

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS RETENTION AND DISPOSAL SCHEDULE

Schedule No. C 859

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Agency

Division/Unit HOUSING & COMMUNITY DEV.

Item No.

Description

Retention

All electronic media records will be created and stored using a system that is in compliance with Comar 14.18.04. Permanent records will transferred to MSA on CD stored as "Tif" files with the retrieval software embedded on the CD.

Schedule Approved by Department, Agency, or Division Representative

Date 5/16/99

Signature *Phyllis L. Pritchett*

Typed Name Phyllis L. Pritchett

Title Records Management Officer

Schedule Authorized by State Archivist

Date JUN 8 1999

Signature *Edward C. Saperstein Jr*

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Agency COUNTY ADMINISTRATION

Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
1.	GENERAL ADMINISTRATION	
	a) POLICY AND PROCEDURE UPDATE (Howard County Policy and Procedure Manual, Howard County Code, Classification Plan and Employee Manual) Correspondence relating to the formulation, implementation, or modification of policies and procedures for County Administration, Boards and Commissions, and HCD programs.	Updated when changes occur; retained permanently on CD. Copy of CD to MSA.
	b) ADMINISTRATIVE Correspondence pertaining to normal and routine administrative functioning.	3 fiscal years, then destroy.
2.	BOARD AND COMMISSION MANUALS Files are maintained relating to various issues, i.e., expenditures, legislation, members, minutes, etc.	3 fiscal years, then destroy.
	Manuals are maintained and updated for Administrator's monthly meetings consisting of distributed materials, i.e. minutes, agenda, resolutions, staff report, etc.	3 fiscal years, then destroy.
3.	Recording Tapes and Minutes from monthly meetings.	Permanent. Copy to MSA.
	GENERAL SUBJECT FILES Files generated pertaining to a specific project or topic, i.e. budget, capital projects, activities, etc.	3 fiscal years, then destroy.
4.	GENERAL ACCOUNTING RECORDS Correspondence relating to all purchase orders, expenses, check requests, transfer of funds, and PDQ statements for the HCD Office along with supporting materials.	3 fiscal years, then destroy.

Schedule Approved by Department, Agency, or Division Representative.
 Date 5/03/99 -- REVISED VERSION
 Signature Leonard S. Vaughan
 Typed Name Leonard S. Vaughan
 Title Administrator

Schedule Authorized by State Archivist
 Date JUN 8 1999
 Signature Edward C. Papenfuss

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Agency COUNTY ADMINISTRATION

Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
5.	SPECIAL ACCOUNTING RECORDS Audit Reports, Actuarial Analyses.	3 fiscal years, then destroy.
6.	PERSONNEL RECORDS a) LEAVE RECORDS - Individual files are maintained for all full time and Local Union #3085 personnel of HCD displaying leave used on a daily basis for the fiscal year. b) LEAVE BALANCE REPORT - The leave report is generated by the Division of Payroll on a bi-weekly basis. The leave report consists of all HCD staff (presently on the County's Payroll System), c) TIMESHEETS - The original timesheet is maintained in the Housing Office, which is prepared on a weekly basis and signed by both employee and their immediate supervisor. d) INDIVIDUAL PERSONNEL RECORDS EMPLOYEE - Files are initiated and maintained in a locked cabinet regarding <i>all</i> HCD personnel, classified and exempt, for full time, part time, union, and summer youth individuals. Files are confidential and can only be reviewed under the supervision of a superior. The folders contain copies of the initial resume, job description and date of hire correspondence, training certifications, Personnel Action Forms, annual performance reviews (Knowledge Point), salary increases, disability leave bank membership, letters of reprimand, appeals, letters of appreciation, letter of termination, etc. e) BOARD AND COMMISSION MEMBERS - Files are initiated and maintained in a locked cabinet for all HCD and Housing Commission Board Members, who are appointed by the County Executive and approved by the County Council. Materials include the initial resume, in addition to legislation (submitted and approved), the signed "Executive Appointment", Financial Disclosure Statement and any information pertaining to this member until the time his/her terms expires, which can not exceed an 8 year term.	3 fiscal years, then destroy. 3 fiscal years, then destroy. 3 fiscal years, then destroy. 3 fiscal years, then destroy. Maintain and update beginning the first day of employment. Upon separation of the employee, retain file for 3 years, then destroy. All original correspondence is forwarded to Human Resources with a copy retained in the office file. Retain in office at time of employment. Upon separation of the employee, retain file for 3 years then destroy.

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Agency COUNTY ADMINISTRATION

Division/Unit

HOUSING & COMM DEV

Item No.	Description	Retention
	INVESTIGATIONS:	
1	Housing, investigative reports, referred for prosecution, indexed evidence	5 years from adjudication, then destroy
2	Housing investigative product for hearings/appeals	3 years from date of appeal, then destroy.
3	Housing investigative product from fact finding	3 years from referral date, then destroy.

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Agency COUNTY ADMINISTRATION

Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
PROGRAMS: CDBG (Community Development Block Grant)		
1.	State Community Development Block Grant (Administrative Files). Files include general information, reports, applications, financial records, etc. for program grants.	Retain files on site for 3 years after the life of the grant plus 2 years in county storage area before destroying. (For a total of five years after the life of the grant.)
2.	Federal Community Development Block Grant (Administrative Files).	Same as above.

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Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
PROGRAMS: HOME OWNERSHIP & REHABILITATION		
1.	Settlement Downpayment Loan Program - Client files, bank files, general program information files, legislative files.	Keep client files in HCD file room, locked and secure, until loans have been paid in full. Bank files, program files, legislative files are all ongoing and will be kept as long as the program is active, plus 3 years, then destroy.
2.	Smart Growth @ 4% (Program initiated by the Governor) - Loan files.	Sales documents (shared equity) kept in HCD file room, locked and secure in fire proof file cabinet. Maintain for 3 years after we are free of ownership, then destroy.
3.	Rehabilitation Loan Files - Client files.	Kept until client loan is paid in full, plus 3 years, then destroy.

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Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
PROGRAMS: MAINTENANCE & CAPITAL PROJECTS		
1.	Property Maintenance Folders.	Hold until property is free of our ownership. Hold sales documentation for 3 years after we are free of legislative files are all on ownership, then destroy.
2.	Vendor Folders.	Hold 3 years after last payment, then destroy.
3.	Project Folders.	Hold 5 years after grant closes. Hold until property is free of our ownership. Hold sales documents, locked and secure in fire proof file cabinet, for 3 years after we are free of ownership, then destroy.

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Division/Unit HOUSING & COMM DEV

Item No.	Description	Retention
PROGRAMS: RENTAL HSNG/PUBLIC HSNG/SECTION 8		
1.	GRANTS Grant Applications, Grant Agreements, Annual Contributions Contracts, Management Reviews, Program Waivers, Annual Reports.	Retain for the life of the grant plus 6 years, and until audit requirements have been fulfilled, then destroy.
2.	CLIENT FILES (Section 8, Public Housing, Owned & Managed) Files include Housing Assistance Payment Contracts, Lease Addendums, Landlord Tenant Leases, HUD forms, authorizations, income, asset and allowance verifications, waiting list applications, inspection information, maintenance charges, case notes.	Retain initial year, current year and two additional years on hand. Retain balance of file contents for 7 years, then destroy.
3.	SECTION 8 WAITING LIST Files contain waiting list applications, change of address information, change of status information and returned correspondence.	Ineligible and inactive files may be destroyed 7 years after notice of eligibility or 7 years after determination of ineligibility, then destroy.
4.	FINANCIAL RECORDS Files contain Direct Payment Claims, HAP Registers, Portability Payments, Cash Receipts, Annual Budgets, Monthly Drawdowns.	Retain for 7 years, then destroy.

Instructions - Type or Print a separate form for each new or revised record series, forward with Record Retention Schedule (DGS 550-1)	DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794	AGENCY RECORDS INVENTORY PAGE <u>1</u> OF <u>2</u>
Department/Agency Housing & Community Dev.	2. Division Administration	3. Unit
DEFINITION - RECORD SERIES - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.		
4. Record Series Title Policy and Procedure Updates	5. Earliest Year/Latest Year _____ to _____	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series. Correspondence relating to the formulation or modification of policies and procedures for County Administration HCD Programs. Updated when changes occur		
7. Record Series Format(s) <input type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input checked="" type="checkbox"/> Other (specify) <u>Book</u>	8. Record Series Sequence <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____	9. Volume <u>1.0cu.</u> Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) <u>Book</u> 10. Annual Accumulation <u>.25cu.</u> Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify)
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly As needed.	12. File Becomes Inactive After _____ Number <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s)	
13. Current Location(s) (Bldg., Floor, Room) 2nd Floor Gateway Bldg, Housing office.	14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No To be converted to CD	
15. Access Restrictions <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, cite Law(s) & Regulation(s))	16. Audit Requirements <input type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent	
17. Is an Index System Used? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Recommended Retention Permanent	
Name and Title of Preparer Phyllis L. Pritchett Records Manager	20. Telephone Number 410-3-3-2049	21. Date 05/06/1999

Instructions - Type or Print a separate form for each new or revised record series, forward with Record Retention Schedule (DGS 550-1)	DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794	AGENCY RECORDS INVENTORY PAGE <u>2</u> OF <u>2</u>
Department/Agency Housing & Community Dev.	2. Division Administration	3. Unit
DEFINITION - RECORD SERIES - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.		
4. Record Series Title Recording tapes and minutes from Board meetings.	5. Earliest Year/Latest Year _____ to _____	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series. Audio tapes and minutes of monthly meetings of the Housing Board and Commission.		
7. Record Series Format(s) <input type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input checked="" type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (specify) _____	8. Record Series Sequence <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____	9. Volume <u>1.2cu.</u> Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) Audio tapes
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly As needed.		10. Annual Accumulation <u>.25cu.</u> Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input checked="" type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) Audio tapes
12. File Becomes Inactive After _____ Number <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s)		13. Current Location(s) (Bldg., Floor, Room) 2nd Floor Gateway Bldg, Housing office.
14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		15. Access Restrictions <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, cite Law(s) & Regulation(s))
16. Audit Requirements <input type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent		17. Is an Index System Used? (If yes, explain briefly and describe any hardware/software) <input type="checkbox"/> Yes <input type="checkbox"/> No
18. Recommended Retention Permanent		19. Name and Title of Preparer Phyllis L. Pritchett Records Manager
20. Telephone Number 410-313-2049		21. Date 05/06/1999