

LAREDO HOUSING AUTHORITY RETENTION RECORDS POLICY

RESOLUTON 13-R-1

Date: March 27, 2013

WHEREAS, the housing authority has possession of and continues to receive, a wide range of records in the normal course of conducting the agency's business;

WHEREAS, the retention of records in the agency's possession are regulated by 24 CFR 990.325 which prohibits the destruction of records unless the agency has adopted the records retention schedule and destroys the records unless according to the procedures and schedules mandated by the statute; and

WHEREAS, the board desires to comply with the requirements of the records retention law and to manage the agency's records in an efficient and appropriate way, including being able to destroy records that no longer need to be retained under the schedule;

NOW, THEREFORE, BE IT RESOLVED, that agency's board hereby adopts the Laredo Housing Authority Revised Retention Policy Schedule for the management and destruction of the records in the agency's possession; and

BE IT FINALLY RESOLVED, that the agency will send notice of its decision to adopt the schedule to the Government Records on the form provided for such notification.

PASSED AND ADOPTED THIS 27TH DAY OF March 2013 BY THE FOLLOWING VOTE:

AYES: 5 NAYS: 0 ABSTAIN: 0 ABSENT: 0

The undersigned Raymond A. Bruni, *Chairman of the Board of Commissioners for the Housing Authority of City of Laredo*, does hereby attest and certify that the foregoing is a true and full copy of a resolution of the governing board of the applicant passed and adopted at a duly convened meeting on the date set forth above, and said resolution has not been altered, amended, or repealed



RAYMOND A. BRUNI, BOARD CHAIRMAN

ATTEST:



LAURA LLANES, EXECUTIVE DIRECTOR

HOUSING AUTHORITY OF THE CITY OF LAREDO

RECORDS RETENTION POLICY

A. Purpose

Housing Authority of the City of Laredo (hereinafter referred to as (PHA) acknowledge the disposal of records is necessary from time to time to limit the use of storage space for current and past operating records. The PHA establishes a Records Retention Policy for the purpose of providing the necessary guidance in the efforts to protect and preserve vital information and to comply with applicable law. This policy directs the agency's general records' management and the proper disposition of such records. This policy applies to all types of records, including, but not limited to administrative, human resources/personnel, management, financial and maintenance/modernization records. **The policy applies to all records, regardless of the manner in which they are stored.**

Reference to "Records" in this policy includes all general forms of media including papers, letters, documents, books, computer printouts, photographs, film, tape, microfiche, microfilm, photocopies, sound recording, maps, blueprints, drawings, voice data or video representation held in computer memory.

Reference to "Tenants" in this policy relates to low-income public housing residents. Reference to "Participants" in this policy relates to the Section 8 Housing Choice Voucher Program (HCV).

All records are to be maintained and disposed of in accordance with the time periods recommended and set forth below, or if a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule.

Caution

In the event of current or pending PHA litigation, it is recommended that legal counsel is obtained for specific guidance regarding applicable documents.

A record shall not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or another action involving the record is initiated before the expiration of a retention period until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

In accordance with the Implementation of the Privacy Act of 1974 (as revised April 3, 2003), the PHA shall maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain with such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness in determination made by the PHA to obtain information from the individual to the extent practicable and to take every reasonable step to protect the individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent and within the scope of an authorized law enforcement activity.

B. Process and Method for Destruction of Records

The PHA shall review its records annually to determine what records are to be destroyed. Records shall be destroyed by shredding and appropriate disposal. A contract with a reputable recycling company may be obtained through proper procurement procedures to accomplish this task. All records shall be destroyed in the manner previously mentioned unless specific requests are made to maintain particular records. Specific written requests made by a member of the PHA or a third party to preserve certain records may be honored at the discretion of the PHA's designated records management officer (Executive Director or Designee). All other records shall be designated for destruction during the first periodic review after their retention period has expired.

Hard copies of originals shall be maintained and destroyed only in accordance with the schedule in this policy and shall also be maintained even though reproductions may be kept in other forms such as microfilm, computer, etc.

Questions regarding records retention should be directed to the PHA's staff person who serves as the agency's records' management officer.

ADMINISTRATIVE		
Record Description	Filing Method	Retention Period
General Administrative Correspondence which involves policy and procedure matters	Chronological, separate folder each subject	Disposal not recommended.
Correspondence that does not involve policy and procedural matters	Chronologically, a separate folder for each subject	Disposal 2 years following an audit.
Legal documents, correspondence claims against the PHA	Chronologically, a separate folder	Disposal not recommended unless at the approval of legal counsel.
Annual Contributions Contracts (ACCs), Consolidated ACCs (CACCS) and Amendment related correspondence	Chronologically, separate folder each contract, separate by program type (Low Income/Section 8/Modernization, etc)	Disposal not recommended.
Property Deeds, Surveys, related correspondence	Chronologically, a separate folder	Disposal not recommended.
Administrative Contracts including amendments, HUD approval, extensions, waivers, and related correspondence. Include procurement documentation for each contract	Chronologically, a separate folder	Disposal not recommended.
Tax Exemption Certificates	Separate folder	Disposal not recommended.
Payments in Lieu of Taxes (PILOT) or Waiver, computations of Payment	Separate folder each year	Disposal not recommended.
Cooperation Agreement, amendments	Separate folder	Disposal not recommended.
Documents establishing the PHA	Separate folder	Disposal not recommended.
General Depository Agreements Forms HUD-51999 and/or HUD-5200	Separate folder	Disposal not recommended.
By-Laws and amendments	Chronologically	Disposal not recommended.
Minutes of Commissioners' Board Meeting & Board Resolutions with Index by Board Res. No., Notices of Meetings, Certificate of the Secretary Board members'	In a binder, Chronologically/Numerically by Resolution No.	PERMANENT Disposal not recommended.

appointments and other related documents		
Insurance Policies/Fidelity Bonds and related correspondence	Separate folder, chronologically	Disposal 10 years after expiration date.
Title to Motor vehicles, trailers etc.	Separate folder for each vehicle by Vehicle ID No.	Disposal when PHA transfers title or otherwise disposes of vehicle/trailer, etc.
Administrative Policies (Examples: Admissions and Occupancy, Section 8 Admin. Plan, Procurement, Disposition, Capitalization, Internal Controls, etc.) & Personnel (see the separate section in this document for Human Resources/Personnel)	Separate folder by name of the policy, maintain chronologically	Maintain in storage 3 years after the policy is replaced or updated, disposal 4 years after the audit.
HUD Management Reviews, REAC Surveys, Results of PHAS, SEMAP, RASS, MASS, etc. and support documentation	Separate folder for each type	Maintain in storage 3 years, disposal 4 years after the audit.
PHA Plan documents Annual and 5-Year and Annual updates with supporting documentation as required by HUD. Correspondence with HUD regarding approval, disapproval, deficiencies, etc.	Separate binder for each, chronically	Maintain in storage 3 years, disposal 4 years after the audit.

HUMAN RESOURCES/PERSONNEL RECORDS

Record Description	Filing Method	Retention Period
Employee Records	Alphabetically by name, chronologically	Disposal 10 years after employee separation.
Employee Job Description and updates	Alphabetically, by position title, a separate folder for each title	Disposal 3 years after position is abolished or position description is suspended.
Employee Handbook Policies and Personnel Policies	Chronologically in a binder	Disposal 3 years after position is abolished or position description is suspended.
Payroll and Individual earnings records, W-2, 941, etc. FIT/FICA receipts from PHA	In a binder, by pay period chronologically	Disposal 4 years after Funding Year.
Leave Records for Employees	In a binder, chronologically	Disposal 4 years after the audit.
Daily Time Records	Chronologically, a separate folder	Disposal 4 years after Funding Year.
Worker's Compensation/Unemployment Records/Claims	Chronologically, in a separate folder	Disposal 4 years after the audit.
Unsuccessful Application for employment	Alphabetically by name	Disposal after 2 years after application.
Direct Deposit Sign Up Form	Alphabetically by name, chronologically	Maintain 3 years after termination of employment.

**PUBLIC HOUSING MANAGEMENT AND SECTION 8 &
ADMISSIONS TO TENANCY**

Record Description	Filing Method	Retention Period
Schedules of Rents Demonstration of Financial Feasibility and Related Material	Chronologically in a separate folder	Disposal 1 year after the schedule is suspended.
Rent Roll Control & Analysis of Dwelling Rent Charges	Chronologically in a separate folder	Disposal 4 years after an audit
Tenant Security Deposit Records	Chronologically in a separate folder	Disposal 4 years after an audit
Request for Tenant Refund of Security Deposit & Unearned Rent	Chronologically in a separate folder	Disposal 4 years after the audit.
Adjustment Slips	Numerically in a binder or tenant's file	Disposal 2 years following an audit.
Adjustment Journal	Chronologically in a separate binder	Disposal 10 after.
Eviction Records	Separate tenant file & a copy in a binder	Transfer to storage 3 years after the audit. Disposal 3 years after the close of the applicable fiscal year.
Utility Allowance/Reviews Updates	Chronologically	Disposal 4 years after the audit.
Physical Unit Inspection (Public Housing & Section 8 HQS)	By PHA unit and copy in Section 8 participant file is recommended	Disposal 3 years after audit as required by PHAS.

MANAGEMENT REPORTS		
Occupancy Reports	Chronologically, separate folder each project	Transfer to storage following an audit. Disposal 4 years.
Project Reports on Families Moving into Low-Income Public Housing	Chronologically, separate folder each project	Transfer to storage following an audit. Disposal 4 years.
Report on Regular Re-examination of Families in Low-Income Public Housing	Chronologically in a separate folder	Transfer to storage following an audit. Disposal 4 years.
Reports on Unit Availability	Chronologically, in a binder	Disposal 4 years.
Correspondence Files pertaining to routine management & maintenance matters	Chronologically with a separate folder for each subject	Disposal 2 years following an audit.
Tenant Move-In/Move-Out Reports & Section 8 Data related to New Move-Ins, Re-Exams and Participation Cancellations	Chronologically with a separate folder for each development	Transfer to storage following an audit. Disposal 4 years after the audit.

FINANCIAL		
Record Description	Filing Method	Retention Period
Accounting Policies/Procedures	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Accounts Payable/Disbursement Records	In binder by fiscal year	FE + Disposal 2 years after the fiscal year ended
Purchase of Capital Assets	In binder by fiscal year	FE + Disposal 3 years after the fiscal year ended
Funds Transmittal Reports	In binder by fiscal year	FE + Disposal 3 years after the fiscal year ended
Accounts Receivable Records	In binder by fiscal year	FE + Disposal 3 years after the fiscal year ended
Reportable to State Comptroller	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Account-Card Property Lien	In binder by fiscal year	FE + 3Disposal 3 years after the fiscal year ended
Cash Deposit for Sureties	In binder by fiscal year	FE + Disposal 3 years after the fiscal year ended
Account Deemed Uncollectable	In binder by fiscal year	FE + Disposal 3 years after the fiscal year ended
Banking Records	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Cost Allocation/ Distribution Records	In binder by fiscal year	Fe + Disposal 3 years after the fiscal year ended
Annual Audit Report Exists	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Subsidiary Ledgers	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Receipt, Disbursement Journal of Subsidiary Journals	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Journal Vouchers/Entries	In binder by fiscal year	FE + Disposal 5 years after the fiscal year ended
Public Housing Development Cost Records	Chronologically with a separate folder	Disposal not recommended.
Preliminary, Advance, Temporary, Disposal not recommended Notes & Bonds, Fiscal Agent Agreements & Related Records	Chronologically, separate folder each type	Transfer to storage after notes paid, disposal not recommended.
Inventory of Non-Expendable Equipment	Numerically by equipment account number and alphabetically, by name of equipment, ongoing	Disposal 3 years after an item is disposed of.

Audit Reports with Schedules of Auditor's Adjustment Responses to Audit Findings	Chronologically with a separate folder	Retain for next 2 audits, disposal not recommended.
Check Vouchers with support documents (purchase order, requisition, receiving ticket, invoice, etc.) Bank Statement & Cancelled Checks	Maintain <u>Vouchers</u> numerically in sequence, in a binder, month/fiscal year. <u>Statements</u> - Chronologically in monthly folders, <u>Checks</u> in numerical sequence-keep both by fiscal year & separate by checking account numbers	Transfer to storage after audit. Disposal after 6 years. <hr/> Transfer to storage after the audit. Disposal after 6 years.
Petty Cash Vouchers	Attach to check voucher copy	Transfer to storage following an audit. Disposal 4 years after the audit.
Property Ledger	In a binder	Disposal not recommended.
Real Property Disposition Records Includes Adjustments Made to Inventory Records & Property Ledger by Accountant	Separate folder for each item disposed of with support for each transaction	Disposal not recommended.
Journal Vouchers	Chronologically in a binder by fiscal year	Disposal after 4 years.
Certificate of cremation of bonds & interest coupons	Chronologically with a separate folder	Disposal after 4 years.
Financial Data Schedule (FDS) (Hard Copy) (Note- unaudited data must be entered into REAC website within 2 months. of fiscal year end and audited no later than 9 months after the fiscal year end) and all Year-End Financial Reports, Balance Sheets (HUD-52599 and HUD 52681 still required by HUD	Chronologically with a separate folder each fiscal year	Disposal 5 years after the audit.
Direct Deposit forms Form 1199-A (authorizing federal funds deposits)	The separate folder may be kept by grant or funding type	Disposal not recommended.

e-LOCCS Authorization forms	The separate folder may be kept by grant of funding type	Disposal not recommended.
e-LOCCS Requisitions and support documentation (complete with written authorization, invoices, purchase orders, contractual agreement, the purpose of the request, etc.) (Copies may be kept by the Modernization Dept. if so authorized by the PHA's contracting officer)	The separate folder may be kept by grant of funding type	Disposal not recommended until Final Close-Out authorization is received from HUD and 4 years after the Close-Out audit.
Cash Receipts (Rent Security Deposits, other income, etc)	Numerically in a binder by fiscal year	Disposal 3 years after the audit.
Cash Disbursements Check Registers	In a binder by fiscal year	Transfer to storage after the audit, disposal 2 years after fiscal year-end.
Budgets; operating & supporting schedules, revisions, related records, & other related records including the Performance Funding System documentation	By fiscal year, with a separate folder for each ACC	Transfer to storage 3 years following budget fiscal year end. Disposal after 6 years.
Monthly Income & Expense Reports General Ledger & Trial Balance	By the month in a separate folder, by fiscal year	Disposal 4 years after the audit.
Statement & Voucher Basic Annual Contributions-Leased Housing HUD-52981	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following the period covered. Disposal not recommended.
Voucher for Payment of Annual Contributions for Housing Assistance Program (HAP) (HUD-52681)	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following the period covered. Disposal not recommended.
Computation of Payments in Lieu of Taxes	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following the period covered. Disposal not recommended.
Statement & Voucher for Accruing Annual Contributions	Chronologically, in a separate folder for each fiscal year	Transfer to storage 3 years following the period covered. Disposal not recommended.

Property Disposition Records: Bid & Contracts Forms, Bills of Sale, Board Resolutions approving disposition, other documents evidencing sale in accordance with PHA Disposition Policy	By contractor control number, with a folder for support papers, kept by fiscal year	Transfer to storage 3 years following the period covered. Disposal not recommended.
Investment Records, complete with copies of receipts, interest earnings, etc. and in accordance with PHA's Investment Policy	Investment register	Transfer to storage after the audit. Disposal 10 years after fiscal year-end or investment maturity, if greater
Contract(s) for Financial Assistance, including amendments, waivers, and related correspondence	Chronologically with a separate folder for each contract.	Disposal not recommended.

**MAINTENANCE & MODERNIZATION CONSTRUCTION, DEMOLITION & EQUIPMENT
CONTRACT RECORDS**

Record Description	Filing Method	Retention Period
Bids forms, contract awards, notice to proceed, progress reports, photographs, and other related records, except those following: (also see Procurement within this section)	Chronologically with a separate folder for each contract.	Disposal 10 years following contract settlement.
Contract forms, specifications, plans, and agenda, including change orders, guarantee bonds and special warranties.	Chronologically with a separate folder for each contract.	Disposal not recommended.
Unsuccessful bids	Chronologically with a separate folder for each contract.	Disposal FE 3 years
Contractor's Payroll	Chronologically with a separate folder for each contract.	Disposal 3 years following the date of completion of the contract, as established by Certificate of Completion.
Maintenance Wage Rates and Labor Relations documents	In separate folder and according to specific contract/job.	Disposal 3 years following the date of completion of the contract, as established by Certificate of Completion
Architects' & Engineers' Contracts	Chronologically with a separate folder for each contract.	Disposal 10 years following final contract settlement
Procurement Documents such as Request & Advertisement to Bid, Requests for Proposal, Request for Quotes, Bid Tabulations, Bid Analysis, Cost-Price Analysis and all related support documents-In accordance with PHA's Procurement Policy or as governed by federal, state or local laws.	In separate folders for each procurement.	Disposal 3 years following completion of service or work performed.
Documents, drawings, blueprints, etc., relating to technical and engineering	Organized space in safekeeping fireproofs storage room or cabinet.	Disposal not recommended.

aspects of site planning for housing projects. Includes plants reviewed for the selection of sites, reports of surveys, studies, and construction of public housing for the development of standards.		
Files containing reports, designs, and calculations relating to public housing construction and site improvement design and construction for low-income housing developments. Includes experimental data and research material on surfacing types and community facilities and background and research material on the design of electrical, water, gas, sewage and draining systems.	Organized space in safekeeping fireproofs storage room or cabinet.	Disposal not recommended.
Files containing correspondence, documents, specifications, and structural plans relating to the structural design of public housing developments. Includes material relating to site preparations and foundations of housing developments; basic research material on steel, clay, wood, and other materials; relating to the site and structural plans of housing developments; and reports of a test conducted on housing developments- Including but not limited to tests and surveys regarding lead-based paint and asbestos.	Organized space in safekeeping storage cabinets.	Disposal not recommended.
Contract Register, Development	In a binder	3 years following issuance of Actual Development

		Cost Certificate, whichever is later.
Most federally funded grant programs require a three (3) year retention period. The retention periods start on the day the PHA submits the performance report to HUD that covers the last expenditure of grant funds. Review contractual agreement for each grant to determine specific retention period.	Chronologically, separate folder(s) for each grant.	3 years following issuance of closing documents, expenditures of all approved funds and audit.
Purchase Orders	Log/Register-kept numerically, chronologically.	Transfer to storage following an audit. Disposal 4 years after the audit.
Physical Needs Assessment(PNA)	In a binder, chronologically.	Disposal 10 years following completion of service, or work performed in connection with the PNA.
Capital Funds Annual Statement, Five Year Action Plan and Performance and Evaluation Reports (P&E), including reports and comprehensive plans prior to 2000, known as CIAP or CGP.	In a binder, chronologically.	Disposal 10 years following completion of service, or work performed in connection with the PNA.

ADDENDUM

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**FILE MANAGEMENT AND RETENTION OF
SECTION 8 HOUSING CHOICE VOUCHER PROGRAM RECORDS***

SUPPLEMENTAL REQUIREMENTS

FINANCIAL

The following schedules list the recommended retention period for each type of Section 8 Housing Choice Voucher Program financial record. Upon year-end settlement for all PHA programs in a fiscal year, a combined PHA file should be established for all PHA programs. See Prior Schedules.

Contract Records Description

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| <ul style="list-style-type: none">• Contract records include the initial and all amendments to the Annual Contributions• Contract (ACC), Form HUD-52520• Any and all “letter amendments” received from HUD to approve non-funding changes to an ACC, such as unit redistribution in the Section 8 Housing Choice Voucher Program, or a policy change in effect and expiration dates. |
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Record Retention Period

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| <ul style="list-style-type: none">• 6 years and 3 months beyond the final expiration (see below) of the Consolidated ACC (CACC). The final expiration of the CACC is the latest of the last dates of term of the funding increment on the funding exhibit. Renewals continue to extend this date farther into the future. For most Section 8 Housing Choice Voucher Programs, the final expiration date is never reached, making the Contract Records essentially Disposal not recommended. |
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Annual Financial Records

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| <ul style="list-style-type: none">• Budgets, Forms HUD-52672 and HUD-52673• Requisitions HUD-52663• Year-end financial statements, Forms HUD-52681 and HUD-52595 (form discontinued 2/6/02 per PIH 2002-2)• Revisions to any and all of the above-referenced documents• Annual financial records also include correspondence to and from HUD regarding these documents. |
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Record Retention Period
