

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Department of Housing and Urban Development

2. MAJOR SUBDIVISION

Public & Indian Housing (PIH)

3. MINOR SUBDIVISION

Office of Native American Programs (ONAP)

4. NAME OF PERSON WITH WHOM TO CONFER

Iris Kerns, RMLO, PIH  
Pauline Grant, Mgmt. Analyst

5. TELEPHONE

(202) 708-0614  
(202) 708-0614

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-207-02-6

DATE RECEIVED

3/21/02

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE

4126  
7297  
9-10-03

ARCHIVIST OF THE UNITED STATES

Withdrawn

## 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 13 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,

is not required;

is attached; or

has been requested.

DATE

12-13-01

SIGNATURE OF AGENCY REPRESENTATIVE

*Brenda Smoot*  
Brenda Smoot

TITLE

Departmental Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
78	<p><b>RECORDS DISPOSITION SCHEDULE 35</b></p> <p><b>LOW-INCOME PUBLIC HOUSING AND RENTAL ASSISTANCE RECORDS</b></p> <p><b>OFFICE OF NATIVE AMERICAN PROGRAMS (ONAP)</b></p> <p>The Department of Housing and Urban Development (HUD) is proposing to add item 78, Office of Native American Programs (ONAP) records to Schedule 35, Low-Income Public Housing and Rental Assistance records.</p> <p>The proposed new item will provide disposition instructions for the Office of Native American Programs records. These files are not used for or needed for financial matters related to HUD activities, therefore, General Accounting Office (GAO) concurrence is not required.</p> <p>See the attached Description of Records and Disposition instructions for the Office of Native American Programs (ONAP) records for your approval.</p>	<p><i>Iris L. Kerns</i> 12/13/01 Office of Native American Programs (ONAP)</p> <p><i>Patricia A. Stark</i> 12/13/01 General Counsel (GC)</p> <p><i>Clementine Brantley</i> 12/13/01 Inspector General (IG)</p>	

**A. Native American Housing & Self-Determination Act of 1996 (NAHASDA)/Indian Housing Block Grant Program (IHBG)**

**Description:** A formula based grant for Native American Tribes and Alaska Native Villages to provide housing, housing services and related activities to low-income Native American or Alaskan Native families. *The law was based in 1996 and the first year of funding was in Fiscal Year 1998. The program is currently active and funding is ongoing.*

**1. NAHASDA/IHBG**

**Description:** Indian Housing Plan, Risk Assessment, Financial Information/Reports, Environmental Information, Performance Reports or other related documentation

Funded

Retain in office for 60 days after final closeout

Forward to Records Center following 60 day retention in office.

Destroy after 5 years of storage at records center.

Annual Accumulation 100 boxes/year

On Hand 25 boxes

**2. NAHASDA/APR**

**Description:** Annual Performance Reports prepared by grantees on a fiscal year basis. Correspondence related to the APR and all other documents relating to the completion/submission of the APR.

Retain in office for 3 years from receipt

Forward to Records Center following 3 year retention in office

Destroy after 5 years of storage at records center

Annual Accumulation: 65 boxes a year

On Hand: 30 boxes

**3. NAHASDA/IHBG – Formula Information**

**Description:** Items generally in this category will consist of formula information, challenges, adjustments, correspondence related to formula, electronic media, Formula contract management information, and synopsis of each years fiscal funding level for Tribes or Tribally Designated Housing Entities

**a. Formula Response Forms:**

Retain in office for 5 years from Final IHBG Formula allocation letter.

Forward to Records Center after 5 years retention in office.

Destroy after 10 years of storage at records center.

Annual Accumulation: 4 boxes

On Hand: 4 boxes

**Corrections & Challenges to IHBG Formulas:**

Office Retention: Retain in Office for 10 years from Final IHBG Formula decision letter/agreement

Forward to Records Center after 10 years retention in office.

Destroy after 15 years of storage at records center.

Annual Accumulation: 3 boxes

On Hand: 9 Boxes

**4. NAHASDA/IHBG – Title VI**

**Description:** This program authorizes HUD to guarantee financial obligations issued by Indian tribes or tribally designated housing entities (TDHEs) to pay for eligible affordable housing activities under the Indian Housing Block Grant program (IHBG)

**Not Guaranteed:**

Retain in Office for 2 years from rejection date

Forward to Records Center following 2-year retention in office

Destroy after 5 years of storage at records center.

Annual Accumulation: 2 boxes

On Hand: 4 boxes

**Guaranteed**

Retain in office 3 years after Guarantee goes into effect

Forward to Records Center after 3 years retention in office

Destroy after 33 years of storage at Records Center

Annual Accumulation: 2 boxes

On Hand 5 boxes

## **B. Section 184 Native American Guaranteed Loan – (ONAP)**

**Description:** The Indian Home Loan Guarantee Program (Section 184) gives Native Americans access to sources of private mortgage financing by providing loan guarantees to lenders. Section 184 covers one- to four-family homes located in Indian or Alaska Native areas where land may be held in trust by the U. S government for the benefit of a particular tribe or individual. The loans may be used for construction, acquisition, or rehabilitation of homes. *This program began in 1997 and is currently active and still receiving funding.*

### **1. Section 184 Native American Guaranteed Loan – (ONAP)**

#### Not Guaranteed

Retain in Office for 1 year from rejection date.

Forward to Records Center after 1-year retention in office

Destroy after 5 years of storage at records center.

Annual Accumulation 5 boxes

On Hand 50 on hand

#### Guaranteed

Retain in office 3 years after Guarantee goes into effect.

Forward to Records Center after 3 years retention in office.

Destroy 33 years of storage at records center.

Annual Accumulation 10 a year

On Hand. 25 on hand

## **C. Indian Community Development Block Grant (ICDBG) (ONAP)**

**Description:** The ICDBG program provides Indian country with direct grants, for use in developing viable Indian and Alaskan Native communities, including decent housing, a suitable living environment, and economic opportunities, primarily for low- and moderate-income persons. *The program began in the mid 1974 and is currently still active and continues to have funding on a yearly basis.*

### **1. Indian Community Development Block Grant (ICDBG) (ONAP)**

**Description:** ICDBG Application, Risk Assessment, Performance Reports, Financial Information/Reports, Environmental Information & Closeout documents

#### Non-Funded Grants

Retain in office for 60 days from Award of Grants.

Transfer to Record Center after 60 day retention in office.

Destroy after 5 years of storage at Records Center.

Annual Accumulation: 15 boxes

On Hand: 25 boxes

*b.* Funded Grants

Retain in office for 60 days after being closed & receipt of final audit with all findings cleared.

Transfer to Record Center after 60 day retention in office.

Destroy after 5 years of storage at records center.

Annual Accumulation: 30 boxes

On Hand: 100 boxes

**2. Imminent Threat Grant**

**Description:** Imminent Threat Application, Risk Assessment, Performance Reports, Financial Information Reports, Environmental Information & Closeout documents

*a.* Non-Funded Grants

Retain in office for 60 days from letter of denial

Forward to Records Center after 60 days retention in office.

Destroy after 5 years of storage at records center.

*b.* Funded Grants

Retain in office for 60 days after final closeout

Forward to Records Center after 60 day retention in office

Destroy after 5 years of storage at records center.

Annual Accumulation. 1 box

On Hand. 1 box

**D. Rural Housing and Economic Development – (CPD & ONAP)**

**Description:** Build capacity at the state and local level for rural housing and economic development and to support innovative housing and economic development activities in rural areas. Eligible applicants include. Local rural non profit organizations, community development corporations, Indian Tribes, State

Housing finance agencies & State economic development or community development agencies. These are three year grants. ***Program began in Fiscal Year 1999 and is currently active and continues to receive funding.***

**1. Rural Housing and Economic Development – (CPD & ONAP)**

**Description:** All program files, grant applications, financial information, correspondence and other related materials

*1. Un-Funded Grant Application*

Retain in office for 1 year and 30 days from the date of publication of Awarded Grants

Transfer to Record Center after 1 year retention in office.

Destroy after 4 years from date of shipping

**(Headquarters CPD are in charge of all of these files and they do the rating and ranking at this time. Therefore, we have no estimate on the number of boxes.)**

*2. Funded:*

Retain Grant Application, Financial Information & Performance Reports to be in office for 1 year after being closed & final audit.

Forward To Records Center after 1 year retention in office

Destroy after 5 years of storage at records center.

Annual Accumulation. 1 box  
On Hand: 0 boxes

**E. Traditional Indian Housing Programs (TIHD) (Mutual Help, Old Mutual Help, Low-Rent, Section 8, Mod Rehab) -- (ONAP) *The program began in the early 1960's and the last year of funding was Fiscal Year 1997 was the last year of funding under this program.***

**1. TIHD Project Files:**

*1. Un-Funded Grant Application*

Retain in office for 1 year from the date of publication of Awarded Grants.

Transfer to Record Center after 1 year retention in office.

Destroy after 5 years of storage at Records Center.

**NO records that are eligible for shipping.**

*2. Funded*

Retain in office Grant Application, Financial Information & Performance Reports for 1 year after being closed & final audit

Transfer to Record Center after 1 year retention in office

Destroy after 5 years of storage at records center.

Annual Accumulation: 1 box

On Hand: 10 boxes

**2. Comprehensive Grant (COMP Grant) & Comprehensive Improvement Assistance Program Grants (CIAP) -- (ONAP & PIH):**

**COMP Grant Description:** Comp Grant is the primary source of modernization funds for physical improvements to public/indian housing units and for improvements to the management and operational practices for existing public/indian housing projects for large public housing authorities (PHAs) or Indian Housing Authorities (IHAs)

**CIAP Description:** For public housing authorities that own or operate fewer than 250 units, CIAP is the primary source of funds for making physical and management improvements. This funding is also used for smaller Indian Housing Authorities.

*a. Un-Funded Grant Application*

Retain in office for 1 year from the date of publication of Awarded Grants.

Transfer to Record Center after 1 year retention in office

Destroy after 5 years of storage at records center.

**NO records that are eligible for shipping.**

*b. Funded:*

Retain in office Grant Application, Financial Information & Performance Reports for 1 year after being closed & final audit

Transfer to Record Center after 1 year retention in office.

Destroy after 5 years of storage at records center.

Annual Accumulation: 5 boxes

On Hand: 20 boxes

**The following grants have the same records disposition guidelines:**

- 1. Public & Indian Housing Drug Elimination Program (PIHDEP)/Indian Housing Drug Elimination Program (IHDEP), Public Housing Drug Elimination Program (PHDEP) – (Public Housing & ONAP)**

**Description:** Used in eliminating drug related crime and other criminal activities associated with drug related activities. Public and Indian Housing Authorities/Agencies, Indian tribes and tribally designated housing entities are eligible applicants

- A. **Project Files & Grant Application for Drug Elimination Program**
- B. **Project Files & Grant Application Files for Drug Elimination Technical Assistance Program**

**2. Family Investment Center (Public Housing & ONAP)**

**Description:** Provides grants to public housing agencies and Indian housing authorities to provide families living in public and Indian housing with better access to education and job opportunities to achieve self-sufficiency and independence.

- A. **Project Files & Grant Application Files**

**3. Economic Development and Supportive Services – Includes Section 8 Family Self-Sufficiency, Bridges to Work Demonstration Program, Housing Neighborhood Network & Resident Initiatives Programs -- (Public Housing & ONAP)**

**Description:** Economic development opportunities & supportive services to assist residents of public and Indian Housing to become economically self-sufficient. Also provides supportive services to assist elderly and persons with disabilities to live independently and prevent premature or unnecessary institutionalized. Grants can be up to three years in duration

- A. **Project Files & Grant Application Files**

**4. Youth Sports Program (Public Housing & ONAP)**

**Description:** To be used for sports, cultural awareness, education, recreational or other activities designed to appeal to youth as alternatives to the drug environment in Public or Indian Housing Developments

- A. **Project Files & Grant Application Files**

**5. Hope I (ONAP)**

**Description:** HOPE I helps low-income people buy public housing units by providing funds that nonprofit organizations, resident groups, and other eligible grantees can use to develop and implement homeownership programs.

- A. **Project Files & Grant Application Files**

**6. Resident Management Technical Assistance (Public Housing & ONAP)**

**Description:** Provides assistance to Resident Councils, Resident Management Corporations, and resident organizations to fund training and other activities for the Resident Management of Public and Indian Housing.

**A. Project Files & Grant Application Files**

**7. Resident Opportunities and Self Sufficiency Program (Formerly EDSS, TOP, and Public Housing Service Coordinators) – (Public Housing & ONAP)**

**Description:** The purpose of ROSS is to link services to public and Indian housing residents by providing grants for supportive services, resident empowerment activities and activities to assist residents in becoming economically self-sufficient. ONAP funded in FY 00 – Present.

**A. ROSS Project Files & Grant Application Files**

**B. Economic Development and Supportive Services (EDSS) Project Files & Grant Application Files**

**C. Tenant Opportunity Program (TOP) Project Files & Grant Application Files**

**D. Public Housing Service Coordinators Project Files & Grant Application Files**

**8. HOME Investment Partnership Program (CPD & ONAP)**

**Description:** The purpose of the HOME program is to expand the supply of decent, safe and affordable housing for low-income persons through partnership strategies that seek to leverage all available resources, including governmental, private, and non-profit sources. Funds were awarded competitively to eligible Indian tribes from fiscal year 1992 to 1997.

**A. Project Files & Grant Application Files**

**9. Comprehensive Early Childhood Demonstration Program (PH & ONAP)**

**Description:** Grants were awarded competitively to eligible applicants, such as nonprofit child-care providers, Head Start grantees and Resident Management Corporations and Resident Councils. Funds were used to increase the availability of comprehensive child development services for residents of public and Indian housing so that parents might improve their employment opportunities.

**A. Project Files & Grant Application Files**

**10. Emergency Shelter Grants Program (CPD & ONAP)**

**Description:** The program is designed as a first step in a continuum of assistance to enable homeless persons to move toward independent living, as well as to prevent homelessness. Funds were awarded competitively to Indian tribes from Fiscal Year 1995 to 1997.

**A. Project Files & Grant Application Files**

*a.* Un-Funded Grant Application

Retain in office for 1 year from the date of publication of Awarded Grants

Transfer to Record Center after 1 year retention in office

Destroy after 5 years of storage at records center.

**NO records that are eligible for shipping other than ROSS. (See below)**

Funded:

Retain in office Grant Application, Financial Information & Performance Reports for 1 year after being closed & final audit

Forward To Records Center after 1 year retention in office.

Destroy after 5 years of storage at records center.

**All Grants above with the exception of ROSS are no longer eligible grants for ONAP. Therefore the estimated number of boxes for shipment and for on hand will be as follows:**

**Annual Accumulation: 10 boxes**

**On Hand: 40 boxes**

**ROSS Unfunded:**

**Annual Accumulation: 15 boxes**

**On Hand: 25 boxes**

**ROSS Funded:**

**Annual Accumulation: 3 boxes**

**On Hand: 0 boxes**