

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 <i>NI-207-93-4</i>	
1. FROM (Agency or establishment) Department of Housing and Urban Development		DATE RECEIVED <i>4-23-93</i>	
2. MAJOR SUBDIVISION Office of the Assistant Secretary for Administration		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Office of Procurement and Contracts			
4. NAME OF PERSON WITH WHOM TO CONFER Carol L. Hutzell (ASES)		5. TELEPHONE (202) 708-1891	
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>4</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,		DATE <i>11-7-94</i>	
<input checked="checked" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		ARCHIVIST OF THE UNITED STATES <i>Cindy Huskary Peterson</i>	
DATE 04/16/93	SIGNATURE OF AGENCY REPRESENTATIVE <i>Johnny Hodges</i>	TITLE Departmental Records Management Officer	

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 GRS OR SUPERSEDED JOB CITATION	10.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 3 ADMINISTRATIVE RECORDS HUD is proposing to revise item 16 and add new items 17-2, 17-3 and 17-4 to HUD Records Disposition Schedule 3, "Administrative Records," to read as shown on the attached sheets. Schedule 3 was published as Appendix 3 of HUD Handbook 2225.6 REV-1, <u>HUD Records Disposition Schedules</u> . Following are the reasons for the proposed changes:		
	1. Item 16 is being revised to reflect the addition of items 17-2, 17-3 and 17-4.	NARA Job NI-207-91-1, item 16	
	2. New item 17-2 is a proposed exception to items 3a(1) and (2) of General Records Schedule (GRS) 3. GRS 3 was published as Appendix 3 to HUD Handbook 2228.2 REV-2, <u>General Records Schedules</u> .	GRS 3, items 3a(1) and (2)	
	a. "Interagency acquisitions" has been added to the description of routine procurement files.	GRS 3, item 13	WITHDRAWN <i>2/4/94</i>

- b. ~~The disposition instructions for the procurement office copies are the same as the GRS. However, the descriptions are being changed to distinguish between formal contracts in (1) and small/simplified purchases and interagency acquisitions in (2), rather than using the dollar thresholds in the GRS which are subject to change.~~
3. New item 17-3 is a proposed exception to item 13 of GRS 3. This item covers unsuccessful application files for grants and other forms of assistance including loans, cooperative agreements, and contracts not subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1).
- a. Unsuccessful application files for competitive assistance were given the 5-year 30-day retention period required by Subpart B of 24 CFR Part 12, the regulations implementing the public inspection requirement of section 102(a)(4)(E) of the HUD Reform Act.
- b. Unsuccessful application files for noncompetitive assistance have the same 3-year retention period as the GRS.
4. New item 17-4 was developed to cover files on grants and other forms of assistance created and maintained by the procurement office. These records were given a 6-year 3-month retention period.

After NARA approval, these revised/new items will be incorporated into Appendix 3 of HUD Handbook 2225.6 REV-1.

WITHDRAWN

2/4/94

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>Contracts, Grants, Supplies</u>		
16.	Records related to contracts subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1), to grants and other forms of assistance, and to obtaining supplies. Other forms of assistance include loans, cooperative agreements, and contracts <u>not</u> subject to the FAR.	
a.	Case files on grants and other forms of assistance created and maintained by HUD program offices such as Housing, Community Planning and Development, Fair Housing and Equal Opportunity, Public and Indian Housing, and Policy Development and Research. These files include accepted applications among other documents, related correspondence and final product files.	Use the appropriate HUD records disposition schedule covering the program's records.
b.	All other records.	Use General Records Schedule (GRS) 3 except:
		(1) Use item 17-2 of this Schedule in place of GRS 3, items 3a(1) and (2).
		(2) Use item 17-3 of this schedule in place of GRS 3, item 13.
		(3) Use items 17, 17-1, 17-4, 18, and 19 in addition to GRS 3.

WITHDRAWN
2/4/94

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>	
17-2.	Routine procurement files. Contract, requisition, purchase order, lease, bond and surety records, and interagency acquisitions, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in GRS 3, items 1 and 12).		
a.	Procurement or purchase organization copy, and related papers.		
(1)	Formal contracts under Federal Acquisition Regulation (FAR) Parts 14, 15, and 36.	Destroy 6 years and 3 months after final payment.	WITHDRAWN 2/4/94
(2)	Small/simplified purchases under Federal Acquisition Regulation (FAR) Part 8 or 13 and interagency acquisitions under FAR Subpart 17.5.	Destroy 3 years after final payment.	WITHDRAWN 2/4/94
17-3.	Files on unsuccessful applications for grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts <u>not</u> subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1). Files include applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.		

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	<p>a. Unsuccessful application files for grants and other forms of assistance under HUD programs that provide for competitive distribution of assistance. These programs are listed in 24 CFR Part 12, Subpart B, section 12.10, and are subject to the public inspection requirements of section 102(a)(4)(E) of the HUD Reform Act.</p> <p>b. Unsuccessful application files for grants and other forms of assistance under HUD programs that do <u>not</u> provide for competitive distribution of assistance.</p>	<p>Retain in office for 1 year after date of award of the grant or other form of assistance. Retire to the Federal Records Center anytime thereafter that volume warrants.* Destroy 5 years and 30 days after the date of award of the grant or other form of assistance. Unsuccessful application files for Section 312 Rehabilitation Loans are part of the Privacy Act System of Record HUD/DEPT-29.</p> <p>Retire inactive records to the Federal Records Center anytime after rejection or withdrawal that volume warrants. Destroy 3 years after rejection or withdrawal.</p>
17-4.	Procurement office files on grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts <u>not</u> subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).	Retain in office for 1 year after final payment. Retire to the Federal Records Center anytime thereafter that volume warrants. Destroy 6 years and 3 months after final payment.

*(Exception: The Community Planning and Development Processing and Control Unit in Headquarters may retire these records to the Center anytime after the date of award that volume warrants.)

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Sy Elter
9/7/94
via fax from
HUD, Carol
Hutzell

Sy Elter
5/17/93
as per fax
from Carol
HUTZELL