

Request for Records Disposition Authority

(See Instructions on reverse)

To: National Archives and Records Administration (NIR)
Washington, DC 20408

1. From: (Agency or establishment)

Department of Housing and Urban Development

2. Major Subdivision

3. Minor Subdivision

4. Name of Person with whom to confer

Barbara Dorf, CPD

Pauline Grant, Records Mgmt

5. Telephone (include area code)

(202) 708-0614 x 4637

(202) 708-0614 x 7297

Leave Blank (NARA Use Only)

Job Number

411-207-04-3

Date Received

9-6-2004

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

1-3-05

Archivist of the United States

J.W. Clark

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 **6** 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

has been requested

Signature of Agency Representative

Pauline Grant

Title

Departmental Records Officer

Date (mm/dd/yyyy)

8/24/04

7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
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RECORDS DISPOSITION SCHEDULE 8

HUD DEPARTMENTAL GRANT FINANCIAL ASSISTANCE RECORDS

The Department of Housing and Urban Development is proposing to add Schedule 8, Departmental Grants Financial Assistance Records to 2225.6, HUD Records Disposition Schedules. This record schedule is being added to the handbook to provide descriptions and dispositions for the program areas records of HUD that manage Federal financial assistance programs. This includes all Departmental programs that issue financial assistance agreements in the form of grants, cooperative agreements, capital fund or operating fund subsidies, capital advances, or other forms of financial assistance managed by the Department. This schedule does not cover Federal Housing Administration (FHA) insurance or loan guarantee transactions that are not associated with grants and financial assistance.

These files are used for financial matters related to HUD activities, therefore, General Accounting Office, (GAO) concurrence is required.

See the attached Description of Records and Disposition instructions for the HUD Departmental Grant Financial Assistance Records for your approval.

CC Agency NR numd

RECORDS DISPOSITION SCHEDULE 8

HUD DEPARTMENTAL GRANT FINANCIAL ASSISTANCE RECORDS

This schedule provides disposition instructions for the records created by the Department of Housing and Urban Development (HUD) program offices that manage Federal financial assistance programs. This includes all Departmental programs that issue financial assistance agreements in the form of grants, cooperative agreements, capital fund or operating fund subsidies, capital advances, or other forms of financial assistance managed by the Department. This schedule does not cover Federal Housing Administration (FHA) insurance or loan guarantee transactions that are not associated with grants and financial assistance. The schedule contains the descriptions and disposition instructions for the documentation required for competitive programs in accordance with the HUD Reform Act of 1989, 42 USC 3545 as implemented in 24 CFR Part 4, Subpart A. This schedule also contains descriptions and disposition instructions for mandatory or formula-based assistance documentation created and maintained according to OMB Circulars or policies and program specific legislative and regulatory authorities. The functional disposition authorities contained herein apply to all offices within HUD that deal with financial assistance programs including Native American Programs. If a program office has grant or other financial assistance award related program and program support records that have differing statutory requirements effecting retention obligations, Program Counsel should provide the justification for scheduling changes to the Departmental Records Officer. **NOTE:** Program offices with voluminous *active* records may contact the Departmental Records Officer and Federal records centers for storage arrangements.

Item No.	Description of Records	Disposition
1.	Grant Policy Records. Contains selection criteria, application criteria or procedures, or directives or guidance, policy and procedural development decisions, and other related materials for HUD's financial assistance programs (Supersedes NARA Job No.	
	<p>a. Official Record Copy.</p> <p>b. Other Copies. Includes reference and distribution copies. (Supercedes:</p>	<p>Permanent. Cut off procedures, criteria, and decisions that are superseded or become obsolete at end of calendar year must be placed in an inactive file. Transfer the oldest 5-year block of inactive files to the National Archives every 6 years. (NARA Job No. N1-207-04-X, Item 1a.)</p> <p>Temporary. Cut off and destroy when no longer needed for active business reference. (NARA Job No. N1-207-04-X, Item 1b)</p>

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HUD DEPARTMENTAL GRANT FINANCIAL ASSISTANCE RECORDS

Item No.	Description of Records	Disposition
2.	Selection Process Records. Contains selection process related records such as routine operational subject or case files that may include notice of funding availability, plans and annual applications, award and funding decisions, correspondence, and other related records regardless of media (electronic, textual, etc.). Selection Process records that become part of a Master File (Item 3b of this schedule), as a result of a renewal or continuation action, will follow the disposition instructions for the Master Files, (Note: program related publications and posters must be transferred to NARA for permanent retention). (Supersedes:	
	a. Awards that are not Mandatory or Formula Based Process Records.	Temporary. Cut off at end of calendar year or fiscal year in which selection and renewal process is concluded, as appropriate. Retire 2 years after cutoff. Destroy 6 years after cutoff. (NARA Job No. N1-207-04-X, item 2a.)
	b. Formula-Based Awards—Formula Allocation and notification process.	Temporary. Cut off at end of calendar year, program year or fiscal year in which program allocations are made and awarded, as appropriate. Retire 2 years after cutoff. Destroy 7 years after cutoff. (NARA Job No. N1-207-04-X, item 2b.)
3.	Award Agreement Case Files. The official agreement file may consist of a master file and individual award files. In those cases where multiple awards result from one NOFA, a master file should be prepared which contains all of the common documentation. The individual award files need only consist of information relating to each individual award. The master file should consist of the funding commitment and authority; NOFA and related training materials; successful application, including assurances and other representations and disclosures, as required by the NOFA; evaluation documentation; selection statement and negotiation record. The individual award files should consist of notification of award and/or obligating document; post selection negotiations documents; final statement of work or work plan including budget and performance matrix; program commitment documents; successful application including assurances and other representations and disclosures, as required by the NOFA; monitoring documentation;	

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HUD DEPARTMENTAL GRANT FINANCIAL ASSISTANCE RECORDS

Item No.	Description of Records	Disposition
3	selection statement; negotiation record; award correspondence; award document; HUD internal evaluations; risk assessments; performance assessments; sub-recipient reports; financial award deliverables (such as studies, reports, standards, or inventions); termination or suspension notices; amendments including any additional conditions added to agreements; closing documents and/or property transfer documents; environmental clearances; Inspector General reports or other documentation of actions from other HUD administrative or investigative arms and resulting compliance actions; documentation of technical or other assistance provided; audit findings; appropriate outside material that impacts the award agreement; and other related documentation. In those cases where multiple awards do not result from one NOFA, a single award case file will contain all documents listed in the description for the master and individual files. Also includes awards that are renewed or continued, cancelled, suspended, or otherwise terminated. (Applies to all award agreement types covered by this schedule.)	
a. Award Files.		Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff as appropriate to meet program business needs. Destroy six years after cutoff. (NARA Job N1-207-04-X/ 3a)
b. Master File.	Contains documents under which award selections and decisions are made.	
1)	Competitive and Non-Formula Awards.	Temporary. Cut off at end of fiscal or calendar year in which all Master File elements are closed out. Retire to record center sufficient time after cutoff as appropriate to meet program business needs. Destroy six years after cutoff. (NARA Job N1-207-04-X/ 3b1)

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HUD DEPARTMENTAL GRANT FINANCIAL ASSISTANCE RECORDS

Item No.	Description of Records	Disposition
3.	2) Formula Awards.	Temporary. Cut off at end of fiscal or calendar year in which all Master File elements are closed out. Retire to record center sufficient time after cutoff as appropriate to meet program business needs. Destroy seven years after cutoff. (NARA Job N1-207-04-X/ 3b2)
	c. Unsuccessful Applications (Supersedes: NARA Job No	Temporary. Cut off at end of calendar year in which final announcement of selections are made for competitive programs or after decisions are made not to fund potential mandatory program recipients, as appropriate. Retire to record center one year after cutoff. Destroy six years after cutoff. (NARA Job N1-207- 04-X, item 3c)
	d. Financial Award Deliverables. May consist of studies, reports, standards, inventions (description), or other related materials. (NOTE: Inventions shall be registered in iEdison Archive.) (Supersedes: NARA Job No.	Permanent. Cut off at end of calendar year in which HUD receives and accepts deliverable and place in an inactive file. Transfer oldest 5-year block of inactive files to the National Archives every six years. (NARA Job N1- 207- 04-X, item 3d)
4.	Financial Award Working Papers. Contains informal documents, routine correspondence, notes, drafts, and related materials. (Supersedes: NARA Job No.	Temporary. Cut off at end of calendar year in which the agreement is closed out. Destroy six years after cutoff or when no longer needed for reference, whichever is sooner. (NARA Job N1-207- 04-X, item 4)

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HUD DEPARTMENTAL FINANCIAL ASSISTANCE RECORDS

Item No.	Description of Records	Disposition
5.	Program Support Files.	
a.	Routine program award support files. May contain unofficial copies of award case file documents that assist in processing evaluating, monitoring, or used for other case file administration that do not impact the award agreement. (Supersedes NARA Job No.	Temporary. Cut off at end of calendar year in which financial assistance award case is closed out. Retire to record center sufficient time after cutoff as appropriate to meet program business needs. Destroy when no longer needed for reference, or 6 years after cutoff, whichever is sooner. (NARA Job No. N1-207-04-X, Item 5a.)
b.	Program award support case files for projects where the grantee has continuing obligations after close out or settlement of the grant or financial assistance award. (Supersedes NARA Job No.	Temporary. Cut off at end of calendar year in which the grant or financial award is closed out or when HUD's obligation to monitor award performance concludes as dictated by program statute, as appropriate. Retire to record center sufficient time after cutoff as appropriate to meet program business needs. Retain inactive records for a minimum of 6 years, and then destroy when no longer needed for reference or 20 years after cutoff, whichever is sooner. (NARA Job No. N1-207-04-X, Item 5b.)
6.	General Subject and Chronological Correspondence Files. (Note: Subjects of potentially permanent value should be identified and scheduled separately.)	Temporary. Cut off at end of calendar or fiscal year, as appropriate. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-04-X, Item 6)
7.	Electronic Copies. Electronic version records created by electronic mail and/or word processing applications for the series contained in this schedule.	

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HUD DEPARTMENTAL FINANCIAL ASSISTANCE RECORDS

Item No.	Description of Records	Disposition
7.	<p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy.</p> <p>b. Copies used for the dissemination, revision, or updating is complete.</p>	<p>Temporary. Delete within 180 days after the record-keeping copy has been produced. (NARA Job No. N1-207-04-3, item 7a.)</p> <p>Temporary. Delete when dissemination, revision, or updating is complete. (NARA Job No. N1-207-04-3, item 7b.)</p>

**HUD GRANT SF-115s Crosswalk
for NARA Job No. N1-207-04-3**

<u>New HUD Handbook Number</u>	<u>Old HUD Handbook Number</u>	<u>NARA Job Number</u>
2225.6/Sch. 8/Item 1a, Policy	2225.6/Sch. 11/Item 1	N1-207-86-3/ Item 1*
2225.6/Sch. 8/Item 1b, Policy		
2225.6/Sch. 8/Item 2a, Selection C	2225.6/Sch. 11/Item 5a 2225.6/Sch. 11/Item 5b 2225.6/Sch. 35/Item 76c1 2225.6/Sch. 35/Item 67 2225.6/Sch. 69/Item 4d1	N1-207-96-2/ 5a N1-207-96-2/ 5b N1-207-97-7/ 76c1 N1-207-84-3/ 65b [Check if applies] N1-207-94-4/ 4d1
2225.6/Sch. 8/Item 2b, Selection F	2225.6/Sch. 69/Item 4d2	N1-207-94-4/ 4d2
2225.6/Sch. 8/Item 3a, Awards	2225.6/Sch. 3/Item 16a 2225.6/Sch. 3/Item 16b 2225.6/Sch. 3/Item 16b2 2225.6/Sch. 3/Item 16b3 2225.6/Sch. 3/Item 17 2225.6/Sch. 3/Item 17-1 2225.6/Sch. 11/Item 3 2225.6/Sch. 11/Item 4b 2225.6/Sch. 11/Item/ 4c1 2225.6/Sch. 11/Item 4c2a 2225.6/Sch. 11/Item 4c2b 2225.6/Sch. 11/Item 4d 2225.6/Sche/16/Item 24 2225.6/Sch. 35/Item 76b2 2225.6/Sc. 50/Item 9a1 & 9a3 2225.6/Sch. 65/Item 3b 2225.6/Sch. 69/Item 4b 2225.6/Sch. 69/Item 4c1 2225.6/Sch. 69/Item 4c2 2225.6/Sch. 69/Item 4e1	N1-207-93-4, Item 16a GRS 3 GRS 3, 13 (N1-207-93-4/ 16b2/ 17-3) GRS 3 (N1-207-93-4/ 16b3) N1-207-91-1/ 17 N1-207-91-1/ 17-1 N1-207-96-2, item 3 N1-207-96-2/ 4b N1-207-96-2/ 4c1 N1-207-96-2/ 4c2a [go in Item 5b?] N1-207-96-2/ 4c2b N1-207-96-2/ 4d NC-207-76-4/ 24 [Check if applies] N1-207-97-7/ 76b2 N1-207-02-3/ 9a1 & 9a3 N1-207-97-2/ 3b N1-207-94-4/ 4b N1-207-94-4/ 4c1 N1-207-94-4/ 4c2 N1-207-02-2/ 4e1
2225.6/Sch. 8/Item 3b1, Master File		
2225.6/Sch. 8/Item 3b2, Master File		

<u>New HUD Handbook Number</u>	<u>Old HUD Handbook Number</u>	<u>NARA Job Number</u>
2225.6/Sch. 8/Item 3c, Unsucc.Aps.	2225.6/Sch. 3/Item 17-3a 2225.6/Sch. 3/Item 17-3b 2225.6/Sch. 11/Item 2 2225.6/Sch. 65/Item 3a 2225.6/Sch. 69/Item 4a 2225.6/Sch. 50/Item 2	N1-207-93-4/ 17-3a N1-207-93-4/ 17-3b N1-207-93-4/ 17-3a N1-207-97-2/ 3a N1-207-93-4/ 17-3a N1-207-02-3/ 9a1
2225.6/Sch. 8/ Item 3d, Deliverables	2225.6/Sch. 55/Item 4 2225.6/Sch. 65/Item 3c 2225.6/Sch. 65/Item 3d 2225.6/Sch. 69/Item 4f1 2225.6/Sch. 69/Item 4f2	NN-172-166/ 4 N1-207-97-2/ 3c N1-207-97-2/ 3d N1-207-92-2/ 1 N1-207-92-2/ 2
2225.6/Sch.8/Item 4, Working Papers	2225.6/Sch. 69/Item 4e2	N1-207-02-2/ 4e2
2225.6/Sch.8/Item 5a, Prog. Support		
2225.6/Sch. 8/Item 5b, Prog. Support	2225.6/Sc. 11/Item 4a	N1-207-96-2/ 4a
2225.68/Sch. Item 6, Gen. Subj/Chron	2225.6/Sch. 11/Item 1 2225.6/Sch. 35/Item 76b1 2225.6/Sch. 69/Item 1 2225.6/Sch. 69/Item 2	N1-207-96-2/ 1 (N1-207-86-3/ 1)* N1-207-96-7/ 76b1 N1-207-94-4/ 1 N1-207-94-4/ 2

<u>NARA Number</u>	<u>Old HUD Number</u>	<u>New HUD Number</u>
N1-207-02-1, OTAR	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-02-2, EDI Grants (CPD)	2225.6/Sch. 69/Item4e1	2225.6/Sch. 8/Item 3a
N1-207-02-3, FHIP	2225.6/Sch. 50/Item9a1)	2225.6/Sch. 8/Item 3a
	2225.6/Sch. 50/Item9a2)	2225.6/Sch. 8/Item 3c
	2225.6/Sch. 50/Item9a3)	2225.6/Sch. 8/Item 3a
N1-207-97-2, item 3	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-96-2, Housing Grants	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-96-6, item 9	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-96-7, item 76	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-95-3	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-94-1, item 6a	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-94-4, item 4	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-94-6, items 6	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-93-4	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-92-2	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-91-1	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-80-5, item 44c	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-79-2, item 6	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-79-6, item 8	2225.6/Sch. /Item	2225.6/Sch. 8/Item

NC1-207-79-11, items 17 and 18	2225.6/Sch. /Item	2225.6/Sch. 8/Item
NC1-207-78-8, item 6 and 7	2225.6/Sch. /Item	2225.6/Sch. 8/Item
N1-207-76-2, item 24	2225.6/Sch. /Item	2225.6/Sch. 8/Item
NC1-207-76-4, items 14, 16c, 19, 24	2225.6/Sch. /Item	2225.6/Sch. 8/Item
NN-172-166, items 2 and 3 and 4	2225.6/Sch. /Item	2225.6/Sch. 8/Item

Still Valid Authorities

2225.6/Sch. 3/Item 16b1	GRS 3, 3a1 & 3a2 (N1-207-95-3) Routine Procurement
2225.6/Sch. 3/Item 18	N1-207-91-1/ 18 Extra Copies Final Reports

* 2225.6/Schedule 11/Item 1 combines two record series, Policy Issuances that are permanent value records and General Subject and Chronological Correspondence Files that are of temporary value.

[Check if flexible subsidies from Schedule 10 can be considered part of this or not.]