

EXPLANATION OF MODEL RECORDS DISPOSITION SCHEDULE FOR  
ADP SYSTEM FILES

## Permanent and Temporary Records

Only records selected by the National Archives and Records Administration (NARA) can be kept permanently. These permanent records are normally identified during the scheduling process for temporary records. In general, NARA sets a maximum retention period of 5 years after creation, close of transaction or case file, or other event. This 5-year limitation can be exceeded only if there are sound administrative, legal, and fiscal needs justifying a longer retention period.

Retention periods should be based on HUD's administrative, legal, and fiscal needs for the records. Retention periods should also reflect the needs of HUD offices other than the IPS and the system sponsor's office (e. g., Office of Inspector General) and outside agency requirements e. g., General Accounting Office (GAO) audit requirements and Privacy Act disclosure recordkeeping .

The ADP system sponsors must establish retention periods for their automated files with the assistance of IPS staff. This should be done as part of ADP systems development. The retention periods are subject to approval by NARA before implementation. IPS' staff are responsible for implementing the approved retention periods for automated files and conducting periodic reviews of IPS' compliance with the retention periods.

In the attached model, standard retention periods are suggested for master files, input and output documents, history files, and output reports d, e, f(1), f(3)(a) 1 and 6, and f(3)(b) 1 and 3 . These files are particularly important in the continuity of the automated 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.

## Criteria for Determining Retention Periods

Retention periods for most of HUD's textual records have already been established, either in the General Records Schedules (GRS) covering administrative records (Handbook 2228.2) or in the HUD Records Disposition Schedules (Handbook 2225.6). Retention periods for counterpart textual records should be considered in establishing retention periods for automated files.

HUD's administrative, legal, and fiscal needs for the records include:

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1. Administrative needs. As stated previously, NARA has set a

maximum retention period for temporary records of 5 years after creation, close of transaction or case file, or other event. Specifically:

- o Records of routine transactions are usually kept for 1 year after the end of the transaction.
  - o Reports are usually kept 4-5 years in the summarizing office; 2-3 years in the preparing office. Inspection and audit reports are usually kept 5 years.
  - o Administrative claims files are usually kept for 6 years and 3 months. Claims by the United States subject to the Federal Claims Collection Standards for which collection action has been terminated under 4 CFR Part 104 and for which the Government's right to collect was not extended are kept for 10 years and 3 months after the year in which the Government's right to collect first accrued (GRS 6, item 10).
2. Legal needs. Records on which some legal action is possible are kept until the Federal statutes of limitations run out, usually 6 years after the file is closed. A short period (no more than 1 year) is sometimes added to avoid legal problems caused by destroying records on the exact day the statute runs out.
3. Fiscal needs. Accountable officers' files maintained for GAO audit are kept for 6 years and 3 months after the period covered by the account; copies are kept for 1 year (GRS 6, item 1a and b). Other agency records are kept for 3 years or until audited by GAO, whichever is earlier, if the disposal of the records depends on completion of GAO audit of related accountable officers' files and the records are not required by GRS or law to be kept for a longer period.

MODEL RECORDS DISPOSITION SCHEDULE FOR ADP SYSTEM FILES

Name:

System Code:

Description:

Identify other automated systems that interface with this system:

Item No.	Description of Records	Disposition
a.	Work files. Consist of temporary files used to process data.	Delete when no longer needed.
b.	Test files. Consist of data used to assure the accuracy of program.	Delete from mass storage and move to tape if not accessed

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|    |  | within 45 days;<br>destroy tape if not<br>accessed within a<br>1-year period.                                       |
| c. | Documentation. Consist of<br>an organized series of descriptive<br>documents required to initiate,<br>develop, operate, and maintain<br>specific applications of ADP<br>systems. | Destroy 3 years after<br>system is placed on<br>inactive list.  |
| d. | Master files. Reflect the current<br>state of a data file in a system<br>at a given time.  | Delete end-of-quarter<br>master file(s) when 3<br>years old; delete all<br>other master files<br>when 120 days old. |
| e. | Input. Consists of those media<br>used solely to enter data into the<br>system:  |   |
|    | (1) Hard copy (forms, reports, or<br>other documents).   | Destroy when 1 year<br>old.   |

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|    | (2) Transaction files (automated<br>files used to update a master<br>file).       | For financial<br>transactions,<br>including supporting<br>transactions for<br>"feeder" systems to<br>finance and accounting<br>systems, use this<br>instruction:)<br><br>Delete 3 fiscal years<br>after financial<br>transaction was first<br>entered.<br><br>(For all other<br>transactions, use this<br>instruction:)<br><br>Delete when 60 days<br>old. |
|    | (3) Table files (used to provide<br>specific information unique<br>to a program). | Delete when 1 year<br>old.   |
| f. | Output.   |  |

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| (1) History files. Consist of obsolete master or transaction files retained for historical use or reference. | Delete end-of-quarter history file(s) when 3 years old; delete all other history files when 120 days old. |
| (2) Output report files.   | Delete when 14 days old.  |
| (3) Output reports (paper, diskettes, microfiche).   |   |
| (a) Master set kept by system sponsor.   |   |
| 1 Annual reports.  | Destroy when 3 years old.   |
| 2 Semiannual reports.  | Destroy upon receipt of annual report summarizing the semiannual reports.                                 |
| 3 Monthly reports.   | Destroy upon receipt of semiannual report summarizing the monthly reports.                                |
| 4 Weekly reports.  | Destroy upon receipt of monthly report summarizing the weekly reports.                                    |

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| 5 Daily reports.                                  | Destroy upon receipt of weekly report summarizing the daily reports. |
| 6 As requested reports.                           | Destroy when 1 year old.   |
| (b) All other sets.                               |  |
| 1 Annual reports.                                 | Destroy when 1 year old.   |
| 2 Semiannual, monthly, weekly, and daily reports. | Use disposition instructions f(3)(a) 2, 3, 4 and 5 above.            |
| 3 As requested reports.                           | Destroy when 1 year old.   |

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| (4) Data files (files used to provide formatted data to other systems or programs.)  | Delete when 45 days old.   |
| g. Security backup files. Consist of data identical in physical format to a master file or data base and kept in case the master file or data base is damaged or inadvertently erased. | Delete when the identical records have been deleted, or when replaced by subsequent security backup files. |
| h. System program library file. Consists of all programs and job control statements/instructions needed to run a system.   | Delete 3 years after system or program is placed on inactive list.   |
| i. Data base file. Consists of an organized collection of data, designed to serve the user organization's needs.   | Purge contents of file (data/records) and write to history file when inactive for 1 year.                  |