

This schedule applies to: Public Housing Authorities and other Public Housing Program Agencies

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records relating to the function of administering low-income housing and/or tenant-based subsidy housing programs by public housing authorities in accordance with chapter 35.82 RCW. It also includes public corporations & authorities created under RCW 35.21.670 that are authorized to administer low-income, tenant-based subsidy, and/or other public housing programs. It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which authorizes the destruction/transfer of public records common to all local government agencies. *CORE* can be accessed online at: <http://www.sos.wa.gov/archives/recordsretentionschedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival (Permanent Retention) or Non-Archival (with a retention period of "Life of the Agency" or "Permanent") must not be destroyed. Records designated as Archival (Appraisal Required) must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency's policies and procedures for public records requests.

In addition to the minimum retention requirements specified in this schedule, there may be additional (longer) retention requirements mandated by federal, state and/or local statute, grant agreement, and/or other contractual obligations.

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

Authority

This records retention schedule was approved by the Local Records Committee in accordance with RCW 40.14.070 on January 30, 2014.



For the State Auditor: Cindy Evans



For the Attorney General: Sharon James



The State Archivist: Steve Excell

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	November 29, 2012	New sector schedule created from records series imported from version 5.2 of the <i>Local Government General Records Retention Schedule (LGRRS)</i> , which has been dismantled. All disposition authority numbers (DANs) have been assigned a prefix of "HA" and a revision number of "0" (zero). A glossary of terms is located in the <i>Local Government Common Records Retention Schedule (CORE)</i> .
2.0	January 30, 2014	Complete revision. All records series consolidated, updated, and written to specify agency business being transacted (rather than HUD form numbers). Tenant and participant files combined for retention simplicity; guidance provided for <i>current</i> records and <i>current</i> legal requirements. New section added for records pertaining to Low Income Housing Tax Credit (LIHTC) properties. 8 new series, 7 revised series, and 47 discontinued series. ESSENTIAL designation given to 4 series (see index, page 18.) (All changes are detailed in the Revision Guide.)

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1. TENANT/PARTICIPANT MANAGEMENT

The function of managing public housing and tenant-based subsidy housing programs pursuant to [Title 24 CFR](#) and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

1.1 ADMINISTRATION

The activity of identifying qualified families and providing public housing and/or low-income housing subsidies pursuant to [Title 24 CFR](#) and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA60-09-49 Rev. 1	<p><i>Application (Tenant/Participant) – Criminal Conviction Records/Sex Offender Registry</i> Criminal conviction records obtained from law enforcement agencies by the housing authority for use in screening applicants for admission to housing programs and/or for lease enforcement or eviction of families residing in public housing or subsidized housing pursuant to 24 CFR Part 5 Subpart J. Also includes applicants for unsubsidized residential housing on agency-owned property.</p> <p>Also includes sex offender registration information obtained from any state or local agency responsible for the collection or maintenance of the state sex offender registration program pursuant to 24 CFR §5.905.</p> <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by CORE series GS53-02-04.</i></p>	<p>Retain until purpose(s) for which the record was requested has/have been accomplished <i>and</i> expiration of period for filing a challenge to the housing authority action <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 ADMINISTRATION

The activity of identifying qualified families and providing public housing and/or low-income housing subsidies pursuant to Title 24 CFR and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA60-01-51 Rev. 1	<p>Application (Tenant/Participant) – Ineligible or Withdrawn</p> <p>Records relating to the application process for public housing or subsidy assistance where the applicant is determined to be ineligible, or where the application is withdrawn by the applicant. Also includes applicants for unsubsidized residential housing provided by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application (and supporting data); • Social Security Number disclosure consent, documentation, verification, discrepancy, investigation and resolution; • Eligibility verification documentation (consent forms, wage & claim information, etc.); • Correspondence and notifications to applicant; • Racial, ethnic, gender, and place of previous residency data; • Applicant appeal/hearing records. <p>Excludes:</p> <ul style="list-style-type: none"> • Ineligibility appeals based on immigration status, which are covered by HA2014-001; • Appeals filed by existing tenants/participants, which are covered by HA60-01-52. <p><i>Note: If litigation commences, these records become part of a litigation case file covered by CORE series GS53-02-04.</i></p>	<p>Retain for 3 years after application withdrawn or applicant determined ineligible <i>and</i> expiration of appeal period <i>and</i> conclusion of appeal, <i>if filed then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 ADMINISTRATION

The activity of identifying qualified families and providing public housing and/or low-income housing subsidies pursuant to Title 24 CFR and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-001 Rev. 0	<p>Application (Tenant/Participant) – Ineligible Due to Immigration Status (Appealed) Records relating to the denial of public housing or subsidy assistance to applicants based on immigration status where the decision is appealed to U.S. Citizenship and Immigration Services (USCIS) (<i>formerly Immigration and Naturalization Service (INS)</i>) or through an informal hearing process pursuant to 24 CFR § 5.514.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence and notifications to and from applicant; • Application for financial assistance; • Photocopies of any original documents (front and back), including original USCIS documents; • Signed verification consent forms; • USCIS verification results; • Request(s) for USCIS appeal and/or informal hearing; • Final USCIS determination and/or informal hearing decision(s). <p>Excludes:</p> <ul style="list-style-type: none"> • Denials that are <u>not</u> appealed, which are covered by HA60-01-51; • Termination of assistance to existing tenants/participants covered by HA60-01-52. <p><i>Note: If litigation commences, these records become part of a litigation case file covered by CORE series GS53-02-04.</i></p>	<p>Retain for 5 years after resolution of informal hearing or USCIS appeal <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HA60-01-35 Rev. 1	<p>Police Reports Informational notifications received from law enforcement agencies relating to incidents occurring within the jurisdiction of the housing authority.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.1 ADMINISTRATION

The activity of identifying qualified families and providing public housing and/or low-income housing subsidies pursuant to [Title 24 CFR](#) and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
<p>Continued from previous page</p> <p>HA60-01-52 Rev. 1</p>	<p>Tenant/Participant Files <i>Continued from previous page</i></p> <ul style="list-style-type: none"> • Basis for determining (reasonable) rent pursuant to 24 CFR 982.158(f)(7); • Family Portability Information (HUD-52665); • Request for tenancy approval (HUD-52517); • Special admission documentation (such as non-waiting list, HUD-targeted assistance provided in accordance with 24 CFR § 982.203); • Lead-based paint records required by 24 CFR Part 35, Subpart B (IMPORTANT: See exclusion, below); • Move-in/move-out inspection reports (FORM HUD-90106, etc.); • Disposition of tenant/participant personal property; • Termination of subsidy; • Grievance/informal hearing procedures; • Correspondence with tenants/participants (including notifications, complaints and responses, notices of entry of dwelling unit during tenancy, etc.). <p>Excludes records covered more specifically in this retention schedule or the Local Government Common Records Retention Schedule (CORE) including, but not limited to:</p> <ul style="list-style-type: none"> • Low Income Housing Tax Credit (LIHTC) records covered by HA2014-006 and HA2014-007; • Lead-based paint abatement/remediation <u>on agency-owned property</u>, which is covered by CORE series GS50-19-15; • Criminal records checks covered by HA60-09-49; • Damage claims and collections covered by CORE series GS50-01-10 and GS50-03B-14. <p><i>Note: If litigation commences, these records become part of a litigation case file covered by CORE series GS53-02-04.</i></p>	<p>Continued from previous page</p>	

1.1 ADMINISTRATION

The activity of identifying qualified families and providing public housing and/or low-income housing subsidies pursuant to Title 24 CFR and/or other federally-subsidized public housing program. Also includes unsubsidized residential housing on agency-owned property.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA60-01-61 Rev. 1	<p><i>Waiting Lists (Tenant/Participant)</i> Records relating to the creation, monitoring, closing, and opening of waiting lists for any/all programs offered by the housing authority.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Opening and closing of waiting lists (public notices, etc.); • Correspondence to and from applicants relating to the waiting list (update notifications, recertification, change in preference status, interview notification, etc.); • Removal of applicants from waiting list (non-response, change of circumstances, etc.). 	<p>Retain for 3 years after end of fiscal year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.2 PROGRAMS

The activity of providing programs and services to tenants, participants, and homeowners.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA60-01-08 Rev. 1	<p>Resident Councils/Resident Advisory Boards (RABs) Records relating to formation, activities, and meetings of Resident Councils formed pursuant to 24 CFR § 964 Subpart B and Resident Advisory Boards (RAB) formed as part of the housing authority's Annual Plan process pursuant to Section 511 of the <i>United States Housing Act</i> and 24 CFR § 903.13. Also includes Section 8 RABs.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bylaws, policies, minutes, resolutions, meeting packets, etc.; • Information distributed to residents/participants (purpose and role of the RAB, etc.); • Member elections, appointments, notifications, correspondence, etc.; • Memoranda of understanding pursuant to 24 CFR § 964.18 (10); • Appeals filed with HUD pursuant to 24 CFR § 964.18 (6); • Resident participation fund expenditure decision-making. <p>Excludes:</p> <ul style="list-style-type: none"> • Financial records covered by <i>CORE</i> series GS2011-184, <i>Financial Transactions – General</i>; • Plans and reports submitted to HUD which are covered by <i>CORE</i> series GS2012-028, <i>Reporting/Filing (Mandatory) – Agency Management</i>. 	<p>Retain for 6 calendar years <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.2 PROGRAMS

The activity of providing programs and services to tenants, participants, and homeowners.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-002 Rev. 0	<p><i>Family Self-Sufficiency (FSS) Programs</i></p> <p>Records relating to participation in a Family Self-Sufficiency (FSS) Program in accordance with 24 CFR § 984 by families receiving public housing and/or low-income housing subsidies pursuant to Title 24 CFR.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • FSS contract of participation (FORM HUD-52650, etc.); • Escrow account credit worksheet (FORM HUD-52652, etc.); • Records documenting family responsibility fulfillment (training and services, welfare assistance certification, etc.); • Escrow account reports; • Termination of family’s participation (for any reason, including successful completion of program, non-compliance, etc.). <p>Excludes:</p> <ul style="list-style-type: none"> • <i>Tenant/Participant Files</i> covered by HA60-01-52; • Financial records, which are covered in <i>CORE</i> – Financial Management. 	<p>Retain for 6 years after completion, termination, or expiration of contract of participation <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 PROGRAMS

The activity of providing programs and services to tenants, participants, and homeowners.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-003 Rev. 0	<p><i>Housing Counseling Services</i> Records documenting the provision of housing counseling services to homeowners and tenants in accordance with 24 CFR § Part 214.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Client files (action plans, race/ethnicity/income data, credit reports, documentation of services provided, etc.); • Group education files (participant lists and race/ethnicity/income data; course title, outline, instructors, dates, etc.); • Other records retained pursuant to 24 CFR § 214.315. <p>Excludes:</p> <ul style="list-style-type: none"> • <i>Tenant/Participant Files</i> covered by HA60-01-52; • Counseling program administration records, which are covered by <i>CORE</i> series GS2011-183, <i>Financial Transactions – Bond, Grant and Levy Projects</i>. 	<p>Retain for 3 years after completion/termination of counseling services <i>or</i> terms of grant agreement, <i>whichever is later then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.3 REPORTING

The activity of providing information as required by regulating authorities, **where not covered by CORE.**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-004 Rev. 0	<p>Reporting (Applicant/Tenant/Participant-Specific) – Mandatory</p> <p>Records relating to reports pertaining to specific applicants, tenants, and/or participants which are required to be submitted to a regulatory agency in accordance with Title 24 CFR, where not covered by a more specific records series.</p> <p>Regulatory agencies may include, but are not limited to:</p> <ul style="list-style-type: none"> • United States Department of Housing and Urban Development (HUD); • Department of Homeland Security (DHS); • United States Department of Agriculture (USDA); • U.S. Citizenship and Immigration Services (USCIS). <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Reports and supporting documentation; • Confirmation of submission, revisions, corrections, etc.; • Correspondence, inquiries, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notification to U.S. Citizenship and Immigration Services (USCIS) of aliens not lawfully present in the United States pursuant to section 404 of the <i>Welfare Reform Act</i>. <p>Excludes:</p> <ul style="list-style-type: none"> • Reporting which is NOT specific to individual applicants, tenants or participants; • Reporting relating to finances, which is covered by CORE series GS2011-189, <i>Reporting/Filing (Mandatory) – Financial Management</i>; • Records covered in the Low Income Housing Tax Credit (LIHTC) section of this records retention schedule. 	<p>Retain for 3 years after submission of report <i>and</i> until completion of State Auditor’s examination report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2. FINANCIAL MANAGEMENT

The function of managing the local government agency's financial resources, obligations and monetary infrastructure, **where not covered by CORE.**

2.1 LOW INCOME HOUSING TAX CREDIT (LIHTC)

The activity of receiving indirect federal subsidy through tax credits for financing the development of affordable rental housing for low-income households.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-005 Ver. 0	<p>Administrative Files - Low Income Housing Tax Credit (LIHTC) Property Administrative records required to be retained in order to document compliance with 26 USC § 42 of the Internal Revenue Code and that relate to agency-owned property that has been placed in service as a Low-Income Housing Tax Credit (LIHTC) property.</p> <p>Administrative records include, but are not limited to:</p> <ul style="list-style-type: none"> • 8609's – Agency and Owner-completed (2 sets); • Certificates of Occupancy or Approval; • Allocation Documents; • Partnership Agreement; • Extended Use Provision; • Utility Allowance; • Minimum Set-Aside Compliance; • Income Limits for each year of compliance. <p>Excludes LIHTC tenant files covered by HA2014-006 and/or HA2014-007.</p> <p><i>Note: Please consult with a qualified tax attorney for specific information on rules and regulations and how they apply to your agency. If you placed the property in service prior to the first tax credit year, consult a qualified tax attorney.</i></p>	<p>Retain for 21 years after the first year of the credit period <i>and</i> 6 years after federal tax return filed (including extensions) for the last year of the compliance period of the building <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

2.1 LOW INCOME HOUSING TAX CREDIT (LIHTC)

The activity of receiving indirect federal subsidy through tax credits for financing the development of affordable rental housing for low-income households.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-006 Ver. 0	<p>Tenant Files - Low Income Housing Tax Credit (LIHTC) Property (Year #1)</p> <p>Records that are required to be retained in order to document compliance with 26 USC § 42 of the Internal Revenue Code <u>and</u> that relate to tenant participation in a public housing program within an agency-owned property the year it is placed in service as a Low-Income Housing Tax Credit (LIHTC) property.</p> <p>Records include, <i>but are not limited to</i>:</p> <ul style="list-style-type: none"> • Original Tenant Application; • HUD Form 50058 or 50059; • Move-In Certification; • Third Party Income Verifications (EIV paperwork cannot be included in LIHTC file); • Verifications of assets or the Sworn Statement of Net Household Assets; • Student Certification; • Specials needs set-asides forms for homeless, farm worker, or disabled units; • Proof of Age (elderly properties only); • Tax Credit Lease Rider; • Initial Lease; • Unit Inspection Form; • Utility Allowance; • All other records required by 26 CFR §1.42-5. <p>Excludes:</p> <ul style="list-style-type: none"> • Administrative LIHTC records covered by HA2014-005; • Year #2 forward LIHTC tenant files covered by HA2014-007. <p><i>Note: Please consult with a qualified tax attorney for specific information on rules and regulations and how they apply to your agency. If you placed the property in service prior to the first tax credit year, consult a qualified tax attorney.</i></p>	<p>Retain for 21 years after the first year of the credit period <i>and</i> 6 years after federal tax return filed (including extensions) for the last year of the compliance period of the building <i>and</i> 6 years after termination of lease/subsidy <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

2.1 LOW INCOME HOUSING TAX CREDIT (LIHTC)

The activity of receiving indirect federal subsidy through tax credits for financing the development of affordable rental housing for low-income households.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-007 Ver. 0	<p>Tenant Files - Low Income Housing Tax Credit (LIHTC) Properties (Year #2 Forward) Records that are required to be retained in order to document compliance with 26 USC § 42 of the Internal Revenue Code <u>and</u> that relate to tenant participation in a public housing program within an agency-owned property that has been claimed in a previous year as a Low-Income Housing Tax Credit (LIHTC) property.</p> <p>Records include, <i>but are not limited to</i>:</p> <ul style="list-style-type: none"> • Original Tenant Application; • HUD Form 50058 or 50059; • Move-In Certification; • Third Party Income Verifications (EIV paperwork cannot be included in LIHTC file); • Verifications of assets or the Sworn Statement of Net Household Assets; • Student Certification; • Specials needs set-asides forms for homeless, farm worker, or disabled units; • Proof of Age (elderly properties only); • Tax Credit Lease Rider; • Annual Recertifications; • Initial Lease; • Unit Inspection Form; • Utility Allowance; • All other records required by 26 CFR §1.42-5. <p>Excludes:</p> <ul style="list-style-type: none"> • Year #1 LIHTC tenant files covered by HA2014-006; • Administrative LIHTC records covered by HA2014-005. <p><i>Note: Please consult with a qualified tax attorney for specific information on rules and regulations and how they apply to your agency.</i></p>	<p>Retain for 6 years after federal tax return filed (with extensions) <i>and</i> 6 years after termination of lease/subsidy <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

2.2 PLANNING

The activity of determining financial strategies and processes in regard to revenues and expenditures, **where not covered by CORE.**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HA2014-008 Rev. 0	<p>Rents – Rate Setting Records relating to the setting of rent rates for any/all programs administered by the public housing agency. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Flat rates for families receiving public housing assistance pursuant to 24 CFR § 960.253(b)(2); • Rent/lease rates for properties owned by the housing agency (rent comparability studies, etc.). <p>Excludes:</p> <ul style="list-style-type: none"> • Individual/family rent determination records retained in tenant/participant file; • Records covered in the Low Income Housing Tax Credit (LIHTC) section of this records retention schedule; • Financial reports required to be submitted to HUD which are covered in <i>CORE</i>. 	<p>Retain for 4 years after rates superseded <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
HA60-01-47 Rev. 1	<p>Income Limits/Median Family Income Documentation Income limits and median family income documentation issued by the U.S. Department of Housing and Urban Development (HUD) for use in determining housing assistance eligibility. <i>Note: Income limits available online at http://www.huduser.org/portal/datasets/il.html</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

INDEX: ARCHIVAL RECORDS

There are no records designated as “Archival” in the *Housing Authorities Records Retention Schedule*.

All ARCHIVAL records made and received by the Housing Authority are covered in the [Local Government Common Records Retention Schedule \(CORE\)](#)

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