

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NT-207-94-4	
1. FROM (Agency or establishment) Department of Housing and Urban Development		DATE RECEIVED 7-20-94	
2. MAJOR SUBDIVISION Office of the Assistant Secretary for Community Planning and Development		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Raymond M. Sherry, COMO Carol L. Hutzell, ASES			
5. TELEPHONE 708-2087 708-1891		DATE 7/3/95 ARCHIVIST OF THE UNITED STATES <i>James S. [Signature]</i>	
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>12</u> 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE 7-15-94	SIGNATURE OF AGENCY REPRESENTATIVE <i>Joyce C. Hamm</i> Joyce C. Hamm	TITLE Branch Chief	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	RECORDS DISPOSITION SCHEDULE 69 COMMUNITY PLANNING AND DEVELOPMENT RECORDS The Department of Housing and Urban Development (HUD) is proposing to revise HUD Records Disposition Schedule 69, "Community Planning and Development Records," by: <ol style="list-style-type: none"> 1. Revising the introduction to Schedule 69 to update the list of active Community Planning and Development (CPD) programs, the list of HUD's earlier categorical and other grant programs covered by the schedule, and the list of cross references to other HUD schedules which cover program records now under CPD's jurisdiction. 2. Deleting current items 1a and 2a which provided a 6-year retention for the subject and chronological files kept in CPD's Headquarters Central File. This revision makes the 3-year retention period apply across the board to all CPD subject correspondence files and chronological files. 	NARA Job NC1-207-79- 6, items 1 and 2	

Copies sent to Agency, NIA 7/5/95, NCF 7/6/95

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The descriptions of the files were revised. A restriction was added to the disposition instructions for chronological files to prevent their retirement to a Federal Records Center.

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| 3. | Deleting current item 3 which covers general administrative files. This item is unnecessary because it does not provide specific disposition instructions and does not cross reference a specific General Records Schedule. | NARA Job
NC1-207-79-
6, item 3 |
| 4. | Renumbering existing item 4 as item 3 and deleting the last sentence in the records description as unnecessary. Since the disposition instructions are unchanged and the description revision is minor, this item is not being submitted to NARA for approval. | NARA Job
NC1-207-79-
6, item 4 |
| 5. | Revising the description of existing item 5 (now item 4) to be more concise and to clarify that the item covers only CPD records, not all of HUD's grant records. | NARA Job
NC1-207-79-
6, item 5 |
| 6. | Revising the disposition instructions for item 5a (now item 4a) to cross reference generic item 17-3 of HUD Records Disposition Schedule 3 which covers unsuccessful applications for assistance. Item 17-3, now pending approval at NARA, provides a 5-year 30-day retention for unsuccessful applications for competitive assistance to accommodate the public access requirement of section 102 of the HUD Reform Act; the implementing regulations in 24 CFR part 12; and the January 16, 1992, <i>Federal Register</i> Notice (57 FR 1942). | NARA Job
NC1-207-79-
6, item 5a |
| 7. | Increasing the retention period from 3 to 6 years in item 5b (now item 4b) for canceled, suspended, or termi- | NARA Job
NC1-207-79-
6, item 5b |

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nated projects on which a contract was executed.

The retention period had to be increased to accommodate the 5-year 30-day public access period for competitive assistance applications required by section 102 of the HUD Reform Act; the implementing regulations in 24 CFR part 12; and the January 16, 1992, *Federal Register* Notice (57 FR 1942).

In addition, the same project can have both competitive and entitlement (noncompetitive) grant monies. Therefore, the longer retention period was needed to cover the project records regardless of the type of grant involved.

8. Completely revising and simplifying item 5c (now item 4c). The item now provides separate disposition instructions for (1) formula entitlement grants maintained on a program year basis and (2) all other grants, including discretionary or competitive grants.

NARA Job
NC1-207-79-
6, item 5c

The Comprehensive Planning Assistance (Section 701) Program is listed as an inactive program on page 4 of the proposed schedule. Item 5c(2) which covered the Section 701 grants was deleted. The remaining grant case files will be disposable under proposed item 4c(2). See par. 10 below.

NARA Job
NC1-207-79-
6, item
5c(2)

Item 5c(3) covering grant files of earlier categorical and special grant programs was deleted. Except for Urban Renewal Grants, all of these program records have been destroyed. The Urban Renewal program was carried over as an inactive program on page 4 of the proposed schedule. When

NARA Job
NC1-207-79-
6, item
5c(3)

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eligible, the 3 accessions of Urban Renewal Planning Files in the Washington National Records Center can be destroyed under proposed item 4b or 4c(2) as appropriate.

Item 5c(4) covering Neighborhood Facilities grant files was deleted. Under this item, the grant files had a 23-year retention after grant closeout because of a statutory prohibition against conversion of the facility for 20 years after the grant was made. Since the Housing and Urban Rural Recovery Act of 1983 repealed that statutory prohibition, the Neighborhood Facilities grant files can now be destroyed 6 years after grant closeout under proposed item 4c(2).

NARA Job
NC1-207-79-
6, item
5c(4)

Item 5c(5) covering grant files of the Open Space Land Programs (including Historic Preservation and Urban Beautification) was deleted. These records could not be destroyed due to a statutory prohibition against conversion that had no time frame. That prohibition was also repealed by the Housing and Urban Rural Recovery Act of 1983. These records will be disposable under proposed item 4c(2).

NARA Job
NC1-207-79-
6, item
5c(5)

9. Subdividing item 5d (now item 4d) to cover (1) program and technical review and processing copies related to applications for discretionary or competitive grants, and (2) copies related to applications for formula entitlement grants. The retention periods proposed for these copies are more precise and reflect the public access requirements of section 102 of the HUD Reform Act; the implementing regulations in 24 CFR part 12; and the January 16, 1992, *Federal Register* Notice (57 FR 1942).

NARA Job
NC1-207-79-
6, item 5d

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10. Adding a new item 4e to the schedule to reflect NARA Job N1-207-92-2. That Job designated as permanent the HUD Headquarters Library set of the final grant reports for the Comprehensive Planning Assistance (Section 701) Program, along with a printed copy of the automated index.

These final reports and printed index will be transferred to National Archives on January 1, 1997. Since the transfer will not be made soon, item 4e is being added as a future reminder. This item is not being submitted to NARA since NARA Job N1-207-92-2 already provides the disposition authority.

11. Renumbering existing item 6 as item 5 and deleting the word "Routine" from the records description. Since the disposition instructions are unchanged and the deletion is minor, this item is not being submitted to NARA for approval.

NARA Job
NC1-207-79-
6, item 6

12. Deleting existing item 7 which covers control records used to document actions taken from application filing to project closeout. These records no longer exist as a separate series of textual records. The information is included in the grant case file and entered into an electronic data system as part of the system records.

NARA Job
NC1-207-79-
6, item 7

13. Renumbering existing item 8 as item 6. This item covers the records of CPD's ADP systems. Since no other changes are being made at this time, this item is not being submitted to NARA for approval.

NARA Job
NC1-207-79-
6, item 8

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The CDBG Entitlement Determination (C13) system, now called the Demographic Eligibility and Allocations system, is the only one covered by item 8 that is still active (item 8c(12)). All of the other systems are inactive or deleted.

The only permanent system--the Rehabilitation Loans and Grants (R84) system--was deleted on 1-12-87 (item 8b(1)). A copy of the R84 master file for 1968-78 was transferred to National Archives in 1980 (NARA Job NN3-207-80-6).

The files of the current CPD ADP systems will be scheduled separately, using the procedures in HUD Handbook 2229.1, "Records Disposition Scheduling for Automated Systems." The new schedule items will replace item 8 (now item 6) when approved.

The proposed revision of HUD Records Disposition Schedule 69, "Community Planning and Development Records," is attached. After NARA approval, these revised items will be incorporated into HUD Handbook 2225.6 REV-1 as Appendix 69.

Items 3, 4e, 5 and 6 are not included in the attachment to this SF 115 for the reasons given above, but will be included in the printed Handbook change after revised Schedule 69 is approved.

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

A. Active Programs: This schedule provides disposition instructions for Headquarters and Field records relating to the following active Community Planning and Development (CPD) programs:

Affordable Housing-

Comprehensive Housing Affordability Strategy (CHAS)

HOME Disaster Assistance

HOME Investment Partnerships

HOPE for Homeownership of Single Family Homes (HOPE 3)

Community Development Block Grants (CDBG) -

Disaster Assistance

Entitlement Communities Program

Nonentitlement Program:

Insular Areas

Small Cities

States

Section 108 Loan Guarantee Program

Economic Development-

Empowerment Zones/Enterprise Communities

Youthbuild

Environment and Energy-

District Heating/Cooling Grants

John Heinz Neighborhood Development Program (NDP)

2225.6 REV-1 CHG-

APPENDIX 69

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Minority Business Enterprise-

General Technical Assistance/Management Improvement Grants

Minority Business Enterprise (MBE) Agreements

Minority Business Enterprise (MBE) Performance

Special Needs Assistance Program (SNAP) -

Emergency Shelter Grant (Formula)

Emergency Shelter Indian Tribe Competition

Housing Opportunities for Persons with AIDS Program (HOPWA):

Competitive

Formula

HUD-Owned Single Family Property Disposition Initiative

Section 8 Moderate Rehabilitation Single Room Occupancy
(SRO)

Shelter Plus Care (S + C) Program

Supportive Housing Program, including:

Permanent Housing for Handicapped Homeless

Renewals of Supportive Housing Grants

Transitional Housing for the Homeless

Surplus Property for Use to Assist the Homeless Program
(Title V)

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Special Purpose Grants-

Community Adjustment Planning Grants

Community Outreach Partnerships

Historic Black Colleges and Universities (HBCU)

Joint Community Development Program

National Cities - In Schools Program

National Community Development Initiative

Technical Assistance Program

Work Study Program

B. Inactive Programs: This schedule also covers records generated as a result of the following earlier categorical and other HUD grant programs:

Community Development Block Grants (CDBG):

Secretary's Discretionary Fund (Special Project Grants)

Comprehensive Homeless Assistance Plan (CHAP)

Comprehensive Planning Assistance (Section 701) Program

Energy Innovative Grants

Neighborhood Facilities

Open Space Land Program, including:

Historic Preservation

Urban Beautification

2225.6 REV-1 CHG-

APPENDIX 69

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Supplemental Assistance for Facilities to Assist the
Homeless (SAFAH)

Urban Development Action Grants (UDAG)

Urban Homesteading

Urban Renewal

C. Programs Covered by Other HUD Schedules: Records of the following earlier categorical and other HUD grant programs are covered by other HUD records disposition schedules:

For this program...	Use this HUD Sched- ule...
New Communities Records	60
Public Facilities Loans	16
Revolving Fund (Liquidating Programs)	16
Section 312 Rental Rehabilitation Loans and Grants	66
Solar Energy and Energy Conservation Bank	30
Title IX--Urban Information and Technical Assistance Grants	55

APPENDIX 69

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Item No.	Description of Records	Disposition
1.	General subject correspondence files. Consist of official record copies (Forms HUD-713 or equivalent) of outgoing correspondence, original incoming correspondence, and related documents.	Break files annually. Destroy when 3 years old.
2.	Chronological files.	Break files annually. Destroy when 3 years old. Do not retire to Federal Records Center.
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4.	Official CPD grant records kept in Headquarters and Field Offices.	
a.	Disapproved and withdrawn applications and proposals on which no contract was executed.	Use item 17-3 of HUD Records Disposition Schedule 3.
b.	Canceled, suspended, or terminated projects on which a contract was executed.	Place in inactive file after final audit and settlement of account. Retire to Federal Records Center 1 year after final audit and settlement of account, or any time thereafter that volume warrants. Destroy 6 years after final audit and settlement of account.

APPENDIX 69

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Item No.	Description of Records	Disposition
c.	Headquarters and/or Field Office approved grantee application, review, approval, and performance files.	
(1)	Formula entitlement grants maintained on a program year basis.	Maintain at official file station for 3 years after the end of the program year; then transfer to inactive file. Retire to Federal Records Center 4 years after the end of the program year, or any time thereafter that volume warrants. Destroy 6 years after the end of the program year.
(2)	All other grants. Includes discretionary or competitive grants.	Maintain at official file station until grant closeout; then transfer to inactive file. Retire to Federal Records Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 6 years after grant closeout.

APPENDIX 69

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

Item No.	Description of Records	Disposition
d.	Program and technical review and processing copies of grantee application packages, and all related work papers that typically accumulate at each step in the review process, but that do not constitute the official file containing the record copies of all approval actions.	
	(1) Related to applications for discretionary or competitive grants.	Retire 1 year after date of decision on award of the grant, or anytime thereafter that volume warrants. Destroy 5 years and 30 days after date of decision on award of the grant.
	(2) Related to applications for formula entitlement grants (noncompetitive grants).	Retire 1 year after date of notification of the award of the grant, or anytime thereafter that volume warrants. Destroy 3 years after date of notification of the award of the grant.