

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

Schedule No. C1114

Page 1 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
	<p>THIS SCHEDULE SUPERCEDES SCHEDULE C-859</p> <p>All electronic media records will be created and stored using a system that is in compliance with COMAR 14.18.04. Permanent records will be stored on the County's elective document management system as well as transferred to MSA on CDs stored as "TIF" files with the retrieval software embedded on the CD.</p>	

Schedule Approved by Department, Agency, or Division Representative.  
 Date: October 22, 2010  
 Signature: \_\_\_\_\_  
 Typed Name Stacy L. Spann  
 Title Director, Housing & Community Development

Schedule Approved by County Records Management Representative.  
 Date: *R. Britchett*  
 Signature: 10/26/2010

Schedule Authorized by State Archivist  
 Date: 4 NOV 2010  
 Signature: \_\_\_\_\_

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

Schedule No. C1114

Page 2 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
1.	<p><b>GENERAL ADMINISTRATION</b></p> <p>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.</p> <p>b) ADMINISTRATIVE - Correspondence relating to normal and routine administrative functioning.</p>	<p>Continuous record retained on County's elective document management system and updated when changes occur. Whenever updated, transfer superseded paper and electronic file to MSA for permanent retention.</p> <p>Screen annually and transfer to the MSA for permanent retention any materials having any administrative, legal or historical value that serves to document the origin, development, functions and accomplishments of the agency. Destroy the remainder</p>
2.	<p><b>BOARD AND COMMISSION</b></p> <p>a) Files are maintained relating to background documentation of various issues, i.e., expenditures, legislation, members, minutes, etc.</p> <p>b) Manuals are maintained and updated for Administrator's monthly meetings consisting of distributed materials, i.e., minutes, agenda, resolutions, staff report, etc.</p> <p>c) Minutes, agendas and attachments from monthly meetings</p>	<p>Retain 3 fiscal years, then destroy.</p> <p>Retain 3 fiscal years, then destroy.</p> <p>Retain permanently. Paper scanned and held in the County's document mgmt system. Electronic and paper copies transferred to MSA every 3 years. For permanent retention.</p>

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

Schedule No. C1114

Page 3 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
3.	<b>SPECIAL ACCOUNTING RECORDS - Actuarial Analyses</b>	Retain 3 fiscal years or until all audit requirements have been satisfied and then destroy.
3a.	<b>Audit Reports</b>	Permanent records that are part of the department's history. Paper copies are transferred to MSA every 3 years.
4.	<p><b>PERSONNEL RECORDS – County employee records are maintained by the Office of Human Resources</b></p> <p><b>BOARD AND COMMISSION MEMBERS -</b> 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 cannot exceed an 8 year term.</p>	Retain in office at time of appointment and retain for 3 years after term expiration then destroy.

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

Schedule No. C1114

Page 4 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
	<b><u>INVESTIGATIONS:</u></b>	
5.	Housing, investigative reports, referred for prosecution, indexed evidence	Retain 3 years from adjudication, then destroy
6.	Housing, investigative product for hearing/appeals	Retain 3 years from date of appeal then, destroy.
7.	Housing, investigative product from fact finding	Retain 3 years from referral date, then destroy.
	<b><u>PROGRAMS: GRANTS</u></b>	
8.	<b>Community Development Block Grant - (CDBG Entitlement)</b> General – Records pertaining to each fiscal year of CDBG funds includes: Consolidated Plans, Annual Action Plans, Award Letters, Grants Agreements, Monitoring Reports, Subrecipient Agreements, Developer Agreements, Loan Agreements and Regulatory Agreements	Retain for 5 years following the close out of the grant period; then destroy

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

Schedule No. C1114

Page 5 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
9.	<p><b>(GRANTS continued)</b></p> <p><b>Home Investment Partnership Program (HOME Entitlement)</b>            General – All records pertaining to each fiscal year of HOME Funds</p> <p>a) Written Agreements (this includes Developer Agreements, CHDO Agreements, Subrecipient Agreements, Loan documents)</p> <p>b) Rental Housing projects</p> <p>c) Rental Housing projects/individual tenant income verifications, project rents and project inspections</p> <p>d) Homeownership housing projects (except for documents imposing resale/recapture restrictions which must be retained or for five years after the affordability period terminate.)</p> <p>e) Tenant-based rental assistance</p> <p>f) Displacement and Acquisitions</p> <p>If any litigation, claim, negotiation, audit, monitoring, inspection or other action has been started before the expiration of the required record retention period, records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the required period, whichever is later.</p>	<p>Retain the most recent 5 years; then destroy.</p> <p>Retain for 5 years after the agreement terminates; then destroy.</p> <p>Retain for 5 years after the date of completion; then destroy.</p> <p>Retain most recent 5 years, until five years after the affordability period terminates; then destroy.</p> <p>Retain for 5 years after the project completion date; then destroy.</p> <p>Retain for 5 years after the period of rental assistance terminates; then destroy.</p> <p>Retain for 5 years after the date by which all persons displaced from the property and all persons whose property is acquired for the project have received final payment to which they are entitled; then destroy.</p>

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

Schedule No. C1114

Page 6 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
10.	<p><b><u>(GRANTS continued)</u></b></p> <p><b>Community Legacy - (Maryland Department of Housing and Community Development)</b>            Records pertain to each award year.</p>	<p>Retain for 5 years after the completion date of the project; then destroy.</p>
11.	<p><b><u>PROGRAMS: HOME OWNERSHIP &amp; REHABILITATION</u></b></p> <p>Settlement Down Payment Loan Program –Client files, bank files, general program information files, legislative files.</p>	<p>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.</p>
12.	<p>Smart Growth @ 4% ( Program initiated by the Governor )- Loan files</p>	<p>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, and then destroy.</p>
13.	<p>Rehabilitation Loan files- Client files.</p>	<p>Kept until client loan is paid in full, plus 3 years, then destroy.</p>
14.	<p>Moderate Income Housing Units.</p>	<p>Keep client applications on County's electronic document mgmt system permanently. Electronic copies transferred to MSA every 3 years for permanent retention.</p>

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

Schedule No. C1114

Page 7 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
	<b><u>PROGRAMS: MAINTENANCE &amp; CAPITAL PROJECTS</u></b>	
15.	Property Maintenance Folders.	Retain 3 current years then destroy.
16.	Vendor Folders	Retain 3 years after last payment is made to the vendor and then destroy.
17.	Project Folders  a) Grants  b) Acquisitions and sale documents	Retain for 5 years after grant closes.  Retain for 3 years after we are free of ownership and then destroy.

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

Schedule No. C1114

Page 8 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
	<b><u>PROGRAMS: RENTAL HOUSING/PUBLIC HOUSING/SECTION 8</u></b>	
18.	<b>GRANTS</b> Grant Applications, Grant Agreements, Annual Contributions Contracts, Management Reviews, Program Waivers, Annual Reports.	Retain for the life of the grant plus 3 years, and until audit requirements have been fulfilled, then destroy.
19.	<b>CLIENT FILES (Section 8, Public Housing, Owned &amp; Managed)</b>  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 most recent years on hand. Review annually and destroy remaining years.
20.	<b>SECTION 8 WAITING LIST</b>  Files contain waiting list applications, change of address information, change of status information and returned correspondence.	Files may be destroyed 3 years after inactivity. Review annually to determine need for further retention
21.	<b>FINANCIAL RECORDS</b>  Files contain Direct Payment Claims, HAP Registers, Portability Payments, Cash Receipts, Annual Budgets, Monthly Draw downs.	Retain for 3 years, and then destroy.

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

Schedule No. C1114

Page 9 of 9

Agency: Howard County, Maryland

Division/Unit: HOUSING & COMMUNITY DEV.

Item No.	Description	Retention
	<p><b><u>DEVELOPMENT FINANCE &amp; PROJECT MANAGEMENT</u></b></p>	
22.	<p><b>ACQUISITIONS and REDEVELOPMENT</b>            Applications; initial financing documents; appraisals; permits; and developer agreements as they relate to the acquisition or redevelopment of a property.</p>	<p>Retain for 3 years after closing on-site. Then, store securely off-site until the Department or Commission sells the property, then destroy.</p>
23.	<p>Purchase and loan documents; deeds; plats and site plans; grants and leases.</p>	<p>Retain in fireproof cabinets on-site and on the County's electronic document management system until the Department/Commission sells the property, then destroy.</p>
24.	<p><b>GENERAL SUBJECT FILES</b> - Files generated pertaining to a specific project or topic, i.e., budget, capital projects, activities, etc.</p>	<p>Screen annually and transfer to the MSA for permanent retention any materials having any administrative, legal or historical value that serves to document the origin, development, functions and accomplishments of the agency. Retain remainder for 3 fiscal years, then destroy.</p>
25.	<p><b>GENERAL ACCOUNTING RECORDS</b> - Correspondence relating to all purchase orders, expenses, check requests, transfer of funds and Procurement Directly and Quickly Card statements for the Agency Office along with supporting materials.</p>	<p>Retain 3 fiscal years, then destroy.</p>