

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
(See Instructions on reverse)		JOB NUMBER <u>N1-207-96-2</u>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <u>10-19-95</u>	
1. FROM (Agency or establishment) Department of Housing & Urban Development		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of Housing (H)			
3. MINOR SUBDIVISION Office of Multifamily and Single Family Housing			
4. NAME OF PERSON WITH WHOM TO CONFER Pauline Grant Charles Patterson, RMLO (HOAM)	5. TELEPHONE 708-1891 708-0826	DATE <u>for</u> ARCHIVIST OF THE UNITED STATES <u>6/1/96</u> <u>James S. Moore</u>	
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>6</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, <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested.			
DATE <u>10/17/95</u>	SIGNATURE OF AGENCY REPRESENTATIVE <u>Joyce C. Hamm</u> Joyce C. Hamm	TITLE Chief, Records & Directives Branch	
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 GRS OR SUPERSEDED JOB CITATION	10.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 11 - HOUSING GRANT RECORDS (SEE ATTACHED PAGES)	<u>N1-207-86-3</u>	
	<u>Margaret Milner</u> Margaret Milner, Office of Elderly and Assisted Housing	<u>ph/L</u> Office of Inspector General	<u>8/11/95</u> Date
	<u>Barbara D. Hunter for</u> Albert B. Sullivan, Office of Multifamily Housing Management	<u>Debra L. ...</u> Office of the General Counsel	<u>8/31/95</u> Date
	<u>[Signature]</u> John J. Coonts, Office of Single Family Insured Housing	<u>John E. Wilson</u> Ass't Sec. for Field Management	<u>9/15/95</u> Date
All changes to this proposed schedule have been approved by: <u>Joan G. Elter</u> <u>6/6/96</u> <u>Joyce C. Hamm</u> <u>5/29/96</u> NARA appraiser date Agency representative date			
VOLUME ON HAND: <u>108</u> cubic feet			
ANNUAL ACCUMULATION: <u>14</u> cubic feet			

APPENDIX 11

RECORDS DISPOSITION SCHEDULE 11

HOUSING GRANT RECORDS

A. Active Programs: This schedule provides disposition instructions for Headquarters and Field records relating to the following active Housing grant programs:

Congregate Housing Services: On a competitive basis, HUD makes direct 5-year renewable grants to eligible applicants for a meals program, 7 days a week, and other supportive services needed by eligible residents to prevent premature and unnecessary institutionalization.

Drug Elimination Grants: HUD awards grants to Federally assisted low income housing projects for activities designed to eliminate drug-related crime.

HOPE 2 Homeownership of Multifamily Units: HUD awards grants on a competitive basis to assist eligible applicants in developing and carrying out homeownership programs for low-income families and individuals through the use of multifamily rental properties.

Housing Counseling Services: HUD awards housing counseling grants on a competitive basis to its approved agencies when the Congress appropriates funds for this purpose. The objective of the counseling is to help homebuyers, homeowners, and tenants to improve their housing conditions and meet their responsibilities.

Special Purpose Grants: In the HUD Appropriations Acts for Fiscal Years 1991, 1992, 1993, and 1995, Congress funded Special Purpose grants which were not under any normal HUD program authorization, but were designated by Congress for a specific purpose and for a specific State or local jurisdiction.

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B. Inactive Programs: This schedule also covers records generated as a result of the following earlier Housing grant programs which are now defunct:

Flexible Subsidy Grants: Before 1990, HUD provided assistance in the form of grants to privately owned, federally assisted multifamily housing projects to help restore or maintain their financial and physical soundness, improve their management, and maintain them for low- and moderate-income people.

In 1990, the program was converted to a loan program. This schedule covers the grant records created before 1990. Flexible Subsidy Records from 1990 to present which are related to the Flexible Subsidy Loan program will be covered by item 13 of HUD Records Disposition Schedule 10, "Records Relating to Multifamily Insured Programs."

Housing Development Grants: On a competitive basis, HUD awarded funds to units of local government to finance the substantial rehabilitation or new construction of rental housing, cooperatives, and mutuals. The program was intended to increase the availability of rental housing in areas of severe shortage.

The program legislation expired on September 30, 1989, but project owners are still bound by covenants to keep the assisted units available for occupancy by lower-income tenants for 20 or 30 years and not to convert the units to condominiums during this period.

Nehemiah Housing Opportunity Grants: Program provided funding for down payment assistance to homebuyers of moderate income by grants to private, nonprofit organizations. Funding was provided from FY 89 through FY 91.

Schedule 11, Housing Grant Records

1. General Subject/Chronological Program Correspondence.
Official record copies (Forms HUD-713 or equivalent) of outgoing correspondence, original incoming correspondence, copies of HUD issuances, notices, directives and related documents.

Temporary. Break files annually. Destroy 3 years after file break. (N1-207-86-3, item 1)
2. Disapproved and Withdrawn Competitive Grant Applications.
Headquarters and Field Office copies of disapproved and withdrawn competitive grant applications for which no contract was executed, and applications received after the deadline.

Temporary. Destroy 5 years 30 days after date of grant award. (N1-207-93-4, item 17-3a)
3. Cancelled, Suspended or Terminated Competitive Grant Case Files.
Headquarters and Field Office copies of cancelled, suspended or terminated competitive grant applications for which a contract was executed.

Temporary. Cut off and place in inactive file after final audit and settlement of account. Retire to Federal Records Center 1 year after cut off, or any time thereafter that volume warrants. Destroy 6 years after final audit and settlement of account.
4. Competitive Grant Case Files.
Headquarters and/or Field Office copies of approved competitive grant case files. Includes grantee application, review, approval, and performance documentation files.
 - a. Housing Competitive Grant Case Files for programs where the grantee has continuing obligations after closeout/settlement of the grant, including, but not limited to, Housing Development Action Grants (HODAG).

Temporary. Cut off and place in inactive file after grant closeout. Retire to Federal Record Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 20 years after grant closeout.
 - b. Flexible Subsidy Grant Case Files.
Headquarters and Field Office copies of all Flexible Subsidy Grant case records.

Temporary. Cut Off when both the Flexible Subsidy and mortgage loan have been paid in full. Retire to Federal Record Center 1 year after cut off. Destroy 7 years after both subsidy and loan have been paid in full.

c. HOPE 2 Grant Case Files.

(1). Headquarters Copies

Temporary. Cut off upon grant approval. Retire to Washington National Record Center 1 year after cut off. Destroy 9 years after grant approval.

OR ANYTIME THEREAFTER THAT VOLUME WARRANTS.

(2). Field Office Copies

(a). Implementation Grants.

Temporary. Cut off and place in inactive file after grant closeout. Retire to Federal Record Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 15 years after grant closeout.

(b). Planning Grants.

Temporary. Cut off and place in inactive file after grant closeout. Retire to Federal Record Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 6 years after grant closeout.

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Pauline Grant
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d. All other Housing Competitive Grant case files.

Temporary. Cut off and place in inactive file after grant closeout. Retire to Federal Record Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 6 years after grant closeout.

5. Review and Processing Copies of Competitive Grant Applications.

Headquarters and Field Office copies of program and technical review and processing copies of competitive grant application packages. Includes all related work papers that typically accumulate at each step in the review process.

a. Copies containing unique record notations not in grant case file.

May include competitive ranking sheets, scores on each of the relevant selection criteria, and other information indicating the basis for HUD's decision.

Temporary. Cut off on date of award grant. Retire to Federal Record Center 1 year after cut off. Destroy 5 years and 30 days after cut off.

b. Copies that do not contain any unique records notations.

Temporary. Destroy when no longer needed for reference, not to exceed 1 year after date of grant award.

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HOUSING GRANT 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.	
a.	Subject correspondence files containing policy and procedures on establishing and operating the program and reports on program accomplishments. (Current volume 103 cu. ft. covering material from 1990 to present. Accumulates 14 cu. ft. annually.)	PERMANENT. Maintain in separate file. Break files annually. Retire to Federal Records Center when 3 years old, or sooner if volume warrants. Transfer to National Archives when 10 years old.
b.	All other subject correspondence files.	Break files annually. Destroy when 3 years old.
2.	Disapproved and withdrawn competitive grant applications for which no contract was executed. Includes applications received after the deadline. Kept in Headquarters and Field Offices.	Use item 17-3a of HUD Records Disposition Schedule 3.
3.	Cancelled, suspended, or terminated competitive grant applications for which a contract was executed. Kept in Headquarters and Field Offices.	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

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Item No.	Description of Records	Disposition
		warrants. Destroy 6 years after final audit and settlement of account.
4.	Headquarters and/or Field Office approved competitive grant case files. Includes grantee application, review, approval, and performance documentation files.	Place in inactive file after grant closeout. Retire to Federal Records Center 1 year after grant closeout, or any time thereafter that volume warrants. Destroy 6 years after grant closeout.
5.	Program and technical review and processing copies of competitive grant application packages. Includes all related work papers that typically accumulate at each step in the review process. Kept in Headquarters and Field Offices.	
a.	Copies that contain unique record notations not included in the official grant case file. May include competitive ranking sheets, scores on each of the relevant selection criteria, and other information indicating the basis for HUD's decision.	Retire to Federal Records Center 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.

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Item No.	Description of Records	Disposition
b.	Nonrecord copies that do not contain any unique record notations.	Destroy 1 year after date of decision on award of the grant or when no longer needed for reference, whichever is earlier.