

**RECORDS DISPOSITION SCHEDULE 69**

**COMMUNITY PLANNING AND DEVELOPMENT RECORDS**

**A. Active Program:** This schedule provides disposition instructions for Headquarters and Field records relating to the following active Community Planning and Development (CPD) programs:

**Affordable Housing -**

Comprehensive Housing Affordability Strategy (CHAS)

Home Disaster Assistance

Home Investment Partnerships

HOPE for Homeownership of Single Family Homes (HOPE 3)

Acquisition and Relocation

**Community Development Block Grants (CDBG) -**

Disaster Assistance

Entitlement Communities Program

Nonentitlement Program:

Insular Areas

Small Cities

States

Section 108 Loan Guarantee Program

**Economic Development -**

Empowerment Zones/Enterprise Communities

Youthbuild

**Environment and Energy -**

District Heating/Cooling Grants

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John Heins Neighborhood Development Program (NDP)

Minority Business Enterprise (SNAP) -

General Technical Assistance/Management Improvement  
Grants

Minority Business Enterprise (MBE) Agreements

Minority Business Enterprise (MBE) Performance

Special Needs Assistance Program (SNAP) -

Emergency Shelter Grant (Formula)

Emergency Shelter Indian Tribe Competition

Housing Opportunities for Persons with AIDS Program (HOPWA):

Competitive

Formula

HUD-Owned Single Family Property Disposition Initiative

Section 8 Moderate Rehabilitation Single Room Occupancy  
(SRO)

Shelter Plus Care (S+C) Program

Supportive Housing Program, Including:

Permanent Housing for Handicapped Homeless

Renewal of Supportive housing Grants

Transitional Housing for the Homeless

Surplus Property for Use to Assist the Homeless Program  
(Title V)

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**Special Purpose Grants-**

Community Adjustment Planning Grants  
Community Outreach Partnerships  
Historic Black Colleges and Universities (HBCU)  
Joint Community Development Program  
National Cities - In Schools Program  
National Community Development Initiative  
Technical Assistance Program  
Work Study Program

**B. Inactive Programs:** This schedule also covers records generated as a result of the following earlier categorical and other HUD grant programs:

Community Development Block Grants (CDBG)  
Secretary's Discretionary Fund (Special Project Grants)  
Comprehensive Homeless Assistance Plan (CHAP)  
Comprehensive Planning Assistance (Section 701) Program  
Energy Innovative Grants  
Neighborhood Facilities

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Open Space Land Program, including:

Historic Preservation

Urban Beautification

Supplemental Assistance for Facilities to Assist the Homeless (SAFA)

Urban Development Action Grants (UDAG)

Urban Homesteading

Urban Renewal

C. Programs Covered by Other HUD Schedules: Records of the following earlier categorical and other HUD grant programs are covered by other HUD records disposition schedules:

For this program	Use this HUD Schedule...	
New Communities Records		60
Public Facilities Loan		16
Revolving Fund (Liquidating Program)		16
Section 312 Rental Rehabilitation Loans Grants		66
Solar Energy and Energy Conservation Bank		30
Title IX--Urban Information and Technical Assistance Grants		55

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Item No.	Description of Records	Disposition
1.	<b>General Subject Correspondence files.</b> Consist of official record copies (Forms HUD-713 or equivalent) of outgoing correspondence, original incoming correspondence, and related documents.	<b>Temporary.</b> 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)
2.	<b>Chronological files.</b>	<b>Temporary.</b> 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)
3.	<b>Reference copies</b> of legal opinions, policy and procedural issuances, interpretations, informational releases and publications, and any related published materials maintained in Community Planning and Development (CPD) offices.	<b>Temporary.</b> Destroy when superseded or obsolete, or when no longer needed for reference. Do not retire to Federal Records Center. (NARA Job No. N1-207-79-6, item 4)
4.	<b>Official CPD grant records</b> kept in Headquarters and Field Offices.	
	a. Disapproved and withdrawn applications and proposals on which no contract was executed.	<b>Temporary.</b> Cut off at end of calendar year in which final announcements of selections are made for competitive programs or after decisions are made not to fund potential mandatory program recipients,

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Item No.	Description of Records	Disposition
		as appropriate. Retire to record center one year after cutoff. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(c))
	b. Canceled, suspended, or terminated project on which a contract was executed.	<b>Temporary.</b> 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 No. N1-207-04-3, item 3(a))
	c. Headquarters and/or Field Office approved grantee application, review, approval, and performance files.	
	(1) Formula entitlement grants maintained on a program year basis.	<b>Temporary.</b> 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 No. N1-207-04-3, item 3(a))

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<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
	(2) All other grants. Includes discretionary or Competitive grants.	<b>Temporary.</b> 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 No. N1-207-04-3, item 3(a))
d.	Program and technical review and processing copies of grantee application packages, and all related work papers that typically accumulate at each step in the review process, but that do not constitute the official file containing the record copies of all approval actions.	
	(1) Related to applications for discretionary or competitive grants.	<b>Temporary.</b> Cut off at end of calendar year or fiscal year in which selection and renewal processes is concluded as appropriate. Retire two years after cutoff. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 2(a))
	(2) Related to applications for formula entitlement grants (noncompetitive grants).	<b>Temporary.</b> 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. (NARA Job No. N1-207-04-3, item 2(b))

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<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
	<p>e. Economic Development Initiative Grants (EDI). Case files for competitive grants supporting Section 108 funded projects and grants earmarked by Congress for specific projects that encourage the creation of affordable housing, home-ownership, building renovations, historic preservation and restoration, land acquisition, educational centers, and other diverse areas relating to EDI. Record materials include applications, correspondence, budgets, ratings, progress reports, deliverables, and other related materials. Files are arranged according to an alpha-numerical scheme identifying these case files as EDI and the fiscal year. Dates: 1998 to Present. Estimated annual accumulation of closed files: 15 cubic feet.</p>	
	<p>(1) Record Copy.</p>	<p><b>Temporary.</b> 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 No. N1-207-04-3, item 3(a))</p>

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<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
	(2) All other copies.	<b>Temporary.</b> 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 No. N1-207-04-3, item 4)
f.	Final grant reports of the comprehensive Planning Assistance (Section 701) Program.	
	(1) Record set of final grant reports, dated 1951-1981, kept in HUD Headquarters Library.	<b>PERMANENT.</b> Cut off at end of calendar year in which HUD receives and accepts deliverables and place in an inactive file. Transfer oldest five-year block of inactive files to the National Archives every six years. (NARA Job No. N1-207-04-3, item 3(d))
	(2) Final grant reports automated index-printed version.	<b>PERMANENT.</b> Cut off at end of calendar year in which HUD receives and accepts deliverables and place in an inactive file. Transfer oldest five-year block of inactive files to the National Archives every six years. (NARA Job No. N1-207-04-3, item 3(d))

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Item No.	Description of Records	Disposition
5.	Financial accounting files relating to CPD grant programs and maintained By the Headquarters Office of Finance and Accounting and/or by the Regional Accounting Division.	
	a. Accountable Officers' files.	Use General Records Schedule 6, item 1a.
	b. Memoranda or extra copies of accountable officers' returns.	Use General Records Schedule 6, item 1b.
6.	Case files on appeals and civil cases filed under the URA or HCD Act. Records documenting appeals and Civil cases filed under the uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended (URA) or section 104(d) of the Housing and Community Development Act of 1974 as amended (HCD Act). Includes appeal requests, HUD determinations, documentation of any possible financial relief notifications of rights, litigation files and related documentation.	
	(a) Appeals	<b>Temporary.</b> After HUD's decision on appeal, retire 1 year after resolution or final payment (if any) or anytime thereafter volume warrants. Destroy 6 years after HUD's Decision on appeal. (NARA Job No. N1-207-07-1, item 6 (a))

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<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
(b)	Civil Cases	<b>Temporary.</b> Retire 1 year after court ruling, settlement, and/or all payments are made (if required), or anytime thereafter volume warrants. Destroy 6 years after court ruling. (NARA Job No. N1-207-07-1, item 6 (b))
7. <b>Electronic Copies.</b> Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule (Economic Development Initiative Targeted Grant records).		
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.	<b>Temporary.</b> Delete within 180 days after the recordkeeping copy has been produced. (NARA Job No. N1-207-02-2, item 6a.)
b.	Copies used for dissemination, revision, or updating is complete.	<b>Temporary.</b> Delete when dissemination, revision, or updating is complete. (NARA Job No. N1-207-02-2, item 6b.)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
8.	Community Planning and Development automated systems and the related documentation required to service them.	
a.	Newly established CPD automated systems not covered in this Records Disposition Schedule.	Prepare Standard Form 115, Request for Records Disposition Authority, to cover new automated system. Submit through CPD's Data Systems and Statistics Division to the Departmental Records Management Officer. Attach a copy of the layout and the glossary of terms/general purpose format. (NARA Job NC1 207-79-6, item 8a)
b.	The following automated system is "permanent."	
(1)	Rehabilitation Loans and Grants System (R84).	
(a)	System documentation, including a copy of the record layout and glossary terms.	Permanent. Transfer a copy to the National Archives, together with a copy of the current master file. (NARA Job NC1-207-79-6, item 8b(1)(a)).

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(b)	System documentation maintained by HUD, including all technical documents identified in HUD's ADP Documentation Standards Manual.	Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-6, item 8b(1)(b))
(c)	Input Documents. Copies of forms and reports intended to serve solely as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-79-6, item 8b(1)(c))
(d)	Input Documents. Documents that are part of official record files covered elsewhere in this schedule.	Destroy in accordance with relevant instructions in this schedule. (NARA job NC1-207-79-6, item covered 8b(1)(d))
(e)	Processing Files. Initial, Intermediate or Valid Transaction Data.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8b(1)(e))
(f)	Processing Files. Publication and Print Files.	Apply provisions of General Records Schedule (GRS) 20, items 20 and 21.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(g) Master Files. Copy of current master file.	Transfer a copy of the current master to the National Archives immediately and future updates on an annual basis. (NARA Job NC1-207-79-6, item 8b(1)(g))
	(h) Master files retained in HUD tape library.	Scratch after third update cycle. Destroy final version of master 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-6, item 8b(1)(h))
	(i) Printouts and other output reports.	Destroy when superseded, obsolete, or no longer needed for administrative or reference purposes. (NARA Job NC1-207-79-6, item 8b(1)(i))

C. COMMUNITY PLANNING AND DEVELOPMENT GRANT RECORDS

The following Automated Systems are "Disposable."

- (1) Community Development Block Grant (CDBG) Discretionary Balance Study System, 1975 (C29).
- (2) CDBG Discretionary Balance Study System, 1976 (C30).

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(3)	CDBG Discretionary Grants System (C20).	
(4)	CDBG Entitlement Determination System (D98).	
(5)	CDBG Funding Survey System (C15).	
(6)	CDBG Grantee Performance System (C21).	
(7)	CDBG Management System (C11).	
(8)	CDBG Program Evaluation System (C16).	
(9)	Comprehensive Planning Assistance Data System (CPADS) (C23).	
(10)	Comprehensive Planning Fund Allocation System (C10).	
(11)	Land Acquisition/Relocation System (LARS) (C12).	
(12)	CDBG Entitlement Determination System (C13).	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(13)	CDBG Housing Assistance Plan System (HAPS-1976) (C25).	
(14)	Rehabilitation Section 312 Returned Loan Analysis System (C31).	
(15)	CDBG Discretionary Applications Analysis System.	
(16)	CDBG Discretionary Balance Study System, 1977 (C32).	
(17)	CDBG Entitlement Applications Analysis System.	
(18)	Community Planning and Development (CPD) Programs Fund Assignment System (C27).	
(19)	CPD Workload Indicators System (C22).	
(20)	Comprehensive Planning Assistance Directory System (C17).	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(21)	Open Space System.	
(22)	Urban Development Action Grant (UDAG) Data Analysis System.	
(23)	Water and Sewer Directory System.	

Disposition instructions for these systems are:

- |     |   |   |
|-----|---|---|
| (a) | System documentation maintained by HUD, including all technical documents identified in HUD's ADP Documentation Standards Manual. | Retire to Federal Records Center 1 year after system is eliminated from inventory of active systems, or any time after such event that volume warrants. Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-6, item 8c(a)). |
| (b) | Input Documents Copies of forms and reports intended to serve solely as inputs to the system.                                     | Destroy after data has been entered into system and verified. (NARA Job NC1-2077-79-6, item 8c(b))  |

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(c)	Input Documents. Documents that are part of official record files covered elsewhere in this schedule.	Destroy in accordance with relevant instructions in this schedule. (NARA Job NC1-207-79-6, item 8c(c))
(d)	Processing Files.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8c(d))
(e)	Master File. Operational processing mode.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8c(e))
(f)	Master File. System eliminated from HUD's inventory of active systems.	Retire to Federal Records Center with system documentation. Destroy 3 years after system's elimination from inventory of active systems. (NARA Job NC1-207-79-6, item 8c(f))
(g)	Printouts and output reports.	Destroy when superseded or obsolete, or no longer needed for administrative or reference purposes. (NARA Job 207-79-6, item 8c(g))

9. RESERVED.

**Records Disposition Schedule 69**

**Community Planning and Development Grant Records**

**System Name: Homeless Assistance Management Information System  
(HAMIS)**

**System Code: C38**

**Description: The C38 System is a microcomputer system used to manage homeless assistance support systems which are comprised of application process systems, selection support systems and data downloaded from the Line of Credit Control System (LOCCS). Its master files are contained in its Application History System (AHS) and its Office of Special Needs Assistance Programs (SNAPS) Management Information System (SNAPS-MIS), a post selection system.**

**The C38 System receives and transmits information as support for CPD's Homeless Programs such as Emergency Shelter Grants Program (ESGP), Community Development Block Grant (CDBG) Homeless Assistance Programs, Surplus Property for Use to Assist the Homeless (Title V), Supplemental Assistance for Facilities to Assist the Homeless (SAFAH) Program, the Transitional and Permanent Housing Component of the Supportive Housing Demonstration Programs. The C38 System receives and transmits information which covers grant applications, grant awards, post approval monitoring and grantee performance reporting.**

**This system also provides support for other CPD activities pertaining to the homeless. Data are transmitted via magnetic media to the Interagency Council on the Homeless which is currently a working group for the White House Domestic Policy Council.**

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System Name: Homeless Assistance Management Information System  
System Code: C38

Item

No.                      Description of Records                      Disposition

9. Homeless Assistance Management Information System (HAMIS) (C38).

a. Application History System (AHS). Consists of data used for responses to ad hoc queries from the public, Congress and analyses for CPD management.

(1) AHS Data. Data is maintained in 19 separate tables.

(a) 1987-1993.

PERMANENT. Transfer 1 ASCII copy of data for each table to the National Archives (NA) upon schedule approval.  
(NARA Job #1-207-96-6, item 9 a (1) (a))

(b) 1993 forward.

PERMANENT. Transfer 1 ASCII copy to NA every 5 years or before the system becomes inactive, is replaced, suspended, or deleted whichever is sooner.  
(NARA Job #1-207-96-6, item 9 a (1) (b))

(2) System documentation. May consist of data elements dictionary, record layouts, source codes, user's manual and related documentation.

PERMANENT. Transfer to NA with the related data.  
(NARA Job #1-207-96-6, item 9 a (2))

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**Community Planning and Development Grant Records**

**System Name: Homeless Assistance Management Information System**  
**System Code: C38**

<b><u>Item No.</u></b>	<b><u>Description of Records</u></b>	<b><u>Disposition</u></b>
	(3) AHS Output Reports.	Destroy when superseded or when no longer needed. (HARR Job #1-207-96-6, item 9 a (3))
b.	SNAPS Management Information System (SNAPS MIS). Consists of data which form the basis of a post selection support system. The data in this system partially duplicate data in the AHS.	
	(1) SNAPS MIS Data.	Delete when superseded or no longer needed. (HARR Job #1-207-96-6, item 9 b (1))
	(2) System Documentation for SNAPS MIS.	Delete when superseded or no longer needed. (HARR Job #1-207-96-6, item 9 b (2))
	(3) SNAPS MIS Output Reports.	Delete when superseded or no longer needed. (HARR Job #1-207-96-6, item 9 b (3))

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**Community Planning and Development Grant Records**

**System Name: Homeless Assistance Management Information System**  
**System Code: C38**

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
c.	Application Tracking System (ATS). Consists of temporary data used to process applications for assistance. Selected data copied to AHS before deletion.	
(1)	ATS Data.	Delete after copies made to AHS have been verified. (HAMA Job #1-207-96-6, item 9 c (1))
(2)	System Documentation for ATS.	Delete when superseded or no longer needed. (HAMA Job #1-207-96-6, item 9 c (2))
(3)	ATS Output Reports.	Delete when superseded or no longer needed. (HAMA Job #1-207-96-6, item 9 c (3))