U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Administration

Special Attention of:

Headquarters Records Management Liaison Officers
Field Office Records Management Liaison Officers

Transmittal for Handbook No: 2225.6 REV-1 CHG - 56

Issued: January 28, 2005

1. **This Transmits:** Change 56 of Handbook 2225.6, REV-1, HUD Records Disposition Schedules, Schedule 8, HUD Departmental Grant Financial Assistance Records.

2. **Summary:** Items 1 thru 7, Schedule 8, HUD Departmental Grant Financial Assistance Records is being added to the handbook to provide descriptions of records and disposition instructions for all HUD program offices that issue Federal financial assistance (grants, cooperative agreements, etc.). These descriptions of records and disposition instructions were approved by the National Archives and Records Administration, (NARA), on January 3, 2005, NARA Job Number N1-207-04-3.

3. **Filing Instructions:**

Remove:	**Insert:**
None	Appendix 8, CHG-56, pages 1-6, dated 1/05

Distribution: W-3-1 (Special Direct by AJADR)

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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 (Supercedes NARA Job No.	
	a. Official Record Copy.	**Permanent.** Cut off procedures, criteria, and decisions that are superseded or become obsolete at end of calendar year and must be placed in an inactive file. Transfer the oldest 5-year block of inactive files to the National Archives every six years. (NARA Job No. N1-207-04-3, item 1a)
	b. Other Copies. Includes reference and distribution copies.	**Temporary.** Cut off and destroy when no longer needed for active business reference. (NARA Job No. N1-207-04-3, item 1b)

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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.)	
	a. Awards that are not Mandatory or 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 two years after cutoff. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, 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 two years after cutoff. Destroy seven years after cutoff. (NARA Job No. N1-207-04-3, 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 Notice of Funding Availability (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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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 to meet program business needs. Destroy six years after cutoff. (NARA Job N1-207-04-3, item 3a)
	b. Master File. Contains documents under which award selections and decisions are made.	
	(1) Competitive and 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 N1-207-04-3, item 3b1)

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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 N1-207-04-3, item 3b2)
	c. **Unsuccessful Applications.**	**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 N1-207-04-3, item 3c)
	d. **Financial Award Deliverables.** May consist of studies, reports, standards, inventions (description), and other related materials (**NOTE:** Inventions shall be registered in iEdison Archive.)	**Permanent.** Cut off at end of calendar year in which HUD receives and accepts deliverable and place in an inactive file. Transfer oldest five-year block of inactive files to the National Archives every six. years. (NARA Job N1-207-04-3, item 3d)
4.	**Financial Award Working Papers.** Contains informal documents, routine correspondence, notes, drafts, and related materials.	**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 N1-207-04-3, item 4)

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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.	**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 six years after cutoff, whichever is sooner. (NARA Job No. N1-207-04-3, 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.	**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 six years, and then destroy when no longer needed for reference or 20 years after cutoff, whichever is sooner. (NARA Job No. N1-207-04-3, 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 one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-04-3, item 6)

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Item No.	Description of Records	Disposition
7.	**Electronic Copies.** Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule.	
	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 recordkeeping copy.	**Temporary.** Delete within 180 days after the record-keeping copy has been produced. (NARA Job No. N1-207-04-3, item 7a.)
	b. **Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.**	**Temporary.** Delete when dissemination, revision or updating is complete. (NARA Job No. N1-207-04-3, item 7b.)