed schedule, written concurrences and any justification to Form HUD-552, "Request for Change in HUD Records Schedule," (Appendix 2) and sends it to IPS' Records Management Liaison Officer (RMLO). The RMLO fills out block 7 of the Form and forwards it to the Departmental Records Management Officer (DRMO) in OAMS' Management Services Division. SEG keeps a copy as part of the system documentation. SEG includes the proposed retention periods in preparing the release package for the system to be given to CSG (see Chapter 3).
- e. The DRMO in OAMS prepares the SF 115, "Request for Records Disposition Authority," (Appendix 3) needed to obtain National Archives and Records Administration (NARA) approval. The DRMO obtains any HUD concurrences needed in addition to those of the ADP system sponsor, SEG and CSG.
 - (1) All records disposition schedules must be cleared by the Office of General Counsel (OGC).
 - (2) Schedules covering Office of Finance and Accounting (OFA) automated systems must be cleared by the Office of Inspector General (OIG) and any program offices directly affected by those systems.
 - (3) Schedules covering automated systems which serve as "feeder" systems to OFA accounting systems (e. g., Computerized Homes Underwriting Management System, F17) must be cleared by OFA and OIG.
 - (4) Schedules may be cleared with other HUD offices as needed.
- f. Concurrences are made either directly on the SF 115 (for only a few concurrences) or through the HUD issuances system. The DRMO notifies IPS' RMLO of any minor changes to the model schedule resulting from this concurrence process. The RMLO is responsible for notifying SEG, CSG, and the ADP System sponsor. Any major changes suggested are forwarded to the RMLO for discussion with SEG and CSG.
- g. The DRMO signs the SF 115 and sends it to NARA for approval. If GAO approval is needed, the DRMO will request it at the same time as NARA approval. Automated system files which meet the criteria in paragraph 3-12 of 2228.1 SUPP-1 will require GAO approval.
- h. The DRMO notifies IPS' RMLO of any minor changes NARA makes to the schedule. The RMLO is responsible for notifying SEG and CSG. If NARA suggests major changes, the DRMO forwards them to the RMLO for discussion with SEG and CSG.

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- i. NARA appraisers will be asked to notify the DRMO of their

decision as soon as possible (in advance of the signed SF 115). The DRMO will immediately notify the RMLO of the decision. The RMLO is responsible for notifying SEG and CSG.

- j. On receipt of the approved SF 115, the DRMO will send the RMLO four copies. Keeping one copy for reference, the RMLO sends the others to SEG and CSG. The DRMO prepares the directive to get the approved records disposition schedule published as part of Handbook 2225.6.

- 2-3. WHEN AN ADP SYSTEM BECOMES INACTIVE. SEG is responsible for notifying the DRMO when an ADP system is placed on the inactive list. SEG should forward the notice to the DRMO through IPS' RMLO. The DRMO will prepare the paperwork to cancel the records disposition schedule for the inactive system when the retention periods have expired.