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## APPENDIX 35

## RECORDS DISPOSITION SCHEDULE 35

## LOW INCOME PUBLIC HOUSING AND RENTAL ASSISTANCE: PROGRAM RECORDS

SYSTEM NAME: Community Development Block Grant (CDBG) Indian Program System

SYSTEM CODE: C01

DESCRIPTION: The CDBG Indian Program System (C01 System) is a microcomputer system which functions as an applicant selection and program analysis device for Indian CDBG program funds, on a fiscal year basis. During applicant selection, Office of Native American Program staff members use the C01 System to score data input from applications submitted in competition for Indian CDBG program funds. This applicant selection process is explained in the Notice of Fund Availability (NOFA), published annually in the Federal Register. After applicants have been selected to receive Indian CDBG funding, C01 System data input are transferred to Public and Indian Housing (PIH) in HUD Headquarters for program analyses. The C01 System is not used for financial transactions.

## Item

No.Description of RecordsDisposition

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|-----|----|---|---|
| 76. | a. | System documentation. Consists of an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of automated data processing systems. Includes, but not limited to the completed: inventory listing of files being transferred with record count; records layout with data elements numbered; data elements dictionary; Privacy Act system notice covering the records when applicable; and the Technical Description for Transfer of Electronic Records to the National Archives (NA Form 14097) or its equivalent. | Dispose of after the system is replaced or deleted, whichever is sooner. (NARA Job N1-207-96-7, item 76a) |
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Program System

SYSTEM CODE: C01

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(1)	System documentation updates. Replace or revise the previous system documentation used as master set.	Dispose of after the system is replaced or deleted, whichever is sooner. (NARA Job N1-207-96-7, item 76a(1))
(2)	System documentation replaced by updates.	Dispose of after related data files have been disposed. (NARA Job N1-207-96-7, item 76a(2))
(3)	System documentation final master set. No longer updated, being replaced, needed or used by HUD.	Dispose of after the system is replaced or deleted, whichever is sooner. (NARA Job N1-207-96-7, item 76a(3))

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Item  
No.

Description of RecordsDisposition

b. Administrative correspondence.

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| (1) | General correspondence from various tribes and other parties relating to Indian CDBG funds. This includes photocopies of NOFAs stocked for the year. | Dispose of after 1 year old. (NARA Job N1-207-96-7, item 76b(1))   |
| (2) | Paper applications submitted to receive Indian CDBG funds.   | Dispose of after 5 years and 30 days after the date Indian CDBG funds have been awarded. (NARA Job N1-207-96-7, item 76b(2)) |

c. Data Input.

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| (1) | Office of Native American Program (ONAP) data input. Data from paper applications used for scoring and selecting applicants. | Verify and transfer 1 copy to HUD Headquarters annually (at the end of each calendar year) after selecting applicants. Delete after 3 years old. (NARA Job N1-207-96-7, item 76c(1)) |
| (2) | Headquarters data files. Consist of data transferred to Headquarters from ONAP data input.                                   | Break file annually (at the end of each calendar year) and delete when 1 year old. (NARA Job N1-207-96-7, item 76c(2))   |

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
d.	Output files. Consist of various hardcopy reports.	Dispose of when no longer needed. (NARA Job N1-207-96-7, item 76d)
e.	Software.	Dispose of when no longer needed. (NARA Job N1-207-96-7, item 76e)

**RECORDS DISPOSITION SCHEDULE 35**

**OFFICE OF PUBLIC AND INDIAN HOUSING**

**OFFICE OF TROUBLED AGENCY RECOVERY (OTAR)**

The Office of Troubled Agency Recovery , (OTAR) is to coordinate with all program areas to support the recovery of troubled Public Housing Authorities (PHA), thereby ensuring the provision of decent, safe, and sanitary housing for all public housing residents. It is OTAR's responsibility to assist troubled PHAs to reach standard or better performance through the development and implementation of sustainable solutions. The scope of this effort encompasses all troubled PHAs nationally, including both the administration of all Low Rent Public Housing and tenant-based Section 8 programs. As a part of that effort, Troubled Agency Recovery Centers (TARC) will concentrate on the use of technical assistance contracts or grants provided to the PHAs in order to effect recovery. All areas of a PHA will be analyzed and targeted for improvement including community relations and involvement, financial and management improvements, and community revitalization.

<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
77	<p><b>1. Program Subject Files.</b> Contains office correspondence, HUD distributed reports, program budget and operational plans, contracts, Memoranda of Understanding (MOUs), audit reports, and related materials. Arrangement: alphabetical by subject title. Dates: 1998 – Present. Estimated annual Accumulation: 5 cubic feet.</p> <p><b>2. Troubled PHA Case Files.</b> Contains documentation on causes of a PHA's assessment failure, particularly in the following areas: management operations, financial condition, physical condition, and resident services and satisfaction, as well as recovery plans to effect the PHA's successful assessment in the future. Records include correspondence, memoranda, copies of electronic mail messages, recovery plans, improvement implementation plans, copies of local government hearings, related press releases, copies of court orders, technical support summaries, MOUs, cooperative agreements, audit reports, financial accounts, and other related materials. Arrangement: alphabetical by name of PHA, thereunder by subject. Dates: 1998 – Present. Estimated annual Accumulation: 5 cubic feet. (<b>NOTE:</b> Cases that are appealed go to the Real Estate Assessment Center.)</p>	<p><b>Temporary.</b> Cut off at end of calendar year. Retire to records center 1 year after cutoff. Destroy 3 years after Cutoff. (NARA Job No. N1-207-02-1, item 1.)</p>



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OFFICE OF PUBLIC AND INDIAN HOUSING

OFFICE OF TROUBLED AGENCY RECOVERY (OTAR)

Item No.	Description of Records	Disposition
	a. Record Copy.	<b>Temporary.</b> Cut off at end of calendar year in which case is closed. Retire to records center 2 years after cutoff. Destroy 6 years after cutoff. (NARA Job No. N1-207-02-1, item 2a.)
	b. All other copies. Working case files for troubled PHAs.	<b>Temporary.</b> Cut off at end of calendar year in which case is closed. Destroy 1 year after cutoff. (NARA Job No. N1-207-02-1, item 2b.)
3.	<b>Annual Reports and Publications.</b> Contains the OTAR program Annual Report, newsletters, pamphlets, brochures, booklets, Frequently Asked Questions for distribution, paper version Website published for public access (unless information is captured elsewhere), policy and procedural Manuals, and other publications. Arrangement: alphabetical by title, thereunder, in reverse chronological order. Dates: 1998-Present. Estimated annual accumulation: 5 cubic feet.	<b>PERMANENT.</b> Cut off at end of calendar year. Retain on-site in 3-year blocks. Transfer to the National Archives when oldest publication in block is 3 years old. (NARA Job No. N1-207-02-1, item 3.)

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OFFICE OF PUBLIC AND INDIAN HOUSING

OFFICE OF TROUBLED AGENCY RECOVERY (OTAR)

Item No.	Description of Record	Disposition
4.	<b>Electronic Copies.</b> Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule (Office of Troubled Agency Recovery 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, or other personal directories on hard disk or network drives that are used only to produce the recordkeeping copy.	<b>Temporary.</b> Delete within 180 days after the record-keeping copy has been produced. (NARA Job No. N1-207-02-1, item 4a)
b.	Copies used for dissemination, revision, or updating is complete.	<b>Temporary.</b> Delete when Dissemination, revision, or updating is complete. (NARA Job No. N1-207-02-1, item 4b)



**RECORDS DISPOSITION SCHEDULE 35**

**PUBLIC AND INDIAN HOUSING**

**SPECIAL APPLICATIONS CENTER (SAC)**

<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
78	<p>The Special Applications Center (SAC) enables the Office of Public and Indian Housing to assist Housing Authorities in their efforts to efficiently and effectively meet the housing needs of their communities through the specialized review and approval of non-funded, non-competitive applications, related to:</p> <p><b>1. Section 18 Application Case Files.</b> Contains Applications, application support materials, correspondence, copies of electronic mail, faxes, and other related materials. The purpose of these records is to seek approval for the document demolition and/or disposition of properties that have received HUD funding. Dates: 1990 to present. Estimated annual accumulation: 27 cubic feet.</p> <p><b>a. Disapproved or Withdrawn Applications.</b></p> <p><b>b. Approved Application Case File-Record Copy.</b></p>	<p><b>Temporary.</b> Cut off file at the end of the calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-1a.)</p> <p><b>Temporary.</b> Cut off file at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 7 years after cutoff. (NARA Job No. N1-207-02-5, item 78-1b.)</p>

**RECORDS DISPOSITION SCHEDULE 35**

**PUBLIC AND INDIAN HOUSING**

**SPECIAL APPLICATIONS CENTER (SAC)**

<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
	<b>c. Field Office Copies.</b>	<b>Temporary.</b> Cut off file at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job N1-207-02-5, item 78-1c.)
	<b>d. All Other Copies.</b> Convenience or working copies.	<b>Temporary.</b> Destroy or delete file when no longer needed for reference. (NARA Job No. N1-207-02-5, item 78-1d.)
<b>2.</b>	<b>Section 202 Applications.</b> Contains Applications, application support materials, correspondence, copies of electronic mail, faxes, and other related materials. The purpose of these records are to seek approval for and document conversion of residents from low-rent project-based assistance to tenant-based assistance (Section 8). Dates: 1998 to present. Estimated annual accumulation: 1 cubic foot.	
	<b>a. Disapproved or Withdrawn Applications.</b>	<b>Temporary.</b> Cut off file at end of the calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-2a.)
	<b>b. Approved Application Case File-Record Copy.</b>	<b>Temporary.</b> Cut off file at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 7 years after cutoff. (NARA Job No. N1-207-02-5, item 78-2b.)

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PUBLIC AND INDIAN HOUSING

SPECIAL APPLICATIONS CENTER (SAC)

Item No.	Description of Records	Disposition
	<b>c. Field Office Copies.</b>	<b>Temporary.</b> Cut off file at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-2c.)
	<b>d. All Other Copies.</b> Convenience or working copies.	<b>Temporary.</b> Destroy or delete file when no longer needed for reference. (NARA Job No. N1-207-02-5, item 78-2d.)
<b>3.</b>	<b>Homeownership Applications.</b> Contains Applications, application support materials, correspondence, copies of electronic mail, faxes, and other related materials. The purpose of these records are to seek approval for and document the sale of units under annual contributions contract to residents or individuals who are eligible to become residents. Dates: 1998 to present. Estimated annual accumulation: 4 cubic feet.	
	<b>a. Disapproved or Withdrawn Applications.</b>	<b>Temporary.</b> Cut off at end of the calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-3a.)
	<b>b. Approved Application Case File-Record Copy.</b>	<b>Temporary.</b> Cut off at end of the calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 7 years after cutoff. (NARA Job No. N1-207-02-5, item 78-3b.)

**RECORDS DISPOSITION SCHEDULE 35**  
**PUBLIC AND INDIAN HOUSING**  
**SPECIAL APPLICATIONS CENTER (SAC)**

<b>Item No.</b>	<b>Description of Records</b>	<b>Disposition</b>
	<b>c. Field Office Copies.</b>	<b>Temporary.</b> Cut off at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-3c.)
	<b>d. All Other Copies.</b> Convenience or working copies.	<b>Temporary.</b> Destroy or delete file when no longer needed for reference. (NARA Job No. N1-207-02-5, item 78-3d.)
<b>4.</b>	<b>Designated Housing.</b> Contains Applications, application support materials, correspondence, copies of electronic mail, faxes, and other related materials. The purpose of these records are to seek approval for and document the designation of annual contributions contract units for elderly, handicapped or mixed. Dates: 1995 to present. Estimated annual accumulation: 5 cubic feet.	
	<b>a. Disapproved or Withdrawn Applications.</b>	<b>Temporary.</b> Cut off file at end of calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 3 years after cutoff. (NARA Job No. N1-207-02-5, item 78-4a.)
	<b>b. Approved Application Case File-Record Copy.</b>	<b>Temporary.</b> Cut off at end of the calendar year in which case is closed. Retire to records center 1 year after cutoff. Destroy 7 years after cutoff. (NARA Job No. N1-207-02-5, item 78-4b.)