



RECORDS DISPOSITION SCHEDULE 35

LOW INCOME PUBLIC HOUSING AND RENTAL ASSISTANCE: PROGRAM RECORDS

This schedule provides disposition instructions for HUD records accumulating under the U.S. Housing Act of 1937 (42 U.S.C. 1401 et seq.) as amended and 24 CFR 275. It includes the Section 8 Housing Assistance Payments (HAP), Section 23, Conventional, Turnkey, Acquisition, Modernization and Indian Housing programs. These programs provide assistance to low-income families in the form of direct payments for the cost of building, operating and/or modernizing rental housing for low-income families (Public Housing) and housing assistance payments to reduce rents in housing built with private, public or FHA-insured financing or leased from private owners (Section 8 Lower-Income Housing Assistance).

Records created and maintained under the Indian Housing program are the same as those created and maintained under the Public Housing program. Therefore, wherever the term "public housing agency" appears in this schedule, it includes Indian housing agencies.

This schedule covers both Headquarters and Field records related to the programs listed above wherever they are maintained except for related records maintained by the Headquarters Office of Finance and Accounting.

NOTE: The Section 8 and Section 23 program files are covered by items 67 through 73 of this schedule. All other program files are covered by items 1 through 66. Item 74 covers the ADP systems pertaining to all the programs.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>Public Housing Program Reservation and Management</u>		
1.	Organization Transcript file. Contains the documents evidencing the creation of the public housing agency.	Destroy 6 years after termination and expiration of all contracts and obligations of HUD with the public housing agency. (NARA Job NC1-207-79-12, item 1)
2.	Nonrecord copies of Cooperation Agreement between the public housing agency and the local governing body	Destroy 6 years after termination and expiration of all

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	(or taxing body) regarding tax exemption, payments in lieu of taxes, equivalent elimination of substandard dwellings (when required by statute), providing services to projects, and other forms of cooperation.	contracts and obligations of HUD with the public housing agency. (NARA Job NC1-207-79-12, item 2)
	(Note: The record copies are kept by the Office of Finance and Accounting.)	
3.	Cooperation Agreement File. Contains documents on housing projects conveyed from War Housing use to low-income use, including indenture of lease, cooperation agreement between public housing agency (PHA) and the local governing body (taxing body), copy of transcript of PHA's proceedings containing resolution authorizing the indenture of lease, computation of effective tax rate, and related correspondence.	Destroy 5 years after termination of Annual Contributions Contract or Administration Contract. (NARA Job NC1-207-79-12, item 3)
4.	Notification of Housing Assistance Availability (NOHAA) or HUD advertisements and invitations.	Destroy 2 years after issuance. (NARA Job NC1-207-79-12, item 4)
5.	Public housing agency applications for Program Reservation of Low-Income Housing and for Preliminary Loan, supporting documents, Program Reservation, and related correspondence.	
	a. Approved applications.	Destroy 5 years after the Annual Contributions Contract is executed. (NARA Job NC1-207-79-12, item 5a)
	b. Disapproved or withdrawn applications.	Place in inactive file upon disapproval or

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		withdrawal. Retire to a Federal Records Center 1 year after disapproval or withdrawal or when volume warrants. Destroy 3 years after disapproval or withdrawal. (NARA Job NC1-207-79-12, item 5b)
6.	Application File containing the application for conveyance of a permanent War Housing Project for low-income use, general certificate, extract of minutes of meeting of members of public housing agency and related correspondence.	Destroy 5 years after termination of Annual Contributions Contract or Administration Contract. (NARA Job NC1-207-79-12, item 6)
7.	RESERVED.	
8.	Management Policy File containing correspondence; public housing agency (PHA) management policies including occupancy, personnel and procurement policies; and copies of PHA resolutions establishing such policies.	Destroy 1 year after HUD management and occupancy audit of housing agency. (NARA Job NC1-207-79-12, item 8)
9.	Project insurance policies, fidelity bonds, and related correspondence.	
	a. Insurance policies and related correspondence.	Place in inactive file when policy expires and retire to a Federal Records Center 1 year thereafter. Destroy 6 years after policy expires. (NARA Job NC1-207-79-12, item 9a)
	b. Fidelity bonds and related correspondence.	Place in inactive file at end of bond premium period following termination and retire to Federal Records

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		Center 3 years thereafter. Destroy 6 years after termination of bond. (NARA Job NC1-207-79-12, item 9b)
10.	Subject File, consisting of correspondence and documents relating to the management of low-income housing projects.	
	a. Special cases involving unusual problems, special test programs or other novel arrangements.	Destroy when 5 years old or when no longer needed for reference or administrative purposes, whichever is later. (NARA Job NC1-207-79-12, item 10a)
	b. All other files.	Destroy when 3 years old. (NARA Job NC1-207-79-12, item 10b)
11.	Management Review and Trip Reports. Files containing correspondence and documents relating to management audits and reports; annual status reports of management operations, trip reports, consolidated reviews of management operations, management check lists, and management reviews.	Destroy 1 year after HUD audit of public housing agency. (NARA Job NC1-207-79-12, item 11)
12.	Administration Contract File containing the Administration Contracts and amendments, copy of quitclaim deed, inventory report, extract of minutes of meeting of public housing agency authorizing the execution of deeds and other documents, copy of general depository agreement.	Destroy 5 years after termination of Annual Contributions Contract or Administration Contract. (NARA Job NC1-207-79-12 item 12)

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<u>Public Housing Finance and Budget</u>		
13.	Preliminary Loan Contract and documents required for advances of funds under the contract.	Retire to a Federal Records Center when contract is terminated and funds advanced under the contract have been repaid. Destroy 6 years after contract termination and repayment of funds. (NARA Job NC1-207-79-12, item 13)
14.	Nonrecord copies of Annual Contributions Contract including amendments, public housing agency authorizing resolutions, and other related documents and correspondence. (Note: The record copies are kept by the Office of Finance and Accounting.)	Destroy 6 years after termination or expiration of the contract. (NARA Job NC1-207-79-12, item 14)
15.	Nonrecord copies of Lists of Preliminary Loan Contracts and Annual Contributions Contracts to be entered into by HUD and public housing agencies for Low-Rent Housing Projects. Includes project docket file copies kept by Field Offices. (Note: The record copies are kept by the Office of Finance and Accounting).	Destroy when no longer needed for administrative purposes. Review annually. (NARA Job NC1-207-79-12, item 15)
16.	Administrative file containing copies of reports, surveys, and special studies relating to public housing agency budget preparation, budget review, reserve fund data, admini-	Break file at end of fiscal year and place in inactive file. Retire inactive file to a Federal Records Center when 3 years old. Destroy when 10 years old. (NARA Job NC1-207-79-12, item 16)

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	strative loan data, management feasibility, accounting, and investments.	
17.	Operating budget documents and records relating to HUD review and approval, including work-papers and rough data, copies of consolidated budget analyses, budget approval sheets, budget revision approval, waivers, and related correspondence.	Break file at end of fiscal year and place in inactive file. Retire inactive file to a Federal Records Center when 3 years old. Destroy when 6 years old. (NARA Job NC1-207-79-12, item 17)
18.	Financial reports consisting of statements of operating receipts and expenditures, supporting data and related correspondence.	Break file at end of fiscal year and place in inactive file. Retire inactive file to a Federal Records Center when 3 years old. Destroy when 6 years old. (NARA Job NC1-207-79-12, item 18)
19.	Records relating to payments made in lieu of taxes, Public Voucher for Payments Made to Taxing District in Lieu of Taxes, tax reports, correspondence, and other documents supporting payments.	Break file at end of fiscal year and place in inactive file. Retire inactive file to a Federal Records Center when 3 years old. Destroy when 6 years old. (NARA Job NC1-207-79-12, item 19)
20.	Case files consisting of the Advance Note, Requisition for Funds, General Certificate, Certificate of Purpose, Note Signature Certificate, and other related documents and correspondence.	Destroy 3 years after date of payment of respective note. (NARA Job NC1-207-79-12, item 20)
21.	Case files or records relating to temporary financing of housing projects, consisting of	

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	Note Transcript, Requisition for Funds, Note Signature Certificate, Requisition Agreement, Public Housing Agency Resolution, minutes of meetings, Certificate as to Transmission of Temporary Notes and supporting documents, and other related documents required for temporary financing.	
	a. Case files relating to temporary financing prior to permanent financing.	Destroy 10 years after the Annual Contributions Contract is executed (approved). (NARA Job NC1-207-79-12, item 21a)
	b. Case files relating to temporary financing after permanent financing.	Destroy 4 years after date of permanent financing. (NARA Job NC1-207-79-12, item 21b)
22.	Case files of records relating to permanent financing of housing projects, consisting of Permanent Note, Requisition for Funds, Note Transcript, Note Signature Certificate, Amendments, Bond Transcript, minutes of meetings of public housing agency and other related documents required for permanent financing.	Destroy 6 years after all obligations, contracts, and liabilities have been paid and satisfied in full. (NARA Job NC1-207-79-12, item 22)
23.	File of individual mortgages of rural low-income housing projects held by HUD containing a copy of the mortgage, copy of the mortgage note, and related correspondence.	Place in inactive file upon issuance of mortgage release and retire to the Federal Records Center 2 years thereafter. Destroy 6 years after date of release of HUD mortgage interest. (NARA Job NC1-207-79-12, item 23)

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24.	Reports on fiscal audits of public housing agencies which contain the auditor's comments, balance sheets, and Notices of Exceptions and Findings which reflect noncompliance with HUD policies and contractual provisions.	Destroy after Actual Development Cost Certificate is issued. (NARA Job NC1-207-79-12, item 24a)
	a. Reports on Audit involving development costs.	
	b. All other Reports on Audit.	
	(1) Reports on Audit containing Notices of Exceptions and Findings, or items requiring follow-up.	Destroy 3 years after corrective action on all Exceptions and Findings requiring follow-up has been completed. (NARA Job NC1-207-79-12, item 24b(1))
	(2) Reports on Audit containing no Notices of Exceptions and Findings or items requiring any follow-up.	Destroy 3 years after date of memorandum transmitting report to the Regional Office. (NARA Job NC1-207-79-12, item 24b(2))
<u>Public Housing Development, Design and Construction</u>		
25.	Development Program, supporting documents, and related correspondence for each public housing project.	Retire to a Federal Records Center when an Actual Development Cost Certificate is issued. Destroy 5 years after issuance of the Actual Development Cost Certificate. (NARA Job NC1-207-79-12, item 25)
26.	Development cost forms and related papers relative to the development cost of projects.	

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a.	Actual Development Cost Certificate and supporting documents (Development Cost Control Statement and Breakdown of Construction and Equipment Costs), Determination of Minimum Development Cost (latest), and all Development Cost Budgets.	Retire to a Federal Records Center after issuance of the Actual Development Cost Certificate. Destroy after all HUD financial interest is liquidated. (NARA Job NC1-207-79-12, item 26a)
b.	All other documents.	Destroy 3 years after issuance of the Actual Development Cost Certificate. (NARA Job NC1-207-79-12, item 26b)
27.	Low-Rent Housing Project Planning Correspondence File, containing copies of correspondence and documents relating to planning aspects of the selection of sites, project and city planning, and technical assistance and advice.	Destroy 6 years after final settlement of the Construction Contract. (NARA Job NC1-207-79-12, item 27)
28.	Subject and project files containing correspondence, documents, and drawings relating to technical and engineering aspects of site planning for housing projects. Includes plans reviewed for the selection of sites, reports of surveys and studies, research and background material, and tentative and final site approvals.	Destroy 5 years after construction is completed. (NARA Job NC1-207-79-12, item 28)

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29.	Site acquisition records, including copies of contracts for survey, for title information or legal services, for appraisals, and for securing options; appraisals and appraisal reports; surveys; site maps; perimeter descriptions; and other related documents and correspondence including form HUD-5922, Final Report on Completed Land Acquisition, and form HUD-5325, Land Summary.	Close file and retire to a Federal Records Center when Actual Development Cost Certificate is issued. Destroy 6 years after the Actual Development Cost Certificate is issued. (NARA Job NC1-207-79-12, item 29)
30.	Preliminary documents, including preliminary specifications, drawings, utility analysis, and other related documents and correspondence.	Close case and move to inactive file when validly executed contract documents are approved. Destroy inactive case file after final settlement of the construction contract. (NARA Job NC1-207-79-12, item 30)
31.	Architect's and Engineer's Contract File. Includes contract forms, fee schedules, correspondence and other papers relating to administration and payment. Also includes project diagrams and photographs made before demolition or construction and during construction.	Retire to a Federal Records Center after final settlement of the Construction Contract. Destroy 6 years after final settlement of the Construction Contract. (NARA Job NC1-207-79-12, item 31)
32.	Project docket file. Consists of demolition, construction, equipment and	Close file and retire to a Federal Records Center after the Actual Development Cost

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	landscape contract forms, specifications, Turnkey Contracts of Sale, plans, addenda, change orders, construction inspection reports, guarantee bonds or similar warranties, and Certificates of Completion. Also includes project diagrams and photographs made after the project is completed.	Certificate is issued. Destroy 6 years after the Actual Development Cost Certificate is issued. (NARA Job NC1-207-79-12, item 32)
33.	Correspondence, field reports and other documents concerning the administration and payment of demolition, construction, equipment, and landscape contracts.	Retire to a Federal Records Center after final settlement of the contract. Destroy 6 years after final settlement of the contract. (NARA Job NC1-207-79-12, item 33)
34.	Project and subject files containing correspondence and documents, plans, and tracings relating to research, survey, and studies of the design and construction of public housing for the development of standards.	
	a. Files required for research and reference purposes.	Destroy 5 years after construction is completed or when research and reference value ceases, whichever is later. Review annually. (NARA Job NC1-207-79-12, item 34a)

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b.	All other files.	Destroy 5 years after construction is completed. (NARA Job NC1-207-79-12, item 34b)
35.	Project and subject files containing correspondence and documents and structural plans relating to the structural design of public housing projects. Includes material relating to site preparation and foundations of housing projects; basic research material on steel, clay, wood, and other materials; material relating to site and structural plans of housing projects; and reports of tests conducted on housing projects.	Destroy 5 years after construction is completed. (NARA Job NC1-207-79-12, item 35)
36.	Subject files containing correspondence and documents relating to specifications used in projects. Includes original drawings and sketches used in bulletins, background material and notes and reports.	Destroy when 5 years old. (NARA Job NC1-207-79-12, item 36)