

AGENDA

BOARD OF COMMISSIONERS HOUSING AUTHORITY OF THE COUNTY OF MERCED

Regular Meeting
Tuesday, November 21, 2017
5:30 p.m.
Closed session immediately following

Housing Authority of the County of Merced
Administration Building
405 "U" Street
Board Room – Building B (Second Floor)
Merced, CA 95341
(209) 386-4139

Rachel Torres, Chairperson
Margaret Pia, Vice-Chair
Jose Delgadillo
Evelyne Dorsey
Jack Jackson
Rick Osorio
Jose Resendez

All persons requesting disability related modifications or accommodations may contact the Housing Authority of the County of Merced at (209) 386-4139, 72 hours prior to the public meeting.

All supporting documentation is available for public review in the office of the Administrative Assistant located in the Housing Authority Administration Building, Second Floor, 405 "U" Street, Merced, CA 95341 during regular business hours, 8:00 a.m. – 5:00 p.m., Monday through Friday.

The Agenda is available online at www.merced-pha.com

Use of cell phones, pagers, and other communication devices is prohibited while the Board Meeting is in session. Please turn all devices off or place on silent alert and leave the room to use.

I. CALL TO ORDER AND ROLL

II. COMMISSIONER and/or AGENCY ADDITIONS/DELETIONS TO THE AGENDA

(M/S/C): ____/____/____

III. APPROVAL OF THE FOLLOWING MEETING MINUTES

A. October 17, 2017 Quarterly Meeting

(M/S/C): ____/____/____

IV. UNSCHEDULED ORAL COMMUNICATION

NOTICE TO THE PUBLIC

This portion of the meeting is set aside for members of the public to comment on any item within the jurisdiction of the Commission, but not appearing on the agenda. Items presented under public comment may not be discussed or acted upon by the Commission at this time.

For items appearing on the agenda, the public is invited to comment at the time the item is called for consideration by the Commission. Any person addressing the Commission under Public Comment will be limited to a 5-minute presentation.

All persons addressing the Commission are requested to state their name and address for the record.

Although it does represent a frustration at times, I know that we, on this Board, take these obligations very seriously. This is why I wished to make this clear reminder and give some context, both for the Commissioners and for the benefit of the public, about why we cannot respond to public comment, and how that protects the interests of the public, if appropriate staff will be given direction to follow up and if needed provide a response at a follow up meeting.

A comment for my fellow Commissioners that it is not unusual for elected members to feel that the Brown Act can make it difficult to respond to citizens, especially when they've addressed us as part of our unscheduled oral communication section of the agenda.

V. CONSENT CALENDAR

All matters listed under the Consent Calendar are considered routine by the Housing Authority and will be adopted by one action of the Board of Commissioners, unless any Board Member has any question(s), or wishes to discuss an item. In that event, the Chairperson will remove that item from the Consent Calendar and place it for separate consideration.

- A. PHAS Report for October 2017
- B. Aged Receivables Report October 2017
- C. Financial Reports for October 2017

(M/S/C): ____/____/____

VI. BUSINESS (INFORMATION AND DISCUSSION, RESOLUTION and ACTION ITEMS):

A. Information/Discussion Item(s):

- 1.) Homeowner Update
- 2.) Presentation from Wulff Hansen & Co. regarding municipal advising and HACM Bond Debt obligations." Ben Levine, Wulff Hansen & Co.
- 3.) Director's Updates

B. Resolution Item(s):

- 1.) **Resolution No. 2017-25:** Approving an amendment to the Employment Contract between the Housing Authority of the County of Merced and Rosa Vazquez.

(M/S/C): ____/____/____

- 2.) **Resolution No. 2017-28:** Appointing Wulff, Hansen & co. as a municipal advisor to the Housing Authority and authorizing the Executive Director to execute a municipal advisory agreement and addendums 1 & 2 to that agreement.

(M/S/C): ____/____/____

- 3.) **Resolution No. 2017-29:** Approving the submission of the Housing Authority's Housing Choice Voucher SEMAP Certification, HUD Form 52648 to HUD for the Fiscal Year Ending September 30, 2017.

(M/S/C): ____/____/____

- 4.) **Resolution No. 2017-30:** Approving the Housing Authority of the County of Merced Records Retention and Disposition Policy.

(M/S/C): ____/____/____

C. Action Item(s):

- 1.) **Action Item 2017-A-03:** Establishment of an Ad Hoc Committee for purposes of evaluating bond refinance or restructuring options.

(M/S/C): ____/____/____

VII. COMMISSIONER'S COMMENTS

VIII. CLOSED SESSION ITEM(S)

A. Pursuant to Government Code §54957

Public Employee Performance Evaluation for Executive Director

B. Pursuant to Government Code §54956.8

Proposed sale of vacant property located at 8880 E. Gerard Ave., Planada – CA 95365

IX. ADJOURNMENT

MINUTES

BOARD OF COMMISSIONERS HOUSING AUTHORITY OF THE COUNTY OF MERCED

Quarterly Meeting Tuesday, October 17, 2017

- I. The meeting was called to order by Chairperson Torres at 5:30 p.m. and the Secretary was instructed to call the roll.

Commissioners Present:

Rachel Torres, Chairperson
Evelyne Dorsey
Jack Jackson
Rick Osorio
Jose Resendez

Commissioners Absent:

Margaret Pia, Vice-Chair
Jose Delgadillo

Chairperson Torres declared there was a quorum present.

Staff Present:

Rosa Vazquez, Executive Director/Board Secretary
Brian Watkins, Finance Officer
Blanca Arrate, Director of Housing Programs
Gina Thexton, Director of Housing Programs
Maria F. Alvarado, Executive Assistant
David G. Ritchie, Legal Counsel

Others Present:

Merced County Supervisor Espinoza
Mary McWatters, AFSCME Business Agent
Bertha Perez, Member of the Public
Britt Lemas, HACM Staff
Celso Garcia, HACM Staff
Felix Zuniga, HACM Staff
Guillermo Ruelas, HACM Staff
Janae Elmasian, HACM Staff
Lo Saechao, HACM Staff
Lori Gonzales, HACM Staff
Patricia Murillo, Member of the Public
Patty Mora, HACM Staff
Steven Perez, HACM Staff
Sue Speer, HACM Staff
Tony Sanchez, HACM Staff

II. **COMMISSIONER and/or AGENCY ADDITIONS/DELETIONS TO THE AGENDA:**

- A. Executive Director Vazquez requested that VI. Business B.5.Resolution No. 2017-27 be moved to VI. Business B.1.

- B. Commissioner Jackson requested that VI. Business B.3. Resolution No. 2017-25 is tabled and will be brought back at the November 21, 2017 meeting.

(M/S/C): Commissioner Resendez/Commissioner Dorsey/passed unanimously

III. APPROVAL OF THE FOLLOWING MEETING MINUTES:

- A. September 19, 2017 Regular Meeting

(M/S/C): Commissioner Resendez/Commissioner Jackson/passed unanimously

IV. UNSCHEDULED ORAL COMMUNICATION:

Merced County Supervisor Rodrigo Espinoza – District 1 was in attendance to introduce himself to the Board and to extend his assistance in anything the Authority might need. Executive Director Vazquez thanked Supervisor Espinoza for meeting with her and being open to future projects between the County and the Authority.

Steven Perez, HACM Maintenance Worker, thanked the Board for the opportunity to speak to them. Mr. Perez states that he and fellow coworkers feel as though they are being retaliated against. Mr. Perez states that they feel they have pressure from management to move faster and get things done. Management has also notified staff that vacation requests will not be approved during the months of October and November. Work is being “nitpicked” and questioned on the duration of work. Staff has begun to keep records of their daily activities so if question they can provide information. Management will write staff up or bring them in to talk and do not provide any information as to the reason for the write up or meeting. This does not allow staff to prepare and gather their own information. Mr. Perez states management wants the “upper hand”. Staff feel like they are just a number and there is a disconnect between management and staff. Mr. Perez would like to the Board to look at the number of attendees from the last meeting and those present. Mr. Perez states that if all staff were to show up the room would be filled. Mr. Perez thanks Commissioner Resendez for opening his door to staff and asks the Board who else will listen.

Guillermo Ruelas, HACM Eligibility Specialist, thanks the Board for listening to him at the previous meeting. Mr. Ruelas states that it is unfortunate and disappointing that it took him voicing his concern to the Board to get a response to his written reprimand. Mr. Ruelas still disagrees with the reprimand and is seeking other avenues to address this matter. Mr. Ruelas reviewed the minutes and has an issue with the money the Authority has to compensate staff for their work. Mr. Ruelas states that the Executive Director has been with the Authority for less than a year. Mr. Ruelas states that the Executive Director evaluation was moved up from the normal time and he does not know if they evaluation was done or the status. Mr. Ruelas noted that the Executive Director has requested a 5% increase in pay and this would be a second increase in less than a year. Mr. Ruelas states that during labor negotiations, staff was told there was “no money” for increases and that was pushed and now the Executive Director is requesting an increase. Mr. Ruelas points out that increases for staff are based on evaluations and those evaluations are based on management’s assessment of the staff person. Mr. Ruelas stated that staff requested the Board do a survey on how staff feels. Mr. Ruelas states that they are the backbone of the Authority and if the Authority has received recognition from HUD is due to staff doing their work. Mr. Ruelas questions what factors are used in determining the Executive Director’s evaluation if a

survey is not done and staff given the opportunity to evaluate upper management. Mr. Ruelas states that without staff there would be no Authority. He also expresses his disappointment in how decisions are made in determining the Executive Director's performance. Mr. Ruelas requests an update on the status of the Labor Relations Meetings and the survey they requested. He also states that he feels that that he is being nitpicked for his attendance. He was asked to provide a doctor's note when he was out due to his daughter's illness. Mr. Ruelas states he does not know if this is due to his unfair written reprimand.

Lo Saechao, HACM Maintenance Worker, he is a thirteen year employee of the Authority. Mr. Saechao states these past months have been hard as he feels under appreciated. Mr. Saechao states he was recently moved to AMP 3 and was told that this was because that AMP can afford him and his truck. He feels he is not treated as a person but as a number. Mr. Saechao states that he has since switched vehicles. He also states that management does not acknowledge how staff feels as to them they are just a number.

Antonio Sanchez, HACM Maintenance Worker, states that management is assigning more work without hiring new staff. Mr. Sanchez stated that on occasion they are provided with temporary staff but this only is for a period of approximately six months. He states that staff is being asked to do more with less. For example they are down to five maintenance workers from seven a year ago. Staff gets more responsibility with less staff and they are being questioned on the amount of time spent on each assignment. This is causing staff to rush and it has led to three accidents and lower quality of work. Mr. Sanchez invites the Board to look at a vacancy and the time that management gives them to turn a unit around. The level of work quality has dropped and so has morale. Mr. Sanchez states that second guessing himself is causing him stress. He no longer feels like an employee.

Felix Zuniga, HACM Maintenance Worker, states he loves his job and what he does. Mr. Zuniga states that he does not object to signing a written reprimand when it is warranted. He disagrees with the most recent. Mr. Zuniga states that this reprimand was issued due to a wrong date. He states that if management had interviewed him this could have been resolved. Mr. Zuniga states he no longer reports to work free spirited and full of fun. Mr. Zuniga states that staff now must log all daily activities as they fear a write up. Mr. Zuniga states that from last meeting to this one he feels that they are being retaliated against. He states that although some write ups are accurate, management nitpicks. He also states that management no longer cares how staff feels or what training they want. Mr. Zuniga states that he did not receive his evaluation on time and has been working out of class for over year and his hope is to achieve his goal of being reclassified to a Maintenance Worker III. He also states that he has done the most on-call than his fellow coworkers but he does so with pride. He states that only the negative is picked up on his evaluation making him feel he has done nothing good or appreciated.

Celso Garcia, HACM Acting Maintenance Foreman, is a thirty year employee of the Authority. Mr. Garcia states that during his time with the Authority he has worked under several Executive Directors some good and some bad. Mr. Garcia states that he disagrees with some of his coworkers comments. Mr. Garcia stated that he disagrees with the statement that staff is asked to do more than they can do. They do what they can in one day; however, with experience you also gain speed in doing the work. Mr.

Garcia states that he does not feel as though he has someone looking over his shoulder.

Bertha Perez, Member of the Public, would like the Board to consider all of the comments from staff as numerous staff members are unhappy and just one does not feel the same way. Ms. Perez has a concern with the fact that the Acting Foreman is in essence calling his coworkers liars.

Mary McWatters, AFSCME Business Agent, states she addressed the Board in the previous meeting as the members needed it. She states a coworker of hers received a call stating that she came in to rile staff up and lied. Ms. McWatters states she did no such thing and this is all staff doing. They are showing solidarity and she is proud of them.

V. CONSENT CALENDAR:

- A. PHAS Report for September 2017
- B. Aged Receivables Report September 2017
- C. Financial Reports for September 2017
- D. Public Housing Flat Rent Schedule

(M/S/C): Commissioner Dorsey/Commissioner Resendez/passed unanimously

VI. BUSINESS (INFORMATION AND DISCUSSION, RESOLUTION and ACTION ITEMS):

A. Information/discussion Item(s):

1.) Director's Updates:

- a. Quarterly Department Reviews – Executive Director Vazquez explained that the Housing Choice Voucher Report has been modified to reflect monthly numbers which reflect monthly HAP expense.
- b. SEMAP – Executive Director Vazquez stated that the Authority is currently working on the Housing Choice Voucher SEMAP submission.
- c. The Fiscal Year ended on September 30, 2017. The Authority is now working with the new fiscal year budget.
- d. MCOE Assistant Superintendent John Magnusson – Executive Director Vazquez met with Mr. Magnusson. MCOE and the Authority will be launching the “Lending Library Project”.
- e. The Authority has applied for thirteen additional VASH vouchers. HUD approval for this request is pending.
- f. The Authority has submitted the funding application request for the FSS Program. This program is currently for HCV clients only but will be extended to Public Housing clients.
- g. The Migrant Centers have begun to close. Atwater closed October 16th. Los Banos will close November 13th, Merced will close November 17th and Planada November 20th.
- h. The Authority will have REAC inspections November 13th – November 15th at AMP 1 and AMP 3.

- i. Housing Authority Bonds Update - Executive Director Vazquez stated the Authority currently has bonds on four properties. Those are Merced Commons, Valley View Homes, Oak Terrace and the Los Banos RDA property. The Authority has reached out to Wulff, Hansen & Co. to review these bonds.

B. Resolutions Item(s):

- 1.) **Resolution No. 2017-27:** Authorizing the Executive Director to enter into an amended purchase and sale agreement with Patricia Murillo for 2314 First Street, Atwater, CA accepting the \$142,000.00 indebtedness as satisfied in full, and authorizing the reconveyance of the property and recordation thereof.

(M/S/C): Commissioner Osorio/Commissioner Dorsey/passed unanimously

- 2.) **Resolution No. 2017-09:** Approving the award of contract for Property Management for Merced Commons I, Merced Commons II and Oak Terrace Apartment properties and authorizing the Executive Director to enter into contract.

(M/S/C): Commissioner Osorio/Commissioner Dorsey/passed unanimously

- 3.) **Resolution No. 2017-21:** Amending the previously approved salary schedule to reflect the additional allocation for the position of Clerk of the Board and Human Resources Manager.

(M/S/C): Commissioner Osorio/Commissioner Dorsey/passed unanimously

- 4.) **Resolution No. 2017-26:** Approving Side Letter of Understanding between Local 2703, American Federation of State, County and Municipal Employees (AFL-CIO) and The Housing Authority of The County of Merced regarding Employee Orientation Bill (AB 119).

(M/S/C): Commissioner Jackson/Commissioner Resendez/passed unanimously

C. Action Item(s):

None

VII. COMMISSIONER'S COMMENTS:

The Board thanked all of those in attendance for their comments.

VIII. CLOSED SESSION ITEM(S):

The Board of Commissioners went into closed session at 6:45 p.m. The following people were present:

Board Members

Rachel Torres, Chair
Evelyn Dorsey

Others Present

Rosa Vazquez, Executive/Director/Board Secretary
David G. Ritchie, Legal Counsel

Jack Jackson
Jose Resendez

A. Pursuant to Government Code §54957

Public Employee Performance Evaluation for Executive Director

The Board came out of Closed Session at 7:17 p.m. and reported that the Authority is in compliance with the evaluation requirements which stipulate that this be done on or prior to the anniversary date, which is November 1, 2017.

IX. ADJOURNMENT

There being no further business to discuss, the meeting was adjourned at 7:21 p.m.

Chairperson Signature / Date

Secretary Signature/ Date

PHAS Tracking Summary Fiscal Year Ending 09/30/18

Indicators	Estimated Status at End of Month												
Sub-Indicator #1	Performance Scoring	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Lease Up Days		0											
Average Lease Up Days		0											
Make Ready Time		26											
Average Make Ready Days		26											
Down Days		0											
Average Down Days		0											
Total # Vacant Units Turned		1											
Total # Turn Around Days		26											
Average Turn Around Days (To Date)	A = 0-20 B = 21-25 C = 26-30 D = 31-40 F = more than 50	26											

% Emergency Work Orders Abated W/in 24 hours	A = 99% B=98% C=97% D=96% E=95% F= less than 95%	100%											
Average # days to complete Non-Emergency Work Orders	A = 25 days or less B=26-36 C=31-40 D=41-50 E=51-60 F= greater than 60	29											

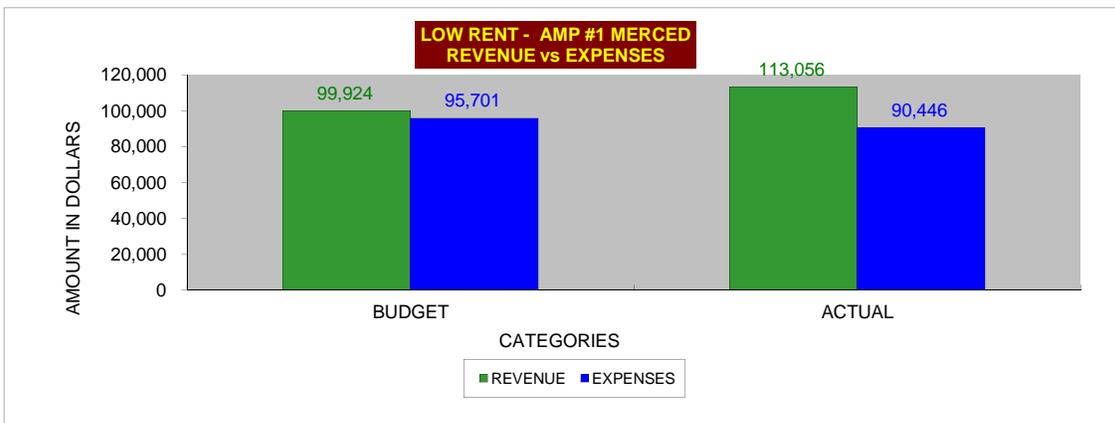
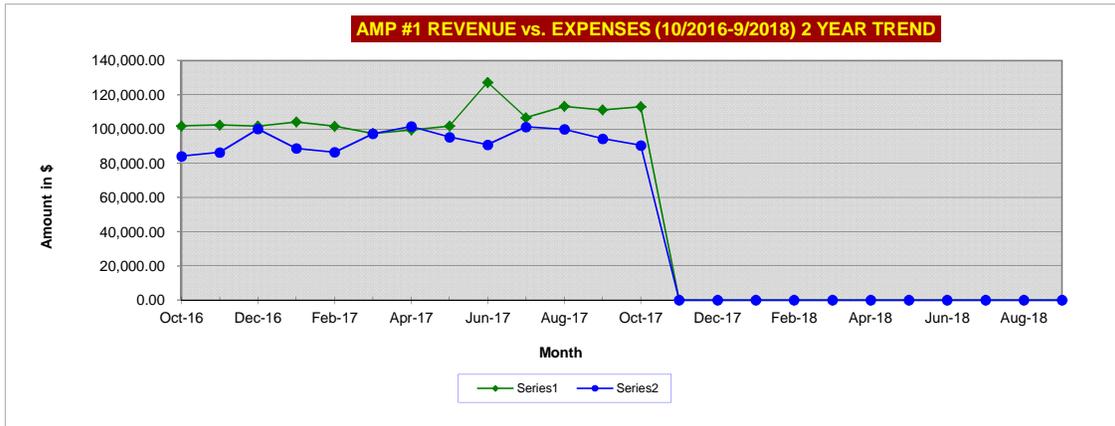
Merced Summarized AR-II

Trans through=10/31/2017

Amp Code	Property Code	Thirty Day	Sixty Day	Ninety Day	OverNinety Day	Total AR	Prepayments	Ending Balance	Total Charges	% AR
									Past Year	of Charges
AMP 1-Merced and Atwater										
PH-AMP1	ca023001	2,031.13	(116.25)	-	-	1,914.88	(1,238.76)	676.12	415,053.36	0.46%
PH-AMP1	ca023010	512.12	111.00	92.22	(20.95)	694.39	(2,608.83)	(1,914.44)	206,886.23	0.34%
PH-AMP1	ca023013	200.47	10.00	-	-	210.47	(331.25)	(120.78)	74,405.85	0.28%
PH-AMP1	ca023021	-	-	-	-	-	(19.12)	(19.12)	4,545.00	0.00%
PH-AMP1	ca023023	-	-	-	-	-	(1.89)	(1.89)	12,980.00	0.00%
Total AMP 1-Merced and Atwater		2,743.72	4.75	92.22	(20.95)	2,819.74	(4,199.85)	(1,380.11)	713,870.44	0.39%
AMP 2-Atwater, Winton, and Livingston										
PH-AMP2	012a	352.43	26.00	-	(1,470.01)	(1,091.58)	(1,256.52)	(2,348.10)	141,390.43	-0.77%
PH-AMP2	012b	0.58	-	-	(301.00)	(300.42)	(888.75)	(1,189.17)	33,965.09	-0.88%
PH-AMP2	atw	32.00	-	-	-	32.00	(460.00)	(428.00)	91,302.28	0.04%
PH-AMP2	ca023003	24.56	-	-	370.26	394.82	(19.70)	375.12	69,718.15	0.57%
PH-AMP2	ca023006	1,155.20	(94.00)	-	-	1,061.20	(1,116.48)	(55.28)	346,857.68	0.31%
Total AMP 2-Atw, Winton, and Living:		1,564.77	(68.00)	-	(1,400.75)	96.02	(3,741.45)	(3,645.43)	683,233.63	0.01%
AMP 3-Los Banos and Dos Palos										
PH-AMP3	012c	176.14	-	-	-	176.14	-	176.14	45,635.36	0.39%
PH-AMP3	012d	-	-	-	-	-	(724.10)	(724.10)	41,324.74	0.00%
PH-AMP3	ca023002	246.62	(16.00)	-	(206.00)	24.62	(480.70)	(456.08)	92,934.67	0.03%
PH-AMP3	ca023004	924.77	922.46	-	-	1,847.23	-	1,847.23	193,730.40	0.95%
PH-AMP3	ca023005	889.94	-	-	-	889.94	(183.75)	706.19	101,446.08	0.88%
PH-AMP3	ca023011	5,146.51	3.50	-	-	5,150.01	-	5,150.01	58,196.92	8.85%
PH-AMP3	dp	115.00	-	-	-	115.00	(305.10)	(190.10)	160,021.78	0.07%
PH-AMP3	mid	2,640.65	(14.36)	-	-	2,626.29	(989.82)	1,636.47	283,718.67	0.93%
Total AMP 3-Los Banos and Dos Palos:		10,139.63	895.60	-	(206.00)	10,829.23	(2,683.47)	8,145.76	977,008.62	1.11%
FTYR-Planada										
Farm Labor Housing	ft-yr	948.00	134.00	-	-	1,082.00	(500.00)	582.00	571,137.00	0.10%
Total FTYR-Planada		948.00	134.00	-	-	1,082.00	(500.00)	582.00	571,137.00	0.10%
TOTALS		15,396.12	966.35	92.22	(1,627.70)	14,826.99	(11,124.77)	3,702.22	2,945,249.69	0.50%

01-Oct-17

TO: 31-Oct-17



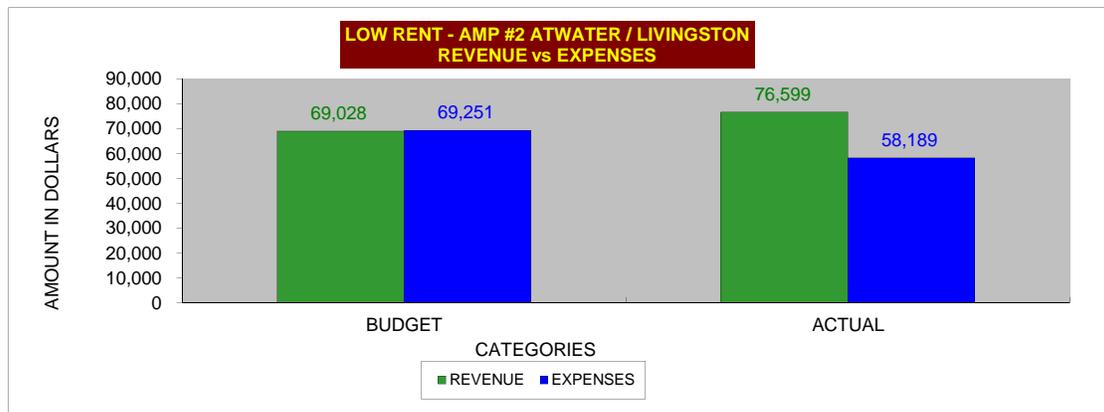
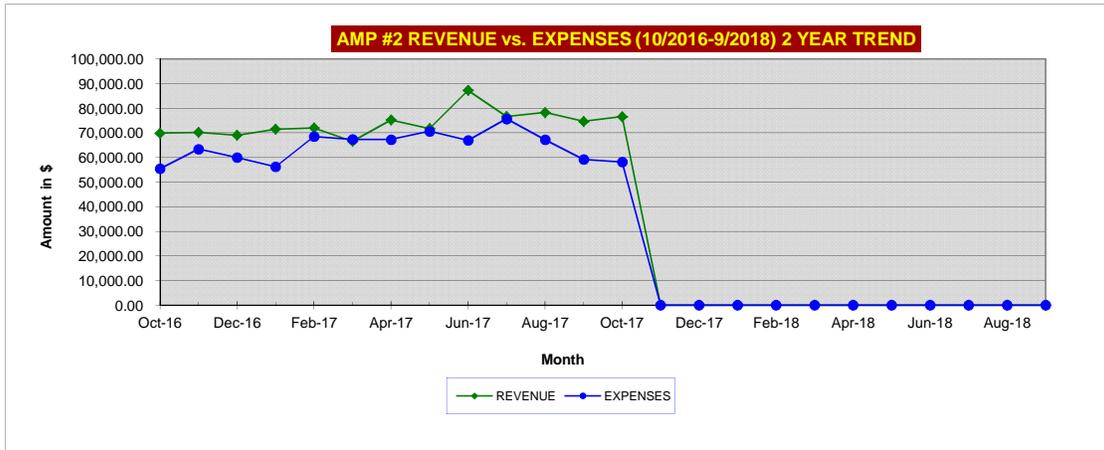
REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	55,023	60,098	316.10	345.26
NON-DWELL. RENTS	0	0	0.00	0.00
OTHER INCOME	396	6,028	2.27	34.63
PFS SUBSIDY	44,505	46,930	255.68	269.61
	99,924	113,056	574.05	649.50
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	34,209	29,726	196.53	170.78
TENANT SERVICES	0	0	0.00	0.00
UTILITIES	15,071	14,927	86.58	85.75
MAINT.	25,449	24,680	146.20	141.78
GENERAL	10,488	10,629	60.25	61.06
DEPRECIATION	10,484	10,484	60.23	60.23
EQUITY TRANSFERS	0	0	0.00	0.00
	95,701	90,446	549.79	519.60
NET SURPLUS	4,223	22,610		
NET FROM OPERATIONS	4,223	22,610		

ENDING EQUITY BALANCE	2,404,614	2,386,226
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NET SURPLUS	4,223	22,610
ADD BACK DEPRECIATION	10,484	10,484
CASH FLOW	14,707	33,094

01-Oct-17

TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	44,990	51,250	388.80	442.90
INTEREST	0	0	0.00	0.00
OTHER INCOME	1,291	335	11.15	2.90
PFS SUBSIDY	22,747	25,014	196.58	216.17
	69,028	76,599	596.53	661.97

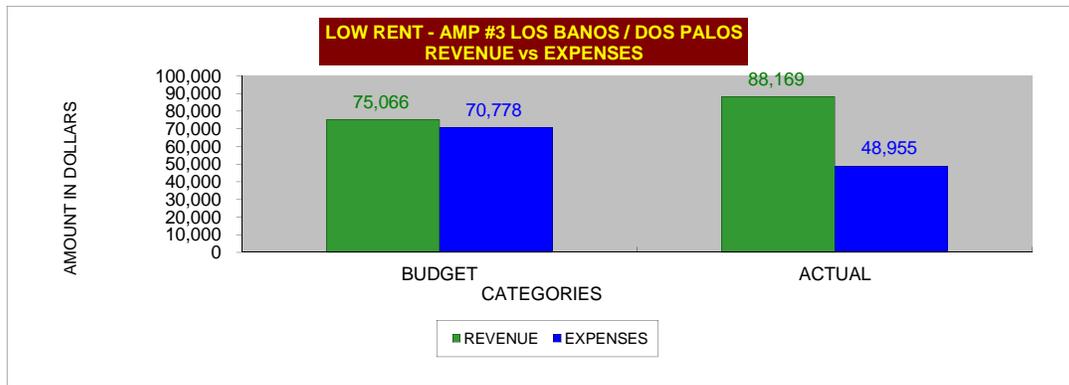
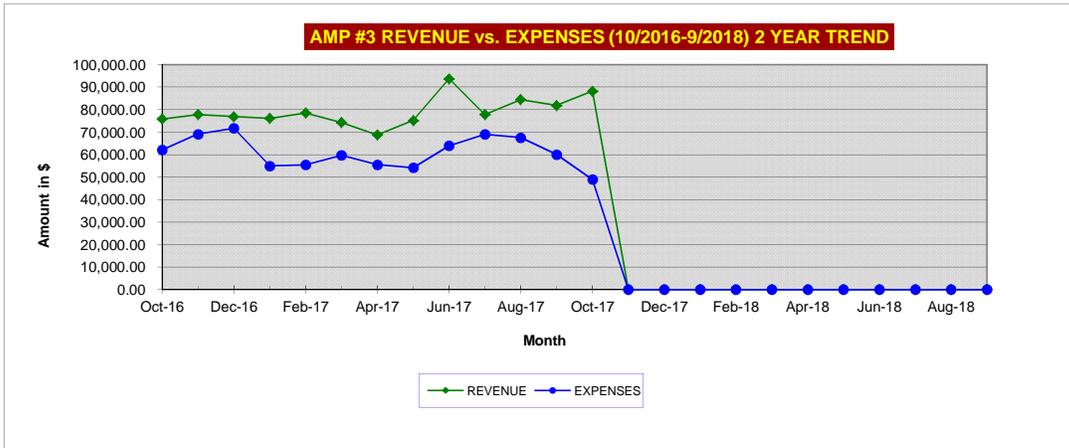
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	24,207	19,569	209.20	169.12
UTILITIES	14,118	7,008	122.01	60.56
MAINT.	16,993	18,079	146.85	156.24
GENERAL	8,073	7,673	69.77	66.31
DEPRECIATION	5,860	5,860	50.64	50.64
EQUITY TRANSFERS	0	0	0.00	0.00
	69,251	58,189	598.47	502.87

NET SURPLUS	(223)	18,410		
NET FROM OPERATIONS	(223)	18,410		

ENDING EQUITY BALANCE	1,828,311	1,809,678		
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NET SURPLUS	(223)	18,410		
ADD BACK DEPRECIATION	5,860	5,860		
CASH FLOW	5,637	24,270		

01-Oct-17 TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	40,752	53,930	337.74	446.96
INTEREST	0	0	0.00	0.00
OTHER INCOME	1,113	1,069	9.22	8.86
PFS SUBSIDY	33,201	33,170	275.17	274.91
	75,066	88,169	622.13	730.73

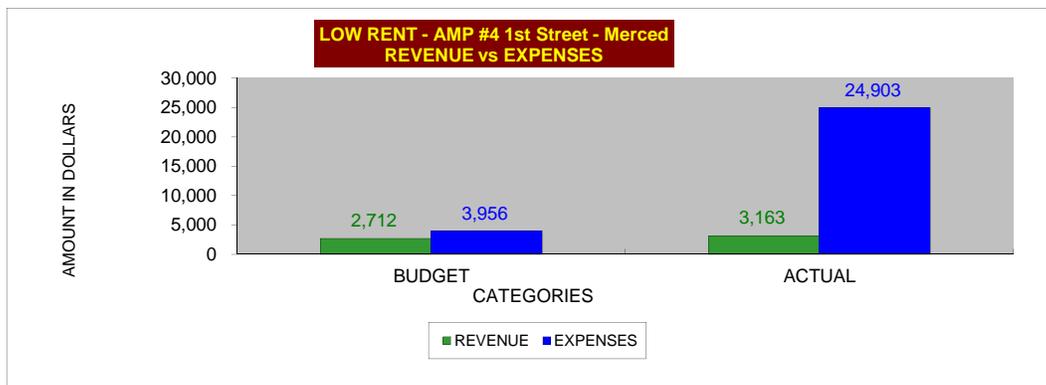
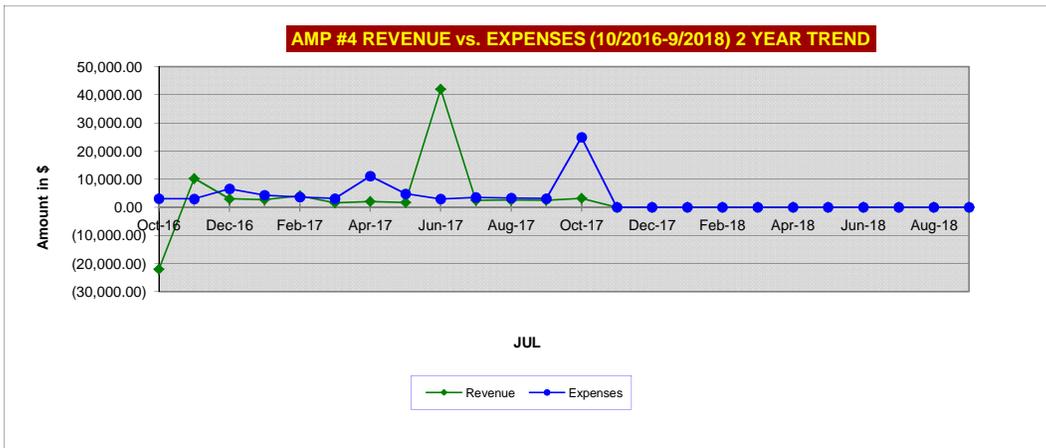
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	24,498	18,957	203.03	157.11
UTILITIES	12,456	6,613	103.23	54.81
MAINT.	21,480	11,708	178.02	97.03
GENERAL	7,529	6,862	62.40	56.87
DEPRECIATION	4,815	4,815	39.91	39.91
EQUITY TRANSFERS	0	0	0.00	0.00
	70,778	48,955	586.59	405.73

NET SURPLUS	4,288	39,214
NET FROM OPERATIONS	4,288	39,214

ENDING EQUITY BALANCE	1,772,839	1,737,913
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NET SURPLUS	4,288	39,214
ADD BACK DEPRECIATION	4,815	4,815
CASH FLOW	9,103	44,029

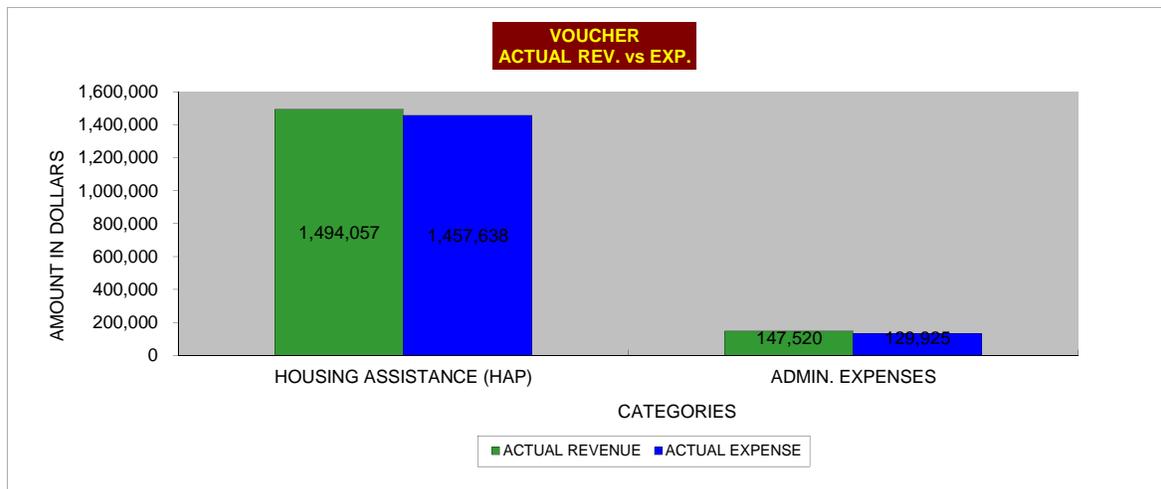
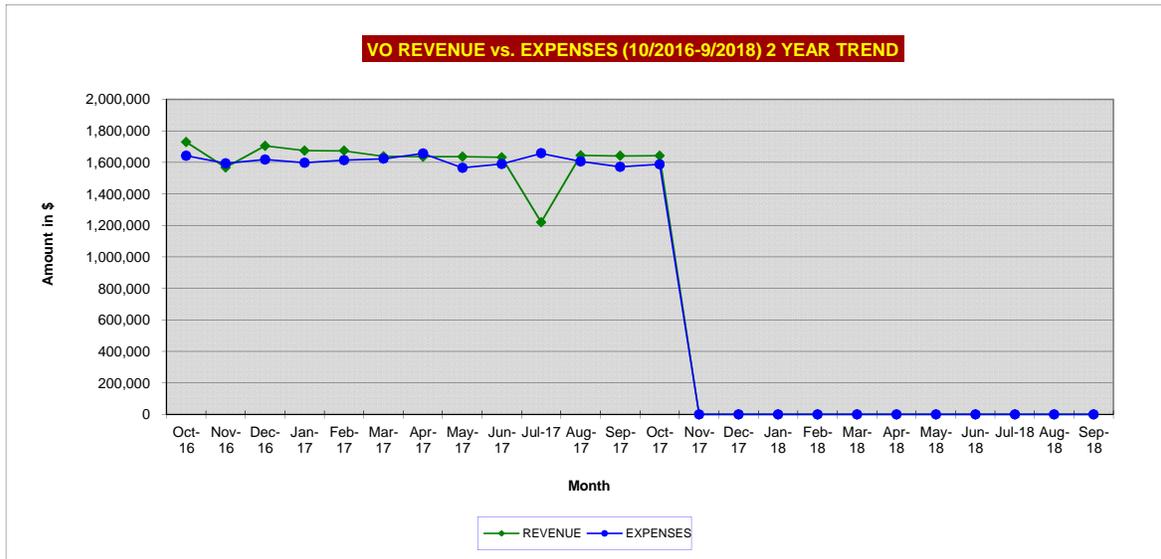
01-Oct-17 TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	1,484	889	250.00	149.81
OTHER INCOME	41	1,286	6.94	216.71
PFS SUBSIDY	1,187	988	200.00	166.50
CFP FUNDS	0	0	0.00	0.00
	2,712	3,163	456.94	533.02
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	1,094	826	184.36	139.19
UTILITIES	523	449	88.14	75.68
MAINT.	819	22,125	138.02	3,728.54
GENERAL	383	366	64.54	61.65
DEPRECIATION	1,137	1,137	191.61	191.61
EQUITY TRANSFERS	0	0	0.00	0.00
	3,956	24,903	666.67	4,196.67
NET SURPLUS	(1,244)	(21,740)		
NET FROM OPERATIONS	(1,244)	(21,740)		
ENDING EQUITY BALANCE	854,623	875,119		
NET SURPLUS	(1,244)	(21,740)		
ADD BACK DEPRECIATION	1,137	1,137		
CASH FLOW	(107)	(20,603)		

01-Oct-17

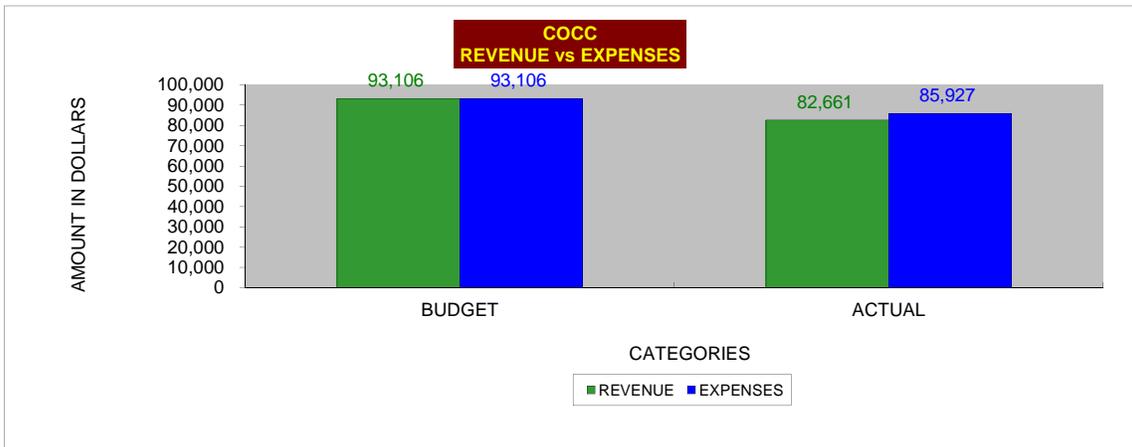
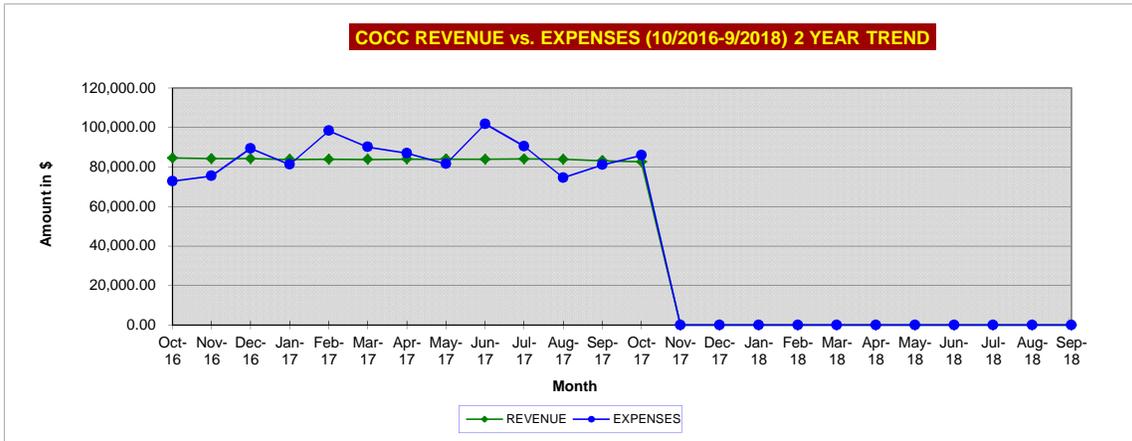
TO: 31-Oct-17



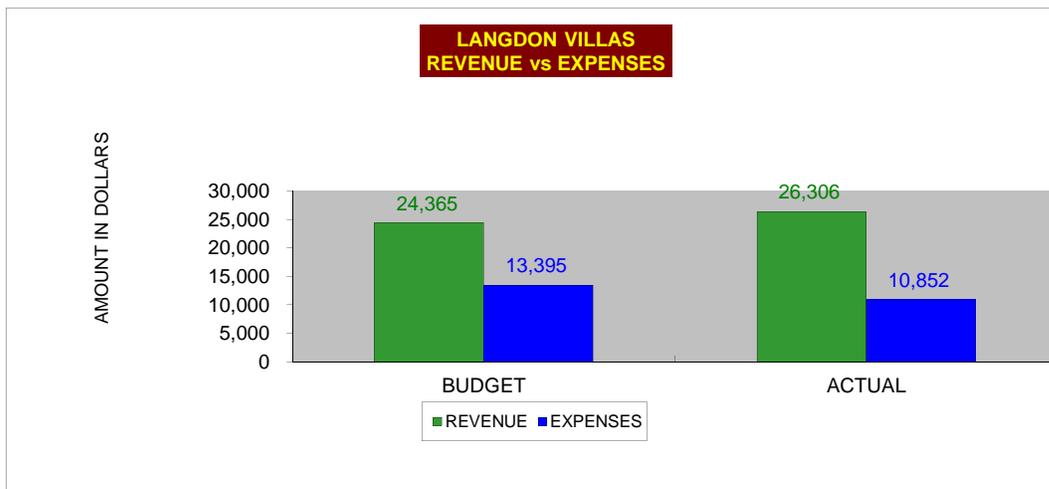
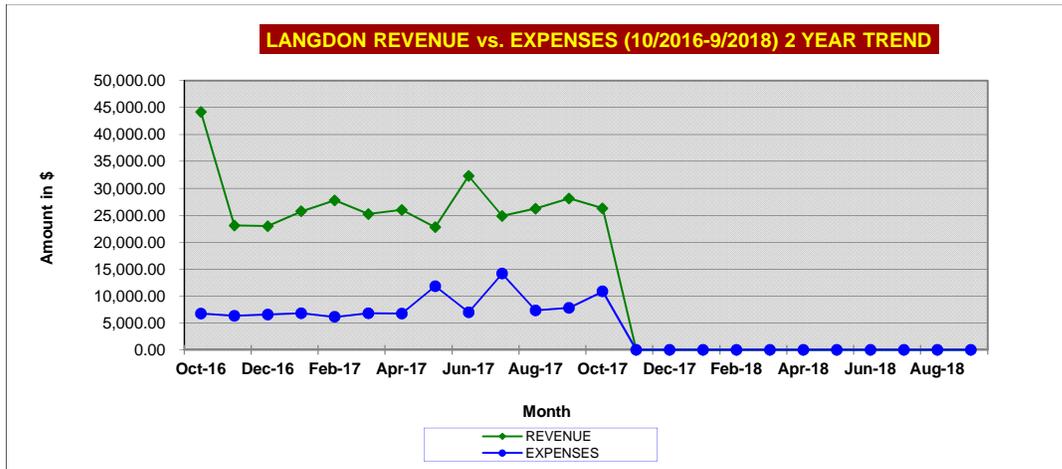
REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
HOUSING ASSISTANCE (HAP)	1,483,664	1,494,057	537.50	541.26
ADMIN. FEES	152,950	147,520	55.41	53.44
	1,636,614	1,641,577	592.91	594.70
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
HOUSING ASSISTANCE (HAP)	1,483,516	1,457,638	537.44	528.07
ADMIN. EXPENSES	140,292	129,925	50.82	47.07
	1,623,808	1,587,563	588.26	575.14
NET SURPLUS	12,806	54,014		
HAP SURPLUS YTD Change	148	36,419		
ADMIN SURPLUS YTD Change	12,658	17,595		
HAP SURPLUS BALANCE	(12,381)	23,890		
ADMIN SURPLUS BALANCE	(505,478)	(500,541)		

01-Oct-17

TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
INTEREST	0	0	0.00	0.00
OTHER INCOME	0	0	0.00	0.00
MANAGEMENT FEES	83,203	82,661	343.38	341.14
ASSET MANAGEMENT FEES	4,134	0	17.06	0.00
CFP ADMIN FEES	5,769	0	23.81	0.00
	93,106	82,661	384.25	341.14
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	72,470	67,819	299.08	279.89
UTILITIES	3,387	6,755	13.98	27.88
MAINT.	6,298	345	25.99	1.42
GENERAL	10,950	11,008	45.19	45.43
	93,106	85,927	384.24	354.62
NET SURPLUS	0	(3,266)		
NET FROM OPERATIONS	0	(3,266)		
ENDING RESERVE BALANCE	(289,939)	(293,205)		
NET SURPLUS	0	(3,266)		
ADD BACK DEPRECIATION	0	0		
CASH FLOW	0	(3,266)		



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	3,808	3,850	3,850.31	3,892.78
INTEREST	0	0	0.00	0.00
MANAGEMENT FEES	18,332	19,333	18,535.69	19,547.81
OTHER INCOME	2,225	3,123	2,249.72	3,157.84
	24,365	26,306	24,635.72	26,598.43
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	5,605	3,629	5,667.28	3,668.99
UTILITIES	123	109	124.37	110.18
MAINT. & OPER.	413	0	417.59	0.00
GENERAL	7,254	7,115	7,334.60	7,193.79
	13,395	10,852	13,543.84	10,972.96
NET SURPLUS	10,970	15,454		
ENDING EQUITY BALANCE	9,828,115	9,832,599		

HOUSING AUTHORITY OF THE COUNTY OF MERCED

Langdon

ASSETS, LIABILITIES & FUND EQUITY

FISCAL YEAR PERIOD FROM: 10/01/17 TO: 9/30/2018

REPORT PERIOD FROM:

01-Oct-17

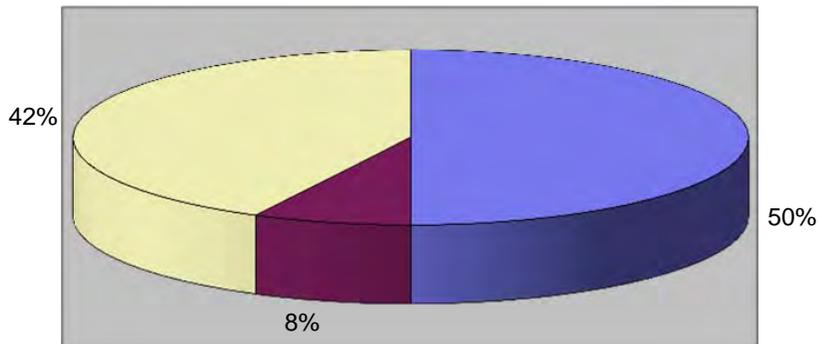
TO:

31-Oct-17

EXPEND. RATE:

UNIT/MONTH:

**LANGDON VILLA
BALANCE SHEET**



■ ASSETS ■ LIABILITIES ■ EQUITY

CATEGORIES	ASSETS	LIABILITIES	EQUITY	
CASH	3,862,151			
ACCTS. RECEIVABLE	131			
FIXED ASSETS	127,027			
NOTES RECEIVABLE	959,589			
2nd Trust Deeds	4,343,437			
OTHER L/T ASSETS	2,642,370			
DEFERRED OUTFLOWS	120,881			
ACCOUNTS PAYABLE		1,743		
Other Current Liabilities		148,734		
NOTES PAYABLE		0		
Other Non Current Liabilities		1,499,777		
DEFERRED INFLOWS		173,421		
PRIOR YEARS			10,209,482	
CURRENT YEAR			22,427	
EQUITY TRANSFERS			0	
	\$12,055,585	\$1,823,676	\$10,231,909	\$12,055,585
				LIAB. + EQUITY

HOUSING AUTHORITY OF THE COUNTY OF MERCED

Obanion

REVENUE & EXPENDITURE STATUS REPORT

FISCAL YEAR PERIOD FROM: 10/01/17 TO: 9/30/2018

REPORT PERIOD FROM:

01-Oct-17

TO:

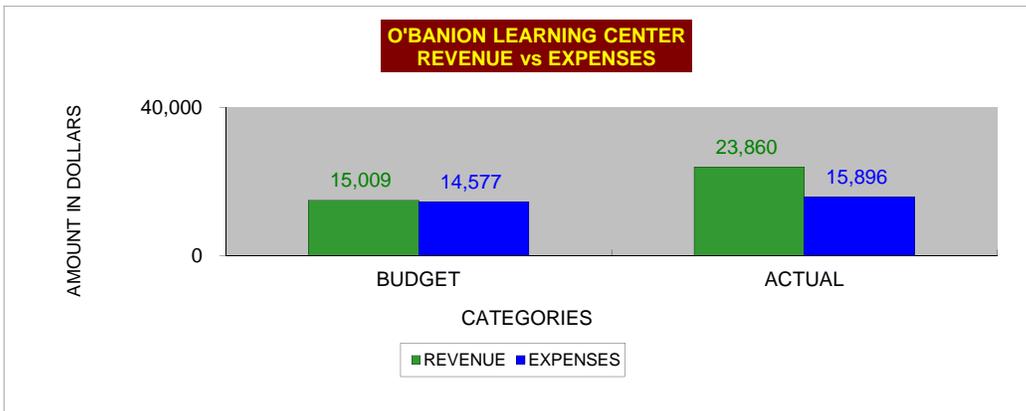
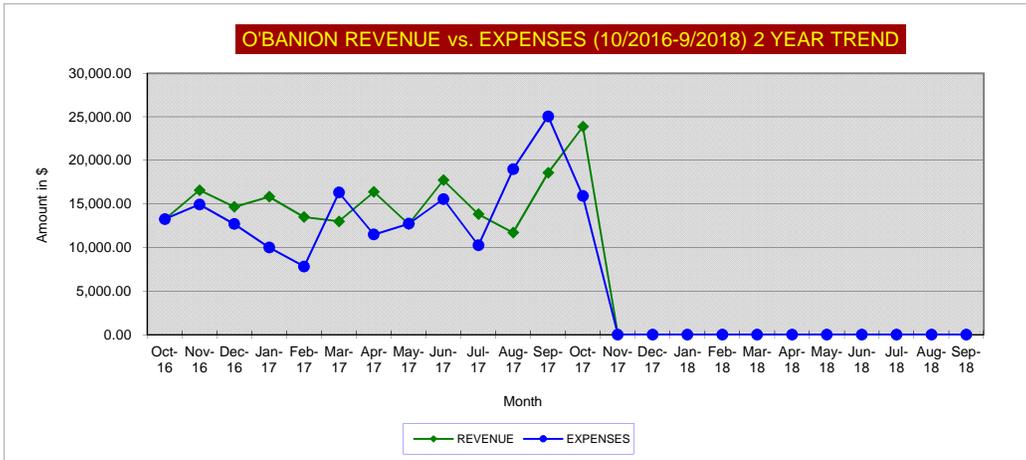
31-Oct-17

REV. RATE:

8.2%

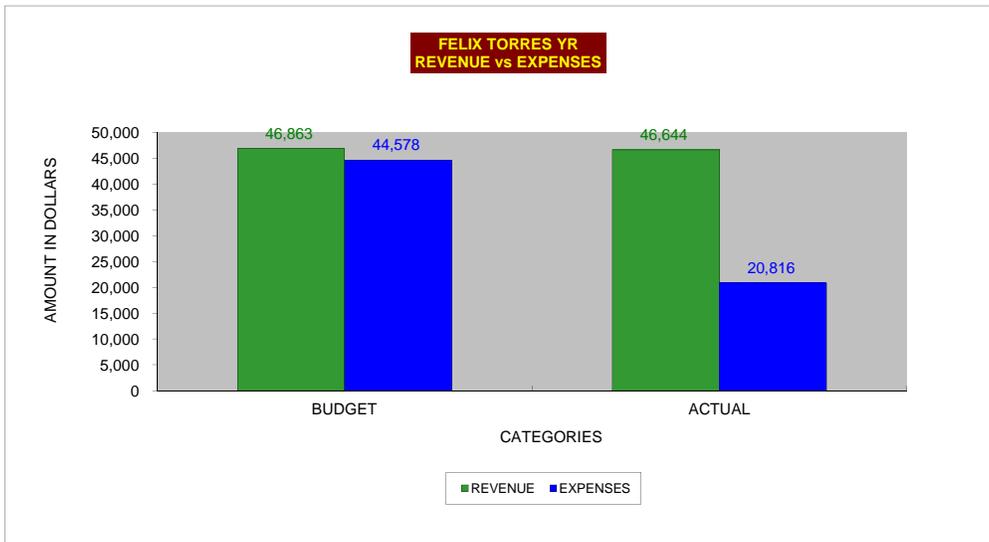
UNIT/MONTH:

72



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
NON-DWELL. RENTS	15,009	23,860	2,529.29	4,020.92
OTHER INCOME	0	0	0.00	0.00
	15,009	23,860	2,529.29	4,020.92
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	1,598	2,452	269.29	413.19
UTILITIES	5,428	12,108	914.72	2,040.37
MAINT. & OPER.	3,008	1,232	506.90	207.59
GENERAL	109	105	18.37	17.69
DEPRECIATION	4,434	0	747.21	0.00
	14,577	15,896	2,456.49	2,678.84
NET SURPLUS	432	7,964		
ENDING EQUITY BALANCE	2,432,151	2,439,683		
ADD BACK DEPRECIATION	4,434	0		
CASH FLOW	4,866	7,964		

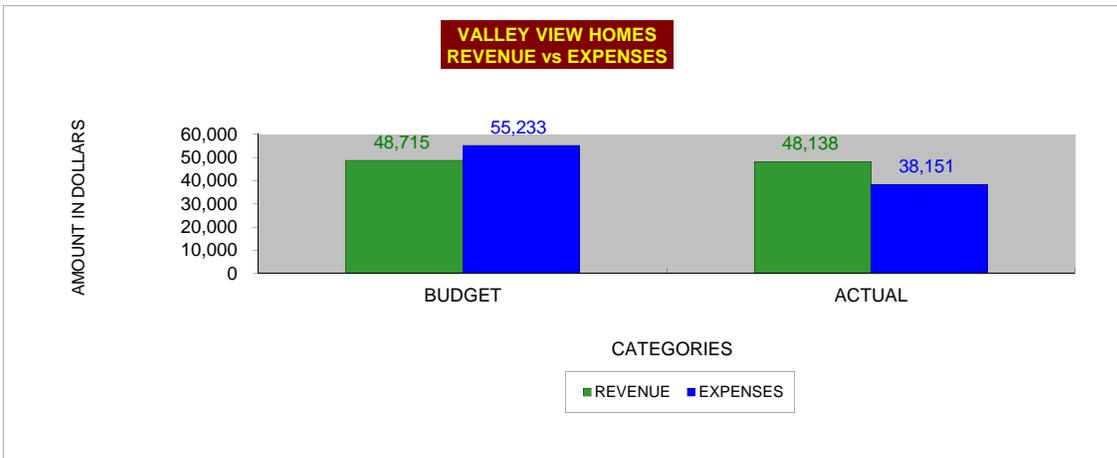
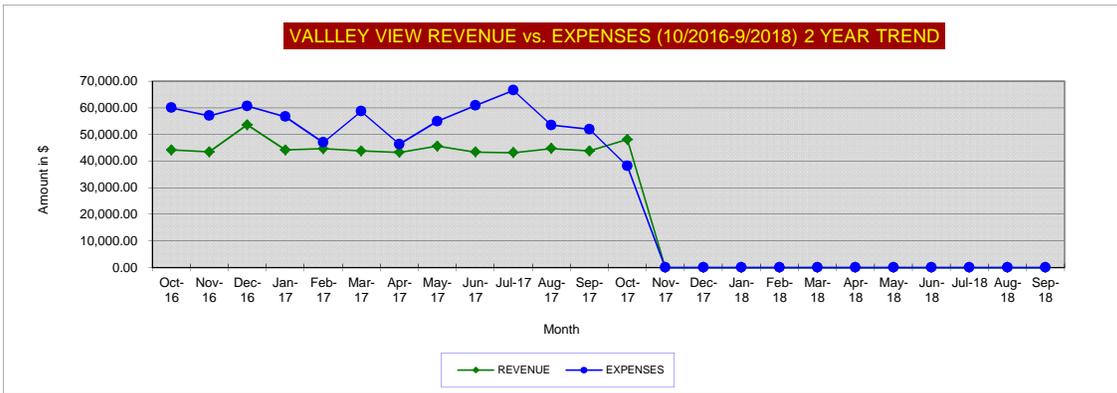
01-Oct-17 TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	46,780	46,684	1,028.26	1,026.15
INTEREST	0	0	0.00	0.00
OTHER INCOME	82	(40)	1.81	(0.88)
	46,863	46,644	1,030.07	1,025.27
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	9,026	4,275	198.40	93.98
UTILITIES	7,381	1,933	162.24	42.50
MAINT.	6,114	4,739	134.39	104.17
GENERAL	5,591	9,868	122.89	216.91
DEPRECIATION	16,466	0	361.93	0.00
EQUITY TRANSFERS	0	0	0.00	0.00
	44,578	20,816	979.85	457.56
NET SURPLUS	2,285	25,828		
NET FROM OPERATIONS	2,285	25,828		
ENDING EQUITY BALANCE	(162,543)	(139,000)		
NET SURPLUS	2,285	25,828		
ADD BACK DEPRECIATION	16,466	0		
LESS CAPITAL EXPENDITURES	0	0		
CASH FLOW	18,751	25,828		

01-Oct-17

TO: 31-Oct-17



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
RENTS	47,865	47,510	662.97	658.05
INTEREST	148	0	2.05	0.00
OTHER INCOME	702	628	9.73	8.70
	48,715	48,138	674.75	666.75
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
ADMIN.	12,776	8,407	176.96	116.44
UTILITIES	8,506	1,562	117.82	21.63
MAINT. & OPER.	12,109	8,389	167.72	116.20
GENERAL	2,859	2,314	39.60	32.05
DEPRECIATION	3,339	3,339	46.25	46.25
BOND INTEREST	14,140	14,140	195.85	195.85
BOND REPLACEMENT RESV	1,504	0	20.83	0.00
	55,233	38,151	765.03	528.42
NET SURPLUS	(6,518)	9,988		
BOND PRINCIPAL	6,181	0		
ADJUSTED SURPLUS	(12,699)	9,988		
ADD BACK DEPRECIATION	3,339	3,339		
ADD BACK BOND COST AMORT	0	0		
CASH FLOW	(9,360)	13,327		
ENDING EQUITY BALANCE	(2,466,560)	(2,443,873)		

HOUSING AUTHORITY OF THE COUNTY OF MERCED

Migrant (.migrant)

REVENUE & EXPENDITURE STATUS REPORT

FISCAL YEAR PERIOD FROM: 07/01/2017 TO: 06/30/2018

REPORT PERIOD

FROM:

01-Jul-17

TO:

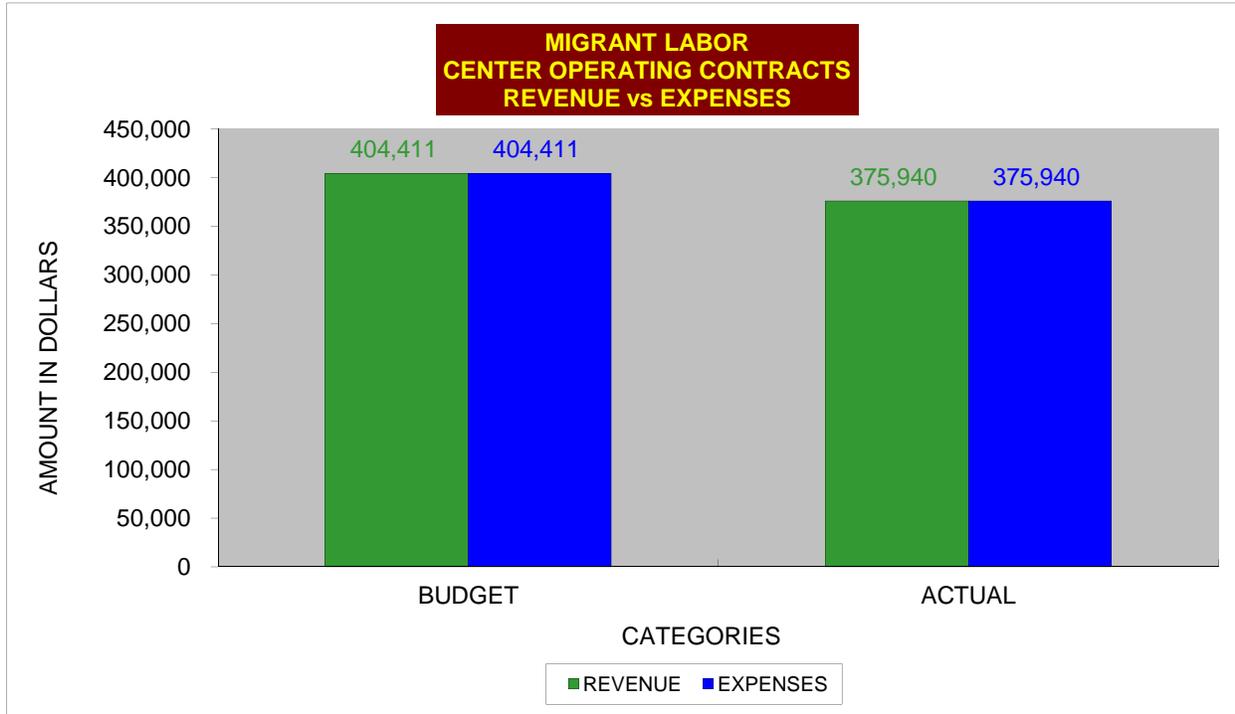
31-Oct-17

EXPEND. RATE:

33.5%

UNIT/MONTH:

1,548



REVENUE	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
OMS OPERATING	404,411	375,940	779.46	724.59
	404,411	375,940	779.46	724.59
EXPENSES	YTD BUDGET	YTD ACTUAL	PUM BUDGET	PUM ACTUAL
PERSONNEL	201,659	159,486	388.68	307.39
OPERATIONS	107,685	129,499	207.55	249.60
MAINTENANCE	6,251	8,337	12.05	16.07
ADMINISTRATION	38,407	37,175	74.03	71.65
DEBT SERVICE	50,409	41,443	97.16	79.88
	404,411	375,940	779.47	724.59
NET SURPLUS	0	0		

Housing Authority of the County of Merced



WULFF, HANSEN & CO.

STATEMENT OF QUALIFICATIONS

MUNICIPAL ADVISORY SERVICES

November 21, 2017

WULFF, HANSEN & Co.

ESTABLISHED 1931

INVESTMENT BANKERS

100 SMITH RANCH ROAD, SUITE 330

SAN RAFAEL, CALIFORNIA 94903

(415)-421-8900

November 21, 2017

Rosa Vazquez
Executive Director
Housing Authority of the County of Merced
405 U Street
Merced, CA 95341
Via email: RosaV@merced-pha.com

Dear Ms. Vazquez,

Wulff, Hansen & Co., a California Corporation founded in 1931, (“WH”) is pleased to submit this Statement of Qualifications regarding possible municipal advisory services to the Housing Authority of the County of Merced (the “Authority”). As a boutique municipal advisory and underwriting firm, WH prides itself on developing and nurturing long-term relationships with our clients. With that in mind, we are fortunate that many of our clients have relied on us for financing advice for decades, and we would hope to establish that type of relationship with the Authority. WH has worked with multiple public agencies in the Central Valley locale for many years. We are frequently in your area because of our preference for in person meetings. A sampling of local agencies with which we work in your area include, but are not limited to Porterville, Coalinga, Chowchilla, Sanger, Merced Waste Management Authority and the Clovis Veterans Memorial District. When practical, we prefer personal interaction with our clients and we opt for in person meetings with staff and the governing board over other forms of communication.

We bring in-depth experience, thoughtful innovative thinking, and workable solutions to the financing challenges of our clients. We also strive to be respectful of our clients’ time and resources, which in most cases are limited. We provide and share any information, at any time, that is requested by the client. Our goal is not only to give the best possible advice, but also, to make receiving and implementing that advice as easy as possible for the client’s staff.

We understand you could benefit from municipal advisory services relating to Authority finances. We have experience working with Housing Authorities and the wide variety of issues facing agencies such as yours. We are able to give your agency a “financial check-up” to make sure you are in compliance with the latest rules and requirements and positioned to move forward with your programs in an orderly, financially sound manner.

Ben Levine, Mark Pressman, and Erick Cruz are the advisors who will be assigned to work with the Authority on behalf of Wulff, Hansen & Co. Mr. Levine will be the lead on the project, assisted by Mr. Pressman. These two experienced professionals each have over 40 years of strong hands-on experience in advising public agencies with their financing challenges and will be personally meeting and working with the Authority. Mr. Cruz will also provide support and has recently joined Wulff, Hansen after 5 years of experience working as an analyst with another municipal advisory firm.

As a small firm, we have what we believe is a thoughtful process for selecting the clients with which we work. We strive to work with those agencies and cities whose mission we support, where we will provide a positive lasting impact, and where we believe that a mutually beneficial, long-term relationship can be developed over time.

Yours truly,

Ben H. Levine (Bud)
Mark Pressman
Wulff, Hansen & Co.
100 Smith Ranch Road, Suite 330
San Rafael, CA 94903
415-202-6682 (Bud direct)
415-302-2703 (Bud cell)
415-202-6680 (Mark direct)
415-246-7300 (Mark cell)
blevine@wulffhansen.com
mpressman@wulffhansen.com

WULFF, HANSEN & CO.
ESTABLISHED 1931

Firm Description and Experience:

What does it take to be one of the best in the industry? With 86 years of municipal advisory and underwriting experience, Wulff Hansen prides itself on being one of the oldest full-service advisory, investment banking and securities firms in California. Issuers benefit from Wulff Hansen's rich transaction history and the firm's integrated systems and capabilities. These allow us the flexibility to structure financing transactions to appeal to a broad range of retail and institutional investors, either as private placements with selected investors, as syndicated offerings, or as a combination of these venues. As your Municipal Advisor, our underlying philosophy is to make your financings as transparent, effective and efficient as possible. Wulff, Hansen & Co. has a long-standing philosophy of striving to provide our clients the best possible financing solutions given current market conditions. Some might consider the boutique size of Wulff Hansen to be a weakness. We see our size as a benefit to our clients. We are not fettered by a bureaucratic structure and we devote at least two senior advisors to larger assignments to make sure that our client has ready access to our advisors at all times, and has the benefit of multiple perspectives to come up with the best possible solutions for its financing challenges. Considering not only the history of the firm but the applicable experience of the staff assigned to the Authority, you will see that the professionals assigned have significant expertise in municipal finance. In fact, we have often been privileged to provide municipal advisory and underwriting services to clients over multiple decades and multiple debt issuances.

Wulff Hansen provides municipal advisory services to state and local governments, public agencies, schools, hospitals, special districts, and non-profit organizations. The firm has extensive experience with general obligation, Certificates of Participation, municipal leases, revenue bonds, Mello-Roos bonds, special assessment bonds, bond anticipation notes, tax allocation, tax and revenue anticipation notes and pension obligation bonds. Our clients rely on our ability to help them define the scope of the projects to be financed, develop a financing model that addresses their sensitivities, coordinate every aspect of approval of the financing, and complete the final structuring and marketing of the bonds. We are very conscious of protecting and enhancing an issuer's credit rating status. Available services range from developing bond structures, pricing, analyzing, and making recommendations based on proposed or new legislation, and developing comprehensive borrowing strategies. We make special efforts to ensure that our clients are in compliance with their debt management policies and continuing disclosure requirements so they can avoid issues with the regulators who are increasing their surveillance and audit programs of municipal issuers. We assist clients in obtaining bond ratings and credit enhancement, and coordinate and manage each issue through the ultimate sale and close. Wulff Hansen's commitment and long involvement in this arena is well-documented by our long history of successfully completed transactions.

Wulff Hansen especially prides itself on having successfully completed various client projects that had been dismissed by some of our peers as too small, too complex, too labor intensive, or too difficult to market. With our advisory staff's extensive public finance knowledge and experience and through collaboration within the firm, we excel at developing innovative financing solutions for challenging projects, whether large or small. Our professional advisors are excellent communicators and 'teachers' in that we are able to help staff and the legislative body learn more about and become comfortable with the financial modeling and the implementation process so that they can be fully confident in the program that is being developed for the issuer and its future. Wulff Hansen is a fully licensed Municipal Advisor. We are also a municipal securities dealer, which enhances our knowledge of day-to-day market conditions and investor expectations, and as such we are an approved member of the State Treasurer's underwriting pool.

Our expertise with land secured and real property financing is unparalleled. We have also over the past several years developed an expertise in Energy Efficiency projects and have provided advisory services to the cities of Chowchilla, Coalinga, Benicia, Marysville, and Sanger, among others. We have excellent working relationships with most bond counsel firms, direct placement brokers, and underwriters.

Serving a broad spectrum of investors and bond issuers, we employ 9 professionals, divided among our San Rafael headquarters and our branch office in Lodi, California. The San Rafael headquarters serves as the hub for our advisory and investment banking services.

Wulff, Hansen & Co. is well-qualified to deal with the current challenges in the municipal bond market, including the possibility of Tax Reform currently under discussion in Congress. After all, we have seen many such challenges in the past and have always assisted our clients in navigating the evolution in both regulation and in marketplace demands. Wulff Hansen & Co. has met the needs of our municipal clients in both good and bad economies, and in periods of rapid change to the fundamentals of public finance. We helped our clients during the great Depression, the Tax Reform act of 1986 and the extensive changes wrought by the Dodd-Frank bill and will continue to do so in years to come.

WULFF, HANSEN & CO.
ESTABLISHED 1931

Team Profile

For the Housing Authority of the County of Merced, Ben Levine, will be the primary contact from our San Rafael office, supported by Mark Pressman. We expect all services for the Authority to be provided from the San Rafael office. Mr. Levine and Mr. Pressman's contact information is below:

Ben H. Levine (Bud)
415-202-6682 (direct)
415-302-2703 (cell)
blevine@wulffhansen.com

Mark Pressman
415-202-6680 (direct)
415- 246-7300 (cell)
mpressman@wulffhanen.com

Wulff, Hansen & Co.
100 Smith Ranch Road, Suite 330
San Rafael, CA 94903

Resumes for Key Personnel to Work with the Housing Authority of the County of Merced

Ben H. "Bud" Levine - Co Team Leader – (Day to Day responsibilities - Strategizing, Structuring and Financial Analysis)

Mr. Levine is a senior advisor at Wulff Hansen, is a registered Municipal Advisor, and has 45 years of experience in the municipal advisory and investment banking business and has served during his career as a Municipal Advisor, investment banker and underwriter. He will serve as advisor in charge of this relationship, will lead the team on behalf of the Authority, and will be charged with primary responsibility for managing the relationship. He will be working with Mr. Pressman and Mr. Cruz on behalf of the Authority.

He is proficient in structuring and managing transactions for the full spectrum of debt issuers including cities, counties, water, sanitary, irrigation, fire and special districts as well as other issuers. Mr. Levine has particular expertise in managing and advising on financing renewable energy, water and wastewater projects. Examples of his various transactions include utilizing many different revenue sources including enterprise revenue, ad valorem taxes, lease revenue, special tax, allocable property taxes, parcel tax, connection fees and special assessments and government provided subsidies.

His transaction history includes initial issuances, debt restructurings, and refunding of existing outstanding obligations. He has served as either advisor or underwriter on debt restructuring and issuance resulting from the bankruptcy of issuers and has assisted public entities to exit bankruptcy. This has resulted in a wide range of professional contacts in the industry, including investors, insurers, bond attorneys, investment bankers, and rating agencies, that he utilizes as resources in developing new, innovative and efficient bond structuring techniques for issuer clients faced with challenging financing needs. Over the last several years he has provided both Investment Banking and Municipal Advisory Services on several energy Efficiency Projects utilizing all of the various structures available for such financing.

Mr. Levine holds a B.A. in Political Science from the University of California (Berkeley) and attended Boalt Hall School of Law and the Graduate School of Business both at the University of California. He was the founder and primary principal of San Francisco Securities from 1970 until 1980. He has been with Wulff Hansen since 2005.
Licenses: Series 7 (General Securities), Series 50 (Municipal Advisor Representative), Series 63 (Multistate).

Mark Pressman - (Co Team Leader - Strategizing, Structuring Financial Analysis)

Mr. Pressman is a principal and senior municipal advisor with over 40 years of experience in the municipal advisory and investment banking business. He has been with Wulff Hansen since 2000, prior to which he owned and managed his own firm for many years. He will be assisting Mr. Levine as part of the team in providing services to the Authority.

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ESTABLISHED 1931

Mr. Pressman's tenure has resulted in a wide range of professional contacts in the industry, including investors (both retail and institutional), insurers, rating agencies, and bond counsel that he utilizes as resources in developing new, innovative and efficient bond structuring techniques for issuer clients faced with challenging financing needs. He is an expert at developing phased financing projects and has provided full special tax rate consulting as well as conceptual rate and method of apportionment for CFD financings that was then refined by an outside special tax rate consultants.

Mr. Pressman has structured transactions for a variety of entities, including service districts, housing authorities, school districts, cities, counties, authorities, hospital, water, irrigation, sanitary and fire districts and other special districts. For example, Mr. Pressman served as underwriter/advisor on the financing team of the City of Fremont that formed and funded its many 1915 Act assessment districts during the City's rapid development during the 1980s. Business park subdivision infrastructure as well as new freeway intersections were funded. He has worked with the Benicia Housing Authority for several decades and recently coordinated the process of restructuring and refinancing loans with new money with both private investors and the State Department of Housing and Community Development. He also recently assisted in refinancing and generating new funds for HACK – Housing Authority of the County of Kern.

Mr. Pressman has structured both new money and refunding transactions for public agencies using tax allocation bonds, revenue bonds, general obligation bonds, limited obligation bonds, leases and Certificates of Participation transactions, Mello-Roos, and special assessment bonds. He has worked on projects providing public infrastructure for the Federal government at Travis Air Force Base and Lawrence Livermore National Laboratory.

He received a B.S. in Economics from the University of Oregon. He also founded and ran Mark Pressman Associates, a full service municipal bond and financial advisory firm from 1988 to 2000.

Licenses: Series 7 (General Securities), Series 24 (General Securities Principal), Series 50 (Municipal Advisor Representative), Series 52 (Municipal Securities), Series 53 (Municipal Securities Principal), Series 27 (Financial and Operations Principal), Series 63 (Multistate)

Erick Cruz – (Structuring and Financial Analysis)

Mr. Cruz is a licensed advisor and analyst at Wulff Hansen who has had extensive experience in various public finance roles in California. He specializes in municipal bond structuring for general obligation bonds, certificates of participation, and tax/revenue anticipation notes. At Wulff Hansen Mr. Cruz develops plans for tax-exempt and taxable debt transactions, develops financial models, determines borrowing capacity and identifies refunding opportunities for municipal clients.

Before joining Wulff Hansen Mr. Cruz worked at Dale, Scott & Co. as a financial analyst specializing in school district financing. He also has experience working for the Metropolitan Transportation Commission/Bay Area Toll Authority where he managed rating agency changes, and interest rate and payment swap contracts. Mr. Cruz graduated from San Francisco State University with a B.S. in Business Administration.

References - Clients with whom we have provided financing include the below agencies:

City of Chowchilla

Rod Pruett
Finance Director
130 S. Second St.
Chowchilla CA 93610
(559) 665-8615 ext. 700
rpruett@cityofchowchilla.org

City of Chowchilla

Brian Haddix*
City Administrator
130 S. Second St.
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(559) 665-8615 ext. 100
bhaddix@cityofchowchilla.org

City of Marysville

Walter Munchheimer
City Manager
526 C St, PO Box 150
Marysville, CA 95901
(530) 749-3915
wmunchheimer@marysville.ca.us

City of Porterville

John Lollis
City Manager
291 N. Main Street
Porterville, CA 93257
(559) 782-7466
jlollis@ci.porterville.ca.us

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Mid-Peninsula Water District**Tammy Rudock**

General Manager
3 Dairy Lane
Belmont, CA 94002
(650) 591-8941
tammyr@midpeninsulawater.org

City of Mill Valley

Eric Erickson
Finance & Human Resources Director
26 Corte Madera Avenue
Mill Valley, CA 94941
(415) 388-4035 (Erickson)
eerickson@cityofmillvalley.org

Benicia Housing Authority

Julie Peterson
Executive Director
28 Riverhill Dr.
Benicia, CA 94510
(707) 745-2071 Ext. 15
juliep@beniciahousingauthority.org

Marin County

Roy Given
Finance Director
3501 Civic Center Drive
San Rafael, CA 94903
(415) 473-3736
RGiven@marincounty.org

**Brian Haddix was previously City Manager at City of Sanger where Wulff Hansen worked as well*

Project Understanding

We look forward to learning more about the needs of the Authority and assisting in updating Policies and Procedures and for developing strategies and financing for new housing projects for the Authority. Similar to what we would evaluate and recommend for the Authority we recently structured several Successor Agency refundings of previously issued Redevelopment Agency projects. We completed those financings with a low cost of funds which, based on projections of property tax revenues available, should pay for the projects and produce excess funds for the general fund of the issuing agency. Mr. Levine and Mr. Pressman have extensive personal experience in working on lease and certificated lease financing transactions. With our business centered on smaller to mid-sized municipalities, districts and agencies like the Authority, these two men have personally worked with over 13 local agencies to complete at least \$160,851,000 of lease and certificated lease transactions for asset transfers, refundings and property acquisition/expansions over the past several years. During this period they, of course, worked on a wide variety of other types of transactions with other agencies as well.

The lease/COP transactions completed included multi-sourced programs where special taxes were combined with general fund revenues to make lease payments (Bolin Fire Protection District), partial refundings combined with new money transactions (Marin County, Walnut Creek, Benicia Housing Authority, Housing Authority of the County of Kern), all new money proceeds (Larkspur, Mill Valley (2), Walnut Creek, Porterville, Mid-Peninsula Water District, Sanger, Marysville, City of Chowchilla), pure refundings (Benicia, Fairfax, Walnut Creek, Santa Ynez Union High School, City of Chowchilla), partial refundings and new money for District's pledging their allocable property tax in combination with other revenues to support the issue (Coalinga Regional Medical District). In some cases, enterprise revenue, Water, Wastewater or other sources of revenue were combined with government subsidies to provide lease payments.

Approach and Management Plan

Our approach to preparing a comprehensive financing program starts with a debt map, CIP list and timeline for those improvements and priorities of our client. We then integrate financing into the program using pay-as-you-go cash sources and outside funding. The combined program enhances financing efficiency, long-term planning and can be updated and adjusted to adapt to changing priorities and circumstances over the course of many years. The program provides our clients the ability to get a 30,000-foot elevation view of desired future capital improvements and sources for their financing, as well as a more granular view for individual parts of the program.

When we evaluate different financing options for a project, we summarize the options in a concise manner and share that summary with staff so they can see the pros and cons of each financing option. We then, based on feedback from staff (and the governing body, if appropriate) fine tune the financing for a specific transaction keeping staff apprised along the way. We then are able to produce a final financing recommendation and structure that can be presented to the governing body and the public.

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Cost Proposal

We will provide a cost proposal when a Municipal Advisory Agreement is signed and an addendum is provided for the specific project for which services are being provided by Wulff, Hansen. The Fees to be earned by Wulff, Hansen as Municipal Advisor for the issuance of new or refunding financings are normally success based, will be defined in the Addendum and will be paid to Wulff, Hansen out of the loan proceeds at closing of the financing. In the event non-project based advisory services are requested, an addendum for those services will be provided with an hourly fee, an estimate of hours and a not to exceed amount. Unless agreed to in advance by the Authority, no expenses will be billed for project based advisory services.

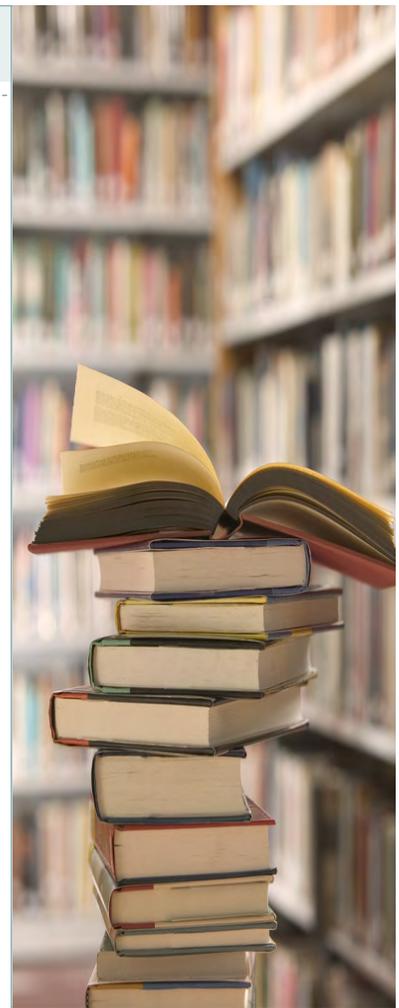
Other Information

<u>Issue Date</u>	<u>Issuer</u>	<u>Par Amount</u>
7/19/2017	Chowchilla PFA 2017 Taxable Lease Rev Bonds	\$3,630,000
6/15/2017	Chowchilla PFA 2017 Water Revenue Bonds	\$8,160,000
5/23/2017	Chowchilla PFA 2017 Taxable Wastewater Rev Bonds	\$3,310,000
3/15/2017	Chowchilla PFA 2017 REF Rev Bonds (Greenhills)	\$3,138,000
3/15/2017	CA Muni Fin Auth (Volunteers of America) 2017 Rev Bonds VOA	\$4,700,000
1/18/2017	Town of Fairfax 2017 COP	\$3,860,000
12/21/2016	City of Porterville RDA 2016 REF Series A& B	\$7,375,000
12/21/2016	Mid-Peninsula Water Dist 2016 COP	\$18,570,000
11/22/2016	City of Benicia 2016 COP	\$11,745,000
11/22/2016	Asian Community Ctr of Sacramento Valley 2016 REF Rev Bonds	\$16,080,000
11/9/2016	Sewerage Agency of Southern Marin 2016 Rev Bonds	\$38,000,000
11/3/2016	Housing Authority of Kern 2016 COP	\$1,028,000
10/13/2016	Ampla Health Financing Facility 2016 Taxable Variable Rate Rev Bonds	\$7,265,000
9/15/16	Benicia Housing Authority	\$1,455,000
9/8/2016	Chowchilla RDA 2016 REF Bonds	\$6,190,000
5/25/2016	Town of Fairfax 2016 GO Ref	\$1,239,000
1/20/2016	Mill Valley PFA 2016 Refunding for Public Library Project, 2006A	\$2,885,000
9/1/2015	Big Bear Municipal Water District 2015 ISA	\$3,600,000
7/15/2015	County of Marin 2015 COP	\$80,140,000
6/18/2015	Twin Cities Police Authority 2015 Special Tax Refunding Bonds	\$17,255,000
6/18/2015	City of Porterville 2015 COPs	\$22,650,000
5/12/2015	El Centro Regional Medical Center 2015 Rev REF Bonds Series A& B	\$50,000,000
5/1/2015	City of Walnut Creek 2015 COP	\$3,230,000
3/31/2015	Merced County Regional Waste Management Authority 2015 Rev Series A&B	\$23,572,000
2/11/2015	Sausalito Marin City School District 2015 GO Refunding Bonds	\$16,510,000
1/1/2015	Santa Ynez Valley Union High School District 2015 COP	\$3,455,000
10/14/2014	Larkspur-Corte Madera School District 2014 GO	\$19,000,000
7/16/2014	City of Benicia, McAllister Area Assessment District, 2014 REF Bonds	\$8,495,000
3/5/2013	Woodbridge Irrigation District Rev Bonds	\$13,510,000
Dec. 2012	Alco Water Var Rate Rev Bonds	\$5,670,000
Aug. 2012	City of Mill Valley Wastewater COP	\$5,620,000
June 2012	Sewerage Agency So. Marin (SASM) Revenue	\$4,500,000

Lending Library Kick-Off

On Wednesday, October 25, 2017 the Merced County Office of Education and the Housing Authority of the County of Merced joined forces and kicked-off the first lending library box at the Felix Torres Farm Worker Housing Center.

This will be the first of many locations for these lending libraries.

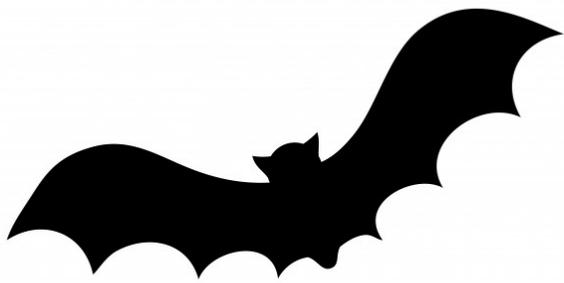






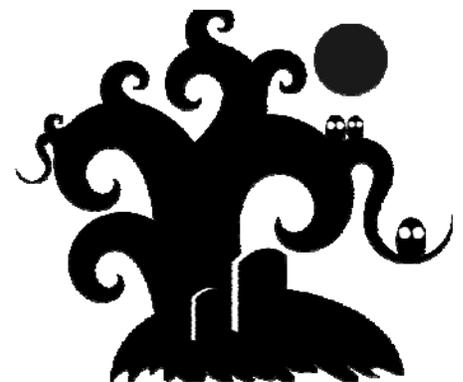
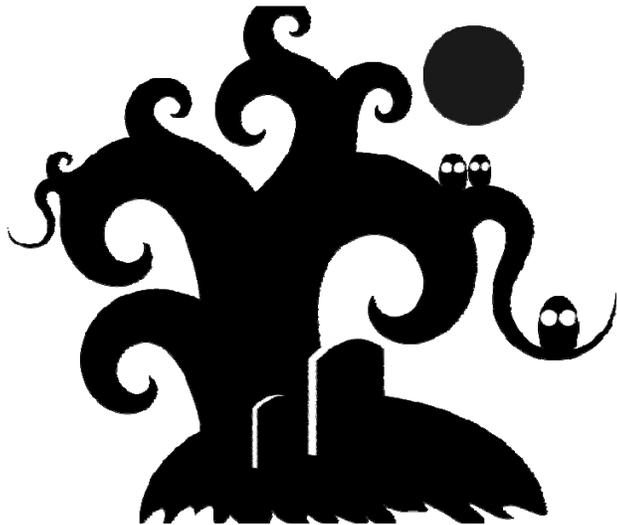
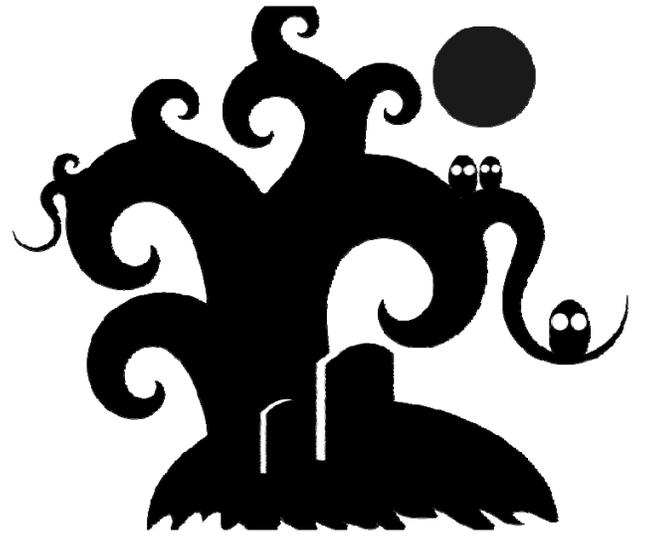
HACM 2017 HALLOWEEN



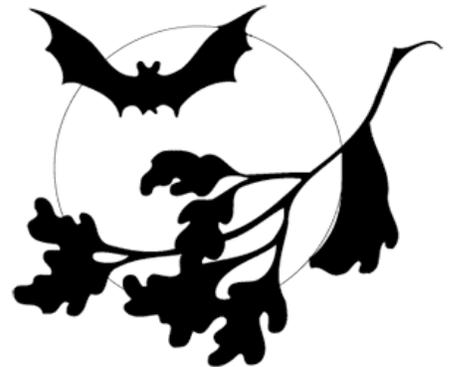
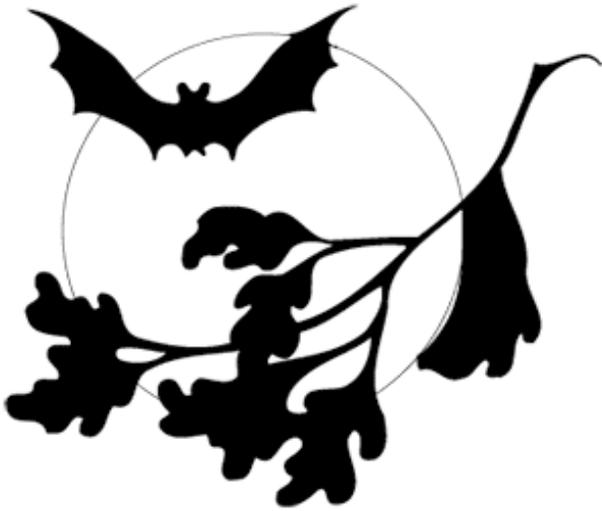
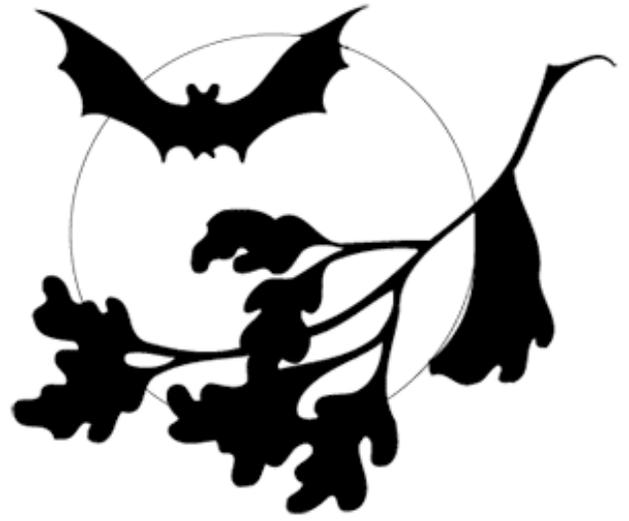












Inspection Summary Report (POA) for Inspection #607157**Inspection Snapshot**

Inspection ID:	607157	Inspection Time:	11:23 AM - 07:15 PM
Inspection Start Date:	11/15/2017	Inspection End Date:	11/15/2017
Property ID:	CA023000003	Property Type:	Public Housing
Property Name:	SCATTERED SITES		
Inspection State:	Successful	Score:	83c*

Inspection Summary Report (POA) for Inspection #607157

Property Profile

Property Name: SCATTERED SITES
Scattered Site? Yes **Multiple Site?** Yes
Address Line 1: 88 7th St
Address Line 2:
City: Los Banos **State:** CA
ZIP: 93635 **Extension:** _____
Phone: (209) 652-4322 **Extension:**
Fax: (209) 827-4954 **Email:** dianam@merced-pha.com

Type	Building			Units		
	Expected	Actual	Sampled	Expected	Actual	Sampled
Residential	61	61	22	122	122	22
Common	0			-	-	-
Total	61	61	22	122	122	22

Occupancy Information		
No. of Occupied Units	Occupancy Rate	Inspect Vacant Units
121	99%	No

Comments BBR AT 8860 & 8983 W GLOBE AVE

Inspection Summary Report (POA) for Inspection #607157

Participant Profile

Management Agent [Primary Contact / Present During Inspection]

Name (F, MI, L): Blanca Arrate
Organization: HA of the County of Merced
Address Line 1: 405 U Street
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 722-3501 **Extension:** 136
Fax: (209) 722-0106 **Email:** blancaa@merced-pha.com

Executive Director [Present During Inspection]

Name (F, MI, L): Rosa Vazquez
Organization: HA of the County of Merced
Address Line 1: 405 U Street
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 722-3501 **Extension:** 108
Fax: (209) 722-0106 **Email:** rosav@merced-pha.com

Site Manager [Present During Inspection]

Name (F, MI, L): Diana Moses
Organization: HA of the County of Merced
Address Line 1: 405 U St
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 652-4322 **Extension:**
Fax: (209) 827-4954 **Email:** dianam@merced-pha.com

Inspection Summary Report (POA) for Inspection #607157

Score Summary					
Area	Possible Points	Deductions(Excluding H&S)	Pre H&S Points	H&S Deductions	Final Points
Site	17.18	0.00	17.18	0.00	17.18
Building Exterior	19.76	0.00	19.76	0.00	19.76
Building Systems	13.74	0.00	13.74	0.00	13.74
Common Area	0.55	0.03	0.53	0.00	0.53
Unit	48.76	6.37	42.40	10.12	32.27
Total	100.00	6.40	93.60	10.12	83.48

Score Version: 1

Score Date: 11/15/2017

Final Score: 83c*

Inspection Summary Report (POA) for Inspection #607158**Inspection Snapshot**

Inspection ID:	607158	Inspection Time:	12:33 PM - 08:25 PM
Inspection Start Date:	11/13/2017	Inspection End Date:	11/13/2017
Property ID:	CA023000001	Property Type:	Public Housing
Property Name:	Gateway Homes		
Inspection State:	Successful	Score:	83c

Inspection Summary Report (POA) for Inspection #607158

Property Profile

Property Name: Gateway Homes
Scattered Site? Yes **Multiple Site?** Yes
Address Line 1: 401 GEORGE Drive
Address Line 2:
City: MERCED **State:** CA
ZIP: 95341 **Extension:** _____
Phone: (209) 564-4035 **Extension:**
Fax: (209) 722-8954 **Email:** janaee@merced-pha.com

Type	Building			Units		
	Expected	Actual	Sampled	Expected	Actual	Sampled
Residential	101	100	24	176	176	24
Common	0			-	-	-
Total	101	100	24	176	176	24

Occupancy Information

No. of Occupied Units	Occupancy Rate	Inspect Vacant Units
167	95%	No

Comments No Bed Bugs Reportef

Inspection Summary Report (POA) for Inspection #607158

Participant Profile

Management Agent [Primary Contact / Present During Inspection]

Name (F, MI, L): Blanca Arrate
Organization: HA of the County of Merced
Address Line 1: 400 West Ave
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 722-3501 **Extension:** 136
Fax: (209) 722-8954 **Email:** barrate@merced-pha.com

Executive Director [Not Present During Inspection]

Name (F, MI, L): Rosa Vazquez
Organization: HA of the County of Merced
Address Line 1: 405 U Street
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 722-3501 **Extension:** 108
Fax: (209) 722-0106 **Email:** rosav@merced-pha.com

Site Manager [Not Present During Inspection]

Name (F, MI, L): Janae Elmasian
Organization: Gateway Homes
Address Line 1: 400 West Ave
Address Line 2:
City: Merced **State:** CA
ZIP: 95341 **Extension:**
Phone: (209) 564-4035 **Extension:**
Fax: (209) 722-8954 **Email:** janaee@merced-pha.com

Inspection Summary Report (POA) for Inspection #607158

Score Summary					
Area	Possible Points	Deductions(Excluding H&S)	Pre H&S Points	H&S Deductions	Final Points
Site	17.33	0.00	17.33	7.50	9.83
Building Exterior	18.58	0.00	18.58	0.00	18.58
Building Systems	14.85	0.00	14.85	0.00	14.85
Common Area	0.24	0.01	0.24	0.20	0.03
Unit	49.00	2.74	46.25	6.55	39.70
Total	100.00	2.75	97.25	14.26	82.99

Score Version: 1

Score Date: 11/13/2017

Final Score: 83c

STAFF REPORT

TO: Board of Commissioners,
Housing Authority of the County of Merced

FROM: David G. Ritchie, General Counsel

DATE: November 21, 2017

SUBJECT: Recommendation to adopt **Resolution No. 2017-25**, approving A Second Amendment to the Executive Director Employment Agreement, providing for a base pay increase for the Executive Director and establishing a vehicle allowance to offset wear and tear on the Executive Director's personal vehicle when used for HACM business.

For your consideration, is Resolution No 2017-25, Amending the Executive Director's salary to include a 16.14% increase effective the first full pay period following approval of this resolution. The performance review reflected performance meriting an increase within the range for the classification. The Executive Director's compensation, however, is set by contract. This increase is recommended by the ad-hoc committee formed by the Board of Commissioners to review the Executive Director's performance and make related recommendations to the Board. The ad-hoc committee is also recommending a second 16.14% increase, effective the first full pay period including the date of November 21, 2018.

Executive compensation may only be adjusted by the Board as part of the regular agenda at a regularly scheduled meeting of the Board of Commissioners.

This second amendment to the Executive Director's compensation adjusts the base salary to \$116,093.54 annually beginning the pay period inclusive of the date this resolution is approved by the Board, and to \$134,831.04 annually, beginning with the pay period including the date of November 21, 2018. In addition, the amendment creates a vehicle allowance to offset the cost in wear and tear for the Executive Director's periodic use of her own personal vehicle for work purposes at the rate of \$475.00 per month.

It is important to note the history of executive director compensation in making the determination to adjust salary. The prior outgoing executive director salary was in excess of \$124,000.00 annually at the time of her retirement. The current executive director was hired at a greatly reduced amount (\$99,960.00 annually), a reduction of over 20% from the prior regular base rate.

In making this recommendation, the ad-hoc committee reviewed a compensation study that included both base pay and total compensation cost of comparable agencies. Ten agencies were studied and the four most comparable agencies to Merced were most closely evaluated for purposes of establishing compensation rates. Merced Housing's salary figure was revealed to be 40.24% below the average of the four comparable

agencies, and 16.14% below the average of the two lowest most comparable agencies in the study. This increase would result in the Merced base pay level becoming competitive with the two lowest pay levels of comparable agencies (both of which are less than half the size of HACM) in the first year, and increasingly competitive against the average of the closest four comparable agencies, two smaller, and two larger in year two (at today's salary levels). With these increases, the executive director base salary level, although increasingly competitive, would remain below the average of the four closest comparable agencies through the end of the second year.

It is also recommended to adjust the life insurance provided for the Executive Director to reflect the increased base salary figure as has been consistently done in prior executive director contracts.

RECOMMENDATION

It is recommended that the Board of Commissioners of the Housing Authority of the County of Merced adopt **Resolution No. 2017-25**, approving the second amendment to the Executive Director Employment Agreement consistent with the action of the Board that has implemented the increases to salary.

ALTERNATIVES

The Board could choose not to amend the Executive Director's Agreement at this time.

ATTACHMENTS:

Executive Director Employment Agreement
First Amendment to Executive Director Employment Agreement
Second Amendment to Executive Director Employment Agreement

RESOLUTION NO. 2017-25

RESOLUTION OF THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE COUNTY OF MERCED APPROVING AN AMENDMENT TO THE EMPLOYMENT AGREEMENT BETWEEN THE HOUSING AUTHORITY OF THE COUNTY OF MERCED AND ROSA VAZQUEZ

WHEREAS, the Board of Commissioners of the Housing Authority of the County of Merced currently employs Rosa Vazquez as Executive Director of the Housing Authority of the County of Merced; and,

WHEREAS, certain conditions in the Employment Agreement have been triggered that allow HACM and the Executive Director to discuss adjustment to pay and benefit levels; and,

WHEREAS, it is the desire of the Housing Authority and Ms. Vazquez to set forth certain changes to the compensation, benefits, and conditions of employment of the Executive Director within the Executive Director employment contract; and,

WHEREAS, the proposed Employment Agreement is fair and equitable.

NOW, THEREFORE, BE IT RESOLVED that the Housing Authority of the County of Merced hereby, finds and orders the following:

1. The above recitals are true and correct.
2. The Housing Authority hereby approves and adopts the attached Second Amended Employment Agreement between the Housing Authority of the County of Merced and Rosa Vazquez.
3. The Chairperson of the Board of Commissioners is hereby authorized and directed to execute the Employment Agreement for and on behalf of the Housing Authority.

PASSED AND ADOPTED by the Housing Authority of the County of Merced this 21st day of November, 2017 by the following vote to wit:

Motion: _____ Second: _____

Ayes:

Noes:

Absent:

Abstain:

Chairperson, Board of Commissioners
Housing Authority of the County of Merced

**SECOND AMENDMENT TO EXECUTIVE DIRECTOR
EMPLOYMENT AGREEMENT**

This Second Amendment to the Executive Director Employment Agreement (“Agreement”) is made this 17 day of October, 2017, by and between the **Housing Authority of the County of Merced** (hereinafter referred to as the “HACM”) and **Rosa C. Vazquez**, the Executive Director (hereinafter referred to as “Executive Director”).

The terms and conditions included in the Agreement, pursuant to the requirements of Articles 3 and 4, that the parties may undertake such modifications to adjust pay and benefits respectively, only through a written addendum to the Agreement.

Amendment to Article 3: Article 3 of the Agreement is hereby amended to reflect an increase of 16.14% in the Salary level for the Executive Director to \$116,093.54 annually effective upon ratification by the Board and an additional increase of 16.14% in the base salary level for the Executive Director to \$134,831.04 annually effective the pay period including November 21, 2018. Annual base salary shall be payable on a bi-weekly basis in equal installments over twenty-six payroll periods. Life insurance coverage amounts provided for in the agreement shall be adjusted periodically to reflect the then-current base salary in effect for the executive director.

Addition of Vehicle Allowance: In recognition of the fact that the executive director has periodic responsibilities for travel using her personal vehicle in instances where a HACM vehicle may be unavailable, the Executive Director shall be provided with a monthly vehicle allowance of \$475.00 to offset wear and tear of the Executive Director’s personal vehicle when used for work purposes. The Executive Director may also submit fuel receipts when her personal vehicle is used for work purposes, and is eligible to receive reimbursement at actual cost.

The term of the executive director agreement shall be extended to include a two-year term end date of November 21, 2019 with one-year extensions by mutual agreement of the parties thereafter. Additional compensation adjustments may be made following the annual evaluation in November of 2019 or as otherwise mutually agreed between the parties.

Other than the changes expressly provided for in this Second Amendment to the Agreement, the remaining terms and conditions contained in the Agreement, and in the First Amendment to Executive Director Employment Agreement dated May 17, 2017, shall remain in full force and effect.

EXECUTION:

Date: _____

Date: _____

By: _____

By: _____

Rosa C. Vazquez
Executive Director

Rachel Torres
Chairperson, Board of Commissioners

STAFF REPORT

TO: Board of Commissioners,
Housing Authority of the County of Merced

FROM: David G. Ritchie, General Counsel;
Rosa Vazquez, Executive Director

DATE: November 21, 2017

SUBJECT: Recommendation to adopt **Resolution No. 2017-28**, appointing Wulff, Hansen & co. As a municipal advisor to the housing authority and authorizing the executive director to execute a municipal advisory agreement and addendums 1 & 2 to that agreement

For your consideration, is Resolution No 2017-28, to authorize the executive director to enter into a Master Agreement and Addendums 1 and 2 to that agreement for Municipal Advisory Services.

Background: The Housing Authority of the County of Merced currently services debt obligations on several series of bonds as follows: Series 2003b (Valley View), Series 2005 (Merced Commons), Series 2007a (Oak Terrace), two Series 2013 (Los Banos), among other obligations and does so with limited fiscal resources. Recently, one new Los Banos facility has come to the Housing Authority as a consequence of the dissolution of Redevelopment Agencies, this facility has two bonds attached to it.

What are Bonds? Bonds are borrowing instruments and serve as evidence of a debt owed, similar to a promissory note. When bonds are issued, this results in the creation of securities, which may be bought and sold as investments. The buyers (investors) of those securities are, in effect loaning money through the purchase of the securities to the public agency, which can then use the moneys to fund a variety of things, such as purchases of real property, construction or infrastructure improvements. There are three main areas of concern when analyzing the issuance of public debt. First, that debt, specifically the issuance of bonds, is authorized by State law. Second, there are a series of federal and State tax laws used to determine whether the debt is eligible to be treated as tax-exempt. Finally, there are federal and State securities laws that require disclosures and provide a regulatory framework for the issuance, sale and trading of the debt securities. All three of these areas are constantly changing. As a result, local agency policies and bond debt should be regularly reviewed for compliance and to assess whether changes must be made.

How do Housing Authorities Use Bonds – An Example: Housing Authorities in particular may issue what is referred to as Multifamily Housing Revenue Bonds (a type of Conduit Revenue Bond) for purposes of financing the acquisition, construction, rehabilitation or development of rental housing developments at favorable, sometimes long-term fixed interest rates, where at least some of the rental units are reserved for occupancy by individuals or families of very low (10%), low (10%), or moderate income (80% maximum) until the bonds are retired. For housing authorities, the incomes of the

tenants must be monitored every two years to ensure compliance with these percentages and if the level of low or very low income falls below the required 10% threshold, the next available unit(s) must be rented to qualifying individuals that will cause the threshold to be met. Additional tax code rules for qualifying as a tax-exempt bond, and for rent limits may also apply to these financing projects. Housing Authorities may either provide financing for private housing such as these or provide financing and thereafter own and operate the housing itself.

Using a Municipal Advisor for Guidance: Wulff, Hansen and Company is an investment and banking firm and is one of the oldest in California. It has worked in the Central Valley on a number of public agency financing projects for Coalinga, Parlier, Selma, Sanger, Fresno County, Visalia, Madera, Porterville, Bakersfield, Ceres. They also have worked with many Performance Contracts and have been able to design creative and innovative financing packages that best meet today's municipal market.

The attached resolution will formally initiate formation of parts of the financing team required to effectively issue municipal bonds if needed in the future, including refunding bonds for purposes of restructuring the Housing Authority's current debt. The agreement itself does not create any obligations for services or payments to be provided, rather each service is discretely approved on an as-needed basis through a series of addendums.

It is anticipated, based on what is currently known of the existing obligations that refunding or other restructuring of the existing bonds would result in payment for the services provided under Addendums 1 & 2, however if the Agency were to determine not to proceed with any refunding or restructuring, the fee for services would need to be paid from agency funds. This Agreement and first two addendums does not authorize the issuance of any bonds, nor does it alter the current obligations. The fees for any potential future refunding bonds or restructuring will, to the extent possible, be paid from the bond proceeds. The bond issuance fees and terms will be approved by the Board of Commissioners at the appropriate time at subsequent meetings.

RECOMMENDATION

It is recommended that the Board of Commissioners of the Housing Authority of the County of Merced adopt **Resolution No. 2017-28**, approving the MA Agreement and authorizing the Executive Director to execute the MA Agreement, Addendums 1 & 2, and all other documents necessary thereto.

FINANCIAL IMPACT

This agenda item would require a mid-year budget adjustment of \$23,000 to set aside funds to be used for the assessment of the current bond obligations and refunding/refinancing options (\$7,000) and additional funds to be used to bring current finance department policies in line with current law, and optimizing them such that they properly support any refunding or refinancing efforts and/or any new future financing efforts when or if they are needed (\$15,000). It is reasonably anticipated that the Housing Authority would recoup some or all of these costs in the event it determines to move forward with refunding, or otherwise restructuring existing bonds.

ALTERNATIVES

The Board could choose not to enter into an Agreement at this time, however this option is not recommended 1) because the agency policies relating to fiscal matters should be reviewed and updated to comply with recent changes to law that took effect in 2017, and 2) the agency would be poorly positioned to issue bonds in the future without laying the proper foundation in policy and by addressing its' current obligations.

ATTACHMENTS:

Resolution 2017-

MA Agreement for Municipal Advisory Services with Wulff Hansen & co.

Addendum 1 to MA Agreement with Wulff Hansen & co.

Addendum 2 to MA Agreement with Wulff Hansen & co.

RESOLUTION 2017-28

A RESOLUTION OF THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE COUNTY OF MERCED, CALIFORNIA, APPOINTING WULFF, HANSEN & CO. AS A MUNICIPAL ADVISOR TO THE HOUSING AUTHORITY AND AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A MUNICIPAL ADVISORY AGREEMENT AND ADDENDUMS 1 & 2 TO THAT AGREEMENT

WHEREAS, the Housing Authority of the County of Merced has multiple current outstanding bond obligations from bond issues closed in 2003, 2005, 2007 and 2013 at varying stages of repayment and interest rates; and

WHEREAS, it is desirable to appoint a municipal advisor in connection with the evaluation of obligations, and any opportunities at refunding, refinancing or otherwise restructuring debts and continuing disclosure obligations of the Housing Authority; and

WHEREAS, Wulff, Hansen & co. provides specialized financial advisory services derived through special training, qualifications and experience specifically for municipal government agencies, including Housing Authorities that relate directly to restructuring and refunding of debt, as well as issuance of new public financing debt; and

WHEREAS, the special services provided by Wulff, Hansen & co. are not of a nature of services that are available from widely available public sources; and

WHEREAS, the Housing Authority reasonably expects to reimburse itself for expenditures relating to the services provided, to evaluate the existing bonds and obligations related thereto and the analysis of policy recommendations, and described in Addendums 1 and 2 to the MA Agreement; and

WHEREAS, the special services provided by Wulff, Hansen & co. are explicitly contemplated by California Government Code Section 53060 as being of a nature of specialized services not subject to competitive bidding requirements;

NOW, THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Housing Authority of the County of Merced hereby finds and determines the following:

1. The above recitals are true and correct.
2. The Board of Commissioners hereby authorizes the Executive Director to execute the Municipal Advisory Agreement (MA Agreement) appointing Wulff, Hansen & Co. as Municipal Advisors to the Housing Authority of the County of Merced.
3. The Board of Commissioners hereby deems the proposed fee, not to exceed \$7,000 as proper for services associated with evaluating existing debt obligations of the Housing Authority and making of recommendations based on that evaluation.
4. The Board of Commissioners hereby authorizes the Executive Director to execute Addendum 1 to the MA Agreement, to provide for the evaluation of the existing bonds, loans, grants and other forms of existing financing, and for the purpose of identifying and advising on refunding and restructuring opportunities for existing debt obligations of the Housing Authority.

5. The Board of Commissioners hereby deems the proposed fee, not to exceed \$15,000, as proper for services associated with reviewing and revising finance department policies necessary for and related to refunding or refinancing debt or to the issuance of new debt as may be needed in the future.
6. The Board of Commissioners hereby authorizes the Executive Director to execute Addendum 2 to the MA Agreement, to provide for the review and evaluation of the existing Debt Management Policy, Reserves Policy, Capital Asset Replacement Policy, Continuing Disclosure Requirements and Policy and Capital Improvement Plan (CIP), including new infrastructure and projects and in order to identify recommended changes needed for compliance and to facilitate future financing efforts of the Housing Authority.

PASSED AND ADOPTED by the Board of Commissioners of the Housing Authority of the County of Merced this 21st day of November, 2017 by the following vote to wit:

Motion:

Second:

Ayes:

Noes:

Absent:

Abstain:

Chairperson, Board of Commissioners
Housing Authority of the County of Merced

SR

The legislative body of any public or municipal corporation may contract with and employ any persons for the furnishing to the corporation special services and advice in financial, economic, accounting, engineering, legal, or administrative matters if such persons are specially trained and experienced and competent to perform the special services required. [Govt C §53060](#). The test as to whether services are special services depends on the nature of the services, the necessary qualifications required of a person furnishing the services, and the availability of the service from public sources. [SEIU, Local 715 v Board of Trustees \(1996\) 47 CA4th 1661](#), 1673; [California Sch. Employees Ass'n v Sunnyside Elementary Sch. Dist. \(1973\) 36 CA3d 46](#), 60.

STAFF REPORT

TO: Board of Commissioners,
Housing Authority of the County of Merced

FROM: Rosa Vazquez, Executive Director

DATE: November 21, 2017

SUBJECT: Recommendation to adopt **Resolution No. 2017-29:** Approving the submission of the Housing Authority's SEMAP Certification, HUD Form 52648 to HUD for the Fiscal Year Ending September 30, 2017.

The Section 8 Management Assessment Program (SEMAP) is required by HUD as established by the Federal Regulation dated September 10, 1998, and is sent electronically to HUD after approval by the Board.

SEMAP was established to objectively measure the Housing Authority's performance in key Housing Choice Voucher tenant-based assistance program areas. There are 14 key indicators as indicated on the attached SEMAP form.

Attached for your review and approval is HUD Form 52648, Section 8 Housing Management Assessment Program (SEMAP) Certification.

RECOMMENDATION

It is hereby recommended that the Board of Commissioners of the Housing Authority of the County of Merced adopt **Resolution No. 2017-29**, approving the submission of the SEMAP Certification, HUD Form 52648 to HUD for Fiscal Year Ending September 30, 2017.

RESOLUTION NO. 2017-29

**APPROVING SUBMISSION OF THE SEMAP CERTIFICATION, HUD FORM 52648
TO HUD FOR FISCAL YEAR ENDING SEPTEMBER 30, 2017**

WHEREAS, it is necessary that this Authority submit correct information to the HUD Area Office for the Section 8 Management Assessment Program (SEMAP), and

WHEREAS, the information gathered by the Staff of this Authority has been reviewed closely by the Staff as to its authenticity and accuracy;

THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Housing Authority of the County of Merced does hereby adopt **Resolution No. 2017-29**, acknowledging the SEMAP Certification, HUD Form 52648 data from Fiscal Year Ending September 30, 2017, and authorizes the Executive Director to verify and submit the required data to HUD.

The foregoing resolution was introduced at the November 21, 2017 Board meeting of the Board of Commissioners of the Housing Authority of the County of Merced and adopted by the following vote:

Motion:

Second:

Ayes:

Nayes:

Absent

Abstain:

Chairperson, Board of Commissioners
Housing Authority of the County of Merced

Dated: November 21, 2017

Section 8 Management Assessment Program (SEMAP) Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0215
(exp. 11/30/2016)

Public reporting burden for this collection of information is estimated to average 12 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and you are not required to respond to, a collection of information unless it displays a currently valid OMB control number.

This collection of information is required by 24 CFR sec 985.101 which requires a Public Housing Agency (PHA) administering a Section 8 tenant-based assistance program to submit an annual SEMAP Certification within 60 days after the end of its fiscal year. The information from the PHA concerns the performance of the PHA and provides assurance that there is no evidence of seriously deficient performance. HUD uses the information and other data to assess PHA management capabilities and deficiencies, and to assign an overall performance rating to the PHA. Responses are mandatory and the information collected does not lend itself to confidentiality.

Instructions Respond to this certification form using the PHA's actual data for the fiscal year just ended.

PHA Name	For PHA FY Ending (mm/dd/yyyy)	Submission Date (mm/dd/yyyy)
----------	--------------------------------	------------------------------

Check here if the PHA expends less than \$300,000 a year in Federal awards

Indicators 1 - 7 will not be rated if the PHA expends less than \$300,000 a year in Federal awards and its Section 8 programs are not audited for compliance with regulations by an independent auditor. A PHA that expends less than \$300,000 in Federal awards in a year must still complete the certification for these indicators.

Performance Indicators

1. Selection from the Waiting List. (24 CFR 982.54(d)(1) and 982.204(a))

(a) The PHA has written policies in its administrative plan for selecting applicants from the waiting list.

PHA Response Yes No

(b) The PHA's quality control samples of applicants reaching the top of the waiting list and of admissions show that at least 98% of the families in the samples were selected from the waiting list for admission in accordance with the PHA's policies and met the selection criteria that determined their places on the waiting list and their order of selection.

PHA Response Yes No

2. Reasonable Rent. (24 CFR 982.4, 982.54(d)(15), 982.158(f)(7) and 982.507)

(a) The PHA has and implements a reasonable written method to determine and document for each unit leased that the rent to owner is reasonable based on current rents for comparable unassisted units (i) at the time of initial leasing, (ii) before any increase in the rent to owner, and (iii) at the HAP contract anniversary if there is a 5 percent decrease in the published FMR in effect 60 days before the HAP contract anniversary. The PHA's method takes into consideration the location, size, type, quality, and age of the program unit and of similar unassisted units, and any amenities, housing services, maintenance or utilities provided by the owners.

PHA Response Yes No

(b) The PHA's quality control sample of tenant files for which a determination of reasonable rent was required shows that the PHA followed its written method to determine reasonable rent and documented its determination that the rent to owner is reasonable as required for (check one):

PHA Response At least 98% of units sampled 80 to 97% of units sampled Less than 80% of units sampled

3. Determination of Adjusted Income. (24 CFR part 5, subpart F and 24 CFR 982.516)

The PHA's quality control sample of tenant files shows that at the time of admission and reexamination, the PHA properly obtained third party verification of adjusted income or documented why third party verification was not available; used the verified information in determining adjusted income; properly attributed allowances for expenses; and, where the family is responsible for utilities under the lease, the PHA used the appropriate utility allowances for the unit leased in determining the gross rent for (check one):

PHA Response At least 90% of files sampled 80 to 89% of files sampled Less than 80% of files sampled

4. Utility Allowance Schedule. (24 CFR 982.517)

The PHA maintains an up-to-date utility allowance schedule. The PHA reviewed utility rate data that it obtained within the last 12 months, and adjusted its utility allowance schedule if there has been a change of 10% or more in a utility rate since the last time the utility allowance schedule was revised.

PHA Response Yes No

5. HQS Quality Control Inspections. (24 CFR 982.405(b))

A PHA supervisor (or other qualified person) reinspected a sample of units during the PHA fiscal year, which met the minimum sample size required by HUD (see 24 CFR 985.2), for quality control of HQS inspections. The PHA supervisor's reinspected sample was drawn from recently completed HQS inspections and represents a cross section of neighborhoods and the work of a cross section of inspectors.

PHA Response Yes No

6. HQS Enforcement. (24 CFR 982.404)

The PHA's quality control sample of case files with failed HQS inspections shows that, for all cases sampled, any cited life-threatening HQS deficiencies were corrected within 24 hours from the inspection and, all other cited HQS deficiencies were corrected within no more than 30 calendar days from the inspection or any PHA-approved extension, or, if HQS deficiencies were not corrected within the required time frame, the PHA stopped housing assistance payments beginning no later than the first of the month following the correction period, or took prompt and vigorous action to enforce the family obligations for (check one):

PHA Response At least 98% of cases sampled Less than 98% of cases sampled

7. Expanding Housing Opportunities. (24 CFR 982.54(d)(5), 982.153(b)(3) and (b)(4), 982.301(a) and 983.301(b)(4) and (b)(12)).

Applies only to PHAs with jurisdiction in metropolitan FMR areas.

Check here if not applicable

(a) The PHA has a written policy to encourage participation by owners of units outside areas of poverty or minority concentration which clearly delineates areas in its jurisdiction that the PHA considers areas of poverty or minority concentration, and which includes actions the PHA will take to encourage owner participation.

PHA Response Yes No

(b) The PHA has documentation that shows that it took actions indicated in its written policy to encourage participation by owners outside areas of poverty and minority concentration.

PHA Response Yes No

(c) The PHA has prepared maps that show various areas, both within and neighboring its jurisdiction, with housing opportunities outside areas of poverty and minority concentration; the PHA has assembled information about job opportunities, schools and services in these areas; and the PHA uses the maps and related information when briefing voucher holders.

PHA Response Yes No

(d) The PHA's information packet for voucher holders contains either a list of owners who are willing to lease, or properties available for lease, under the voucher program, or a list of other organizations that will help families find units and the list includes properties or organizations that operate outside areas of poverty or minority concentration.

PHA Response Yes No

(e) The PHA's information packet includes an explanation of how portability works and includes a list of neighboring PHAs with the name, address and telephone number of a portability contact person at each.

PHA Response Yes No

(f) The PHA has analyzed whether voucher holders have experienced difficulties in finding housing outside areas of poverty or minority concentration and, where such difficulties were found, the PHA has considered whether it is appropriate to seek approval of exception payment standard amounts in any part of its jurisdiction and has sought HUD approval when necessary.

PHA Response Yes No

8. Payment Standards. The PHA has adopted current payment standards for the voucher program by unit size for each FMR area in the PHA jurisdiction and, if applicable, for each PHA-designated part of an FMR area, which do not exceed 110 percent of the current applicable FMR and which are not less than 90 percent of the current FMR (unless a lower percent is approved by HUD). (24 CFR 982.503)

PHA Response Yes No

Enter current FMRs and payment standards (PS)

0-BR FMR _____ 1-BR FMR _____ 2-BR FMR _____ 3-BR FMR _____ 4-BR FMR _____
PS _____ PS _____ PS _____ PS _____ PS _____

If the PHA has jurisdiction in more than one FMR area, and/or if the PHA has established separate payment standards for a PHA-designated part of an FMR area, attach similar FMR and payment standard comparisons for each FMR area and designated area.

9. Annual Reexaminations. The PHA completes a reexamination for each participating family at least every 12 months. (24 CFR 982.516)

PHA Response Yes No

10. Correct Tenant Rent Calculations. The PHA correctly calculates tenant rent in the rental certificate program and the family rent to owner in the rental voucher program. (24 CFR 982, Subpart K)

PHA Response Yes No

11. Precontract HQS Inspections. Each newly leased unit passed HQS inspection before the beginning date of the assisted lease and HAP contract. (24 CFR 982.305)

PHA Response Yes No

12. Annual HQS Inspections. The PHA inspects each unit under contract at least annually. (24 CFR 982.405(a))

PHA Response Yes No

13. Lease-Up. The PHA executes assistance contracts on behalf of eligible families for the number of units that has been under budget for at least one year.

PHA Response Yes No

14a. Family Self-Sufficiency Enrollment. The PHA has enrolled families in FSS as required. (24 CFR 984.105)

Applies only to PHAs required to administer an FSS program.

Check here if not applicable

PHA Response

a. Number of mandatory FSS slots (Count units funded under the FY 1992 FSS incentive awards and in FY 1993 and later through 10/20/1998. Exclude units funded in connection with Section 8 and Section 23 project-based contract terminations; public housing demolition, disposition and replacement; HUD multifamily property sales; prepaid or terminated mortgages under section 236 or section 221(d)(3); and Section 8 renewal funding. Subtract the number of families that successfully completed their contracts on or after 10/21/1998.)

or, Number of mandatory FSS slots under HUD-approved exception

b. Number of FSS families currently enrolled

c. Portability: If you are the **initial** PHA, enter the number of families currently enrolled in your FSS program, but who have moved under portability and whose Section 8 assistance is administered by another PHA

Percent of FSS slots filled (b + c divided by a)

14b. Percent of FSS Participants with Escrow Account Balances. The PHA has made progress in supporting family self-sufficiency as measured by the percent of currently enrolled FSS families with escrow account balances. (24 CFR 984.305)

Applies only to PHAs required to administer an FSS program .

Check here if not applicable

PHA Response Yes No

Portability: If you are the **initial** PHA, enter the number of families with FSS escrow accounts currently enrolled in your FSS program, but who have moved under portability and whose Section 8 assistance is administered by another PHA

Deconcentration Bonus Indicator (Optional and only for PHAs with jurisdiction in metropolitan FMR areas).

The PHA is submitting with this certification data which show that:

(1) Half or more of all Section 8 families with children assisted by the PHA in its principal operating area resided in low poverty census tracts at the end of the last PHA FY;

(2) The percent of Section 8 mover families with children who moved to low poverty census tracts in the PHA's principal operating area during the last PHA FY is at least two percentage points higher than the percent of all Section 8 families with children who resided in low poverty census tracts at the end of the last PHA FY;

or

(3) The percent of Section 8 mover families with children who moved to low poverty census tracts in the PHA's principal operating area over the last two PHA FYs is at least two percentage points higher than the percent of all Section 8 families with children who resided in low poverty census tracts at the end of the second to last PHA FY.

PHA Response Yes No **If yes, attach completed deconcentration bonus indicator addendum.**

I hereby certify that, to the best of my knowledge, the above responses under the Section 8 Management Assessment Program (SEMAP) are true and accurate for the PHA fiscal year indicated above. I also certify that, to my present knowledge, there is not evidence to indicate seriously deficient performance that casts doubt on the PHA's capacity to administer Section 8 rental assistance in accordance with Federal law and regulations.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Executive Director, signature

Chairperson, Board of Commissioners, signature

Date (mm/dd/yyyy) _____

Date (mm/dd/yyyy) _____

The PHA may include with its SEMAP certification any information bearing on the accuracy or completeness of the information used by the PHA in providing its certification.

SEMAP Certification - Addendum for Reporting Data for Deconcentration Bonus Indicator

Date (mm/dd/yyyy) _____

PHA Name _____

Principal Operating Area of PHA _____
(The geographic entity for which the Census tabulates data)

Special Instructions for State or regional PHAs Complete a copy of this addendum for each metropolitan area or portion of a metropolitan area (i.e., principal operating areas) where the PHA has assisted 20 or more Section 8 families with children in the last completed PHA FY. HUD will rate the areas separately and the separate ratings will then be weighted by the number of assisted families with children in each area and averaged to determine bonus points.

1990 Census Poverty Rate of Principal Operating Area _____

Criteria to Obtain Deconcentration Indicator Bonus Points

To qualify for bonus points, a PHA must complete the requested information and answer yes for only one of the 3 criteria below. However, State and regional PHAs must always complete line 1) b for each metropolitan principal operating area.

- 1) _____ a. Number of Section 8 families with children assisted by the PHA in its principal operating area at the end of the last PHA FY who live in low poverty census tracts. A low poverty census tract is a tract with a poverty rate at or below the overall poverty rate for the principal operating area of the PHA, or at or below 10% whichever is greater.
- _____ b. Total Section 8 families with children assisted by the PHA in its principal operating area at the end of the last PHA FY.
- _____ c. Percent of all Section 8 families with children residing in low poverty census tracts in the PHA's principal operating area at the end of the last PHA FY (line a divided by line b).
- Is line c 50% or more? Yes No

- 2) _____ a. Percent of all Section 8 families with children residing in low poverty census tracts in the PHA's principal operating area at the end of the last completed PHA FY.
- _____ b. Number of Section 8 families with children who moved to low poverty census tracts during the last completed PHA FY.
- _____ c. Number of Section 8 families with children who moved during the last completed PHA FY.
- _____ d. Percent of all Section 8 mover families with children who moved to low poverty census tracts during the last PHA fiscal year (line b divided by line c).
- Is line d at least two percentage points higher than line a? Yes No

- 3) _____ a. Percent of all Section 8 families with children residing in low poverty census tracts in the PHA's principal operating area at the end of the second to last completed PHA FY.
- _____ b. Number of Section 8 families with children who moved to low poverty census tracts during the last two completed PHA FYs.
- _____ c. Number of Section 8 families with children who moved during the last two completed PHA FYs.
- _____ d. Percent of all Section 8 mover families with children who moved to low poverty census tracts over the last two completed PHA FYs (line b divided by line c).
- Is line d at least two percentage points higher than line a? Yes No

If one of the 3 criteria above is met, the PHA may be eligible for 5 bonus points.

See instructions above concerning bonus points for State and regional PHAs.

STAFF REPORT

TO: Board of Commissioners,
Housing Authority of the County of Merced

FROM: Rosa Vazquez, Executive Director

DATE: November 21, 2017

SUBJECT: Recommendation to adopt **Resolution No. 2017-30** approving the Housing Authority of the County of Merced Records Retention & Disposition Policy and Schedule.

A records retention policy and schedule is the cornerstone of an effective records management program. It is a policy document that defines an organization's legal and compliance recordkeeping requirements. An organization implements a records retention schedule in order to ensure that its records are kept as long as legally and operationally required and that obsolete records are disposed of in a systematic and controlled manner. The records retention schedule is intended to ensure that employees adhere to approved recordkeeping requirements, and that they do so consistently.

The purpose of this policy and schedule is to ensure that necessary records and documents are adequately protected and maintained and to ensure that records that are no longer needed or of no value are discarded at the appropriate time.

Records management and retention policies apply to all records, regardless of format, whether they be paper, electronic, or microform (e.g., microfilm, microfiche, magnetic tapes, and CD-ROM), and other more traditional media.

A retention schedule organizes an organization's records in categories called record classes—groupings of records that support similar business processes and that have related legal and operational retention requirements. Creating record classes allows the organization to apply consistent retention practices to similar types of records. Each record class consists of a description of the process the records support and examples of the types of records that fall under the record class. A retention period or rule is associated with each record class. A retention period may be stated in terms of months or years, or may be expressed as contingent upon the occurrence of an event such as the termination of a contract or conclusion of a project. The retention schedule is accompanied by comprehensive legal research that documents current legal recordkeeping requirements and considerations.

The Housing Authority of the County of Merced is updating and implementing the most current requirements in accordance with the requirements of all applicable laws

RECOMMENDATION

It is hereby recommended that the Board of Commissioners of the Housing Authority of the County of Merced adopt **Resolution No. 2017-30**, approving the Housing Authority of the County of Merced Record Retention & Disposition Policy and Schedule.

RESOLUTION NO. 2017-30

**APPROVING THE HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORDS RETENTION & DISPOSITON POLICY AND SCHEDULE**

WHEREAS, a records retention policy and schedule establishes minimum retention periods for the various types of records;

WHEREAS, adoption of a records retention schedule assists in efficient and effective records management by identifying records that have exceeded their minimum retention that may be destroyed;

WHEREAS, a records retention policy and schedule also enhances protection of historic records by identifying records of enduring value as permanent records that are retained by the Authority in perpetuity or transferred to archives for permanent retention.

THEREFORE, BE IT RESOLVED that the Board of Commissioners of the Housing Authority of the County of Merced does hereby adopt **Resolution No. 2017-29**, approving the Housing Authority of the County of Merced Records Retention & Disposition Policy and Schedule.

The foregoing resolution was introduced at the November 21, 2017 Board meeting of the Board of Commissioners of the Housing Authority of the County of Merced and adopted by the following vote:

Motion:

Second:

Ayes:

Nayes:

Absent

Abstain:

Chairperson, Board of Commissioners
Housing Authority of the County of Merced

Dated: November 21, 2017

HOUSING AUTHORITY OF THE COUNTY
OF MERCED

**MASTER RECORD RETENTION AND
DISPOSITION SCHEDULE**

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

GENERAL RECORDS*

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
<p>Transitory Records – This is reserved for records that are created and received in the course of AUTHORITY business but transitory in nature. Transitory records have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. AUTHORITY’s Record Retention and Disposition Policy (“Record Policy”) provides that Transitory records may be disposed in an appropriate manner once their value as business, financial, legal, research or archival records have expired.</p>			
Activity Records	While useful	Records documenting routine activities containing no substantive information, such as calendars, appointment books, schedules, logs, diaries and routine notifications of meetings, scheduling of work-related trips and other scheduling related activities. Also includes suspense and tickler files or “to-do” and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.	Record Policy ¹
Advertising Material	While useful	Includes solicited or unsolicited information received from businesses or individuals advertising their products or services. Examples include paper or electronic brochures, company profiles, sales letters, menus, catalogues and price lists.	Record Policy ²
Correspondence (Routine)	While useful	Transitory Correspondence, whether produced or received, is correspondence that is routine in nature, requires no administrative action, policy decision, or special handling and is not subject to any specific legal requirements. Includes: originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; correspondence from other agencies that is received for	Record Policy ³

* The records specified in this part have been identified as being maintained by multiple departments. Reliance on the retention periods provided is appropriate only when the records described are not covered elsewhere within the AUTHORITY Record Retention and Disposition Schedule.

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		general information purposes only; originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; business messages such as scheduling or confirming meetings; and announcements and notices of a general nature.	
Drafts of Records	While useful	Preliminary or tentative versions of a record that do not form significant stages in the preparation of a final document, were not shared or put into practice, or were superseded by a formal or ongoing record. Includes preliminary drafts of letters, memoranda, reports, etc. Drafts that are legally required, acted upon, or applied must be retained according to their intended record type (i.e. policies) as listed elsewhere in the Record Retention Schedule.	Record Policy ⁴
Duplicates	While useful	Duplicates are exact copies of documents where nothing has been added, changed, or deleted; the copies have been used for reference or information purposes only; and the master version of the document has been filed in an official filing system. A record must meet all three of these conditions to be a duplicate. If something has been added, changed or deleted, the record is no longer a duplicate, though it could still be transitory, depending on the significance and future value of the addition, change or deletion. Some examples of duplicates are photocopies of paper documents; copies of government brochures and pamphlets; duplicates of microfilm, CD-ROMs, DVDs, etc.; duplicate audio or video recordings; electronic copies of e-mail messages and other electronic documents; and prints of microfilmed or imaged documents, e-mail messages or other electronic documents that are not the file copies for filing systems.	Record Policy ⁵
External Publications	While useful	Books, magazines, periodicals, pamphlets, brochures, journals, newspapers and software documentation	Record Policy ⁶

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		obtained from sources other than AUTHORITY that require no	
Notices and Memoranda (Routine)	While useful	Quasi-official notices including memoranda and other records that do not serve as the basis of official actions and are routine in nature, such as those pertaining to meetings, holidays or special events circulated to all staff or posted in public folders.	Record Policy ⁷
Promotional and Public Relations Materials Prepared by or for AUTHORITY	While useful	Promotional and public relations materials including audiovisual items, photographs, flyers and brochures, newsletters, press releases, published reports, bulletins, educational and informational materials prepared by or for AUTHORITY that do not contain significant information or substantial evidence of plans and directions for agency activities, or critical information that is not contained in other AUTHORITY records. Does not include records covered under Housing Choice Voucher Owner Newsletters or records covered under Housing Services Resident Newsletters.	Record Policy ⁸
Reference Materials (Outside Sources)	While useful	Sources of information that were intended primarily for consultation and, if used to prepare or update a formal or ongoing record, are cited as needed. Includes duplicate, informational, extra, unofficial, or informal copies of records that were kept only for convenience or quick reference.	Record Policy ⁹
Research, Notes and Working Files	While useful	Includes calculations, short, informal notes such as phone messages and notes collected and used in the preparation of documents, written down for review, or as an aid to memory, or to inform someone else.	Record Policy ¹⁰
Requests	While useful	Requests and responses for forms, publications, records, and other agency information that, with the exception of redacting confidential and privileged information, do not require administration review before, or further action after, the form, publication, record, or other agency information is provided.	Record Policy ¹¹
Temporary	While useful	Telephone messages, routing slips, self-adhesive notes,	Record Policy ¹²

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
Information		memos, notes, messages, mail service and printing service records that have only immediate or short-term value.	
Worksheets	While useful	Forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow.	Record Policy ¹³
Administrative Records			
Audit Records (Departmental)	2 years after close of fiscal year	Retain departmental budget background records accumulated in the preparation of annual budget estimates until 2 years after the close of the fiscal year covered by the budget. Does not include official audit records for which the Finance Department is the Department of Record.	Record Policy; NARA General Records Schedule 5 ¹⁴
Citizen Complaints	3 years after last action	Includes original written complaints received from the public concerning AUTHORITY activities, services and policies. Also includes identification of complainant, nature of complaint, responsible department, and steps taken in response to complaint. Does not include complaints filed by current or former employees, Section	Record Policy; Handbook 2225.6 ¹⁵
Community Meetings and Events Records	End of current year plus 2 years	Includes notices, attendance records, handouts and presentation materials that are not transitory in nature. Does not include records of legally required meetings.	Record Policy ¹⁶
General Correspondence	End of current year plus 2 years	Non-transitory correspondence maintained separate and apart from records described elsewhere in the Record Retention Schedule.	Record Policy; State Archives Guidelines; NARA General Records Schedules 15 and 3 ¹⁷
Equipment Records	<i>See Remarks</i>	(a) Retain equipment records recognized as having the potential for significant historical and/or administrative value for the life of the equipment plus 2 years. May include original operating instruction booklets, service agreements, warranty information, replacement part information, technical reference booklets, purchasing information, and owners' manuals which document the use and maintenance of equipment purchased by the	Record Policy; State Archives Guidelines ¹⁸

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		department. (b) Retain all other equipment records until 2 years after purchase.	
Expense Records	End of current year plus 2 years	Records supporting expenses submitted for payment and/or reimbursement of staff expenses. Does not include official expense records and reports maintained by the Finance Department and/or records necessary for auditing purposes.	Record Policy ; NARA General Records ¹⁹
Internal Reports and Studies	End of current year plus 2 years	Includes reports, studies, surveys, and analyses conducted or commissioned by a department for internal information or planning purposes. Does not include legally required reports or studies or those described elsewhere in the Record Retention Schedule.	Record Policy ²⁰
Internal Inventory Lists	End of current year plus 2 years	Inventory of computers and gift cards in stock, items distributed, and goods and services forms. Does not include official inventory records described elsewhere in the Record Retention Schedule.	Record Policy; State Archives Guidelines ²¹
Legal Advertising	<i>See Remarks</i>	Includes published or posted legal notices, original proofs of publications and other legal publications. Place in related project file and dispose of accordingly, but retain at least 4 years. If no project file exists, retain 4 years from publication date.	Record Policy; State Archives Guidelines ²²
Membership Records	End of current year plus 2 years	Includes records in support of AUTHORITY's payment of membership of staff in professional organizations (i.e., dues). Does not include official expense records of the Finance Department and/or records necessary for auditing purposes. Does not include Transitory records under Transitory Correspondence or External Publications, which may be disposed in an appropriate manner once their value as business, financial, legal, research or archival records have expired.	Record Policy ²³
Parental Consent Forms	<i>See Remarks</i>	(a) Retain activity permission slips until cessation of activity for which consent is granted plus 3 years; or if renewable, until superseded, plus 3 years. (b) Retain parent release forms for records of children until the end	Record Policy; 24 CFR 85.42(b) ²⁴

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		of the current year plus 3 years (c) Retain parental photo/media consent forms consenting to the use of photographs/video tape taken of children by AUTHORITY or the media until the end of the current year plus five years. The department of record for photo/media consent forms is the department maintaining the photographs/video tapes; the media forms should be retained with the	
Policies and Procedures	<i>See Remarks</i>	(a) Retain policies and procedures involving major procedures, policies and standards affecting AUTHORITY operations, critical functions or issues of public visibility or concern (“Critical Policies and Procedures”) until superseded plus 10 years. Retain related correspondence and memoranda pertaining to Critical Policies and Procedures for as long as needed, but not less than 3 years. Includes policy directives and official Notices or Memorandum directives related to carrying out Critical Policies and Procedures, but not include transitory correspondence or memoranda designated under Transitory Correspondence or transitory notices and memoranda designated as Notices and Memoranda. (b) Retain policies and procedures involving routine day-to-day policies, procedures and standards pertaining to internal administration (“Routine Policies and Procedures”) until superseded plus 2 years. Includes general orders, standards, guidelines, forms, safety rules and regulations, best practices, etc.; does not include transitory correspondence or memoranda designated under Transitory Correspondence or transitory notices and memoranda at Transitory Notices and Memoranda.	Record Policy; 24 CFR 85.42(b) ²⁵
Publications and Reference Materials Prepared by or for	<i>See Remarks</i>	Official copies of publications, including newsletters, periodicals, pamphlets, journals, press releases, published reports, bulletins, homepage or other website files,	Record Policy ²⁶

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
AUTHORITY		educational or informational program materials prepared by or for AUTHORITY. Does not include records covered under Housing Choice Voucher Owner Newsletters) or records covered under Housing Services Resident Newsletters. (a) Retain publications containing significant information or substantial evidence of plans and directions for agency activities, or publications containing critical information not found elsewhere in AUTHORITY records for as long as useful, but not less than 10 years. (b) All other publications are deemed administrative records subject to retention until the end of the current year plus 2	
Training Records	End of current year plus 2 years	Documentation of staff training, including certificates earned, sign-in sheets, and training materials. Does not include payment records maintained by the Finance Dept. or records required to be maintained to document compliance with federal or state statutes, regulations, or guidelines.	Record Policy ²⁷
HUD Program Records - The retention periods included are intended to serve as guidelines to be relied upon only in the absence of any other controlling laws or regulations and only when the record in question is not listed elsewhere in this Schedule.			
Community Development Block Grant (CDBG) program records	<i>See Remarks</i>	Refers to CDBG records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given. (a) Retain records for property acquired with grant funds until five years after final disposition. (b) Retain records for any displaced person for the later of: five years from the date of submittal of the final expenditure report under the standard agreement; or five years from the date of filing proof that all displaced persons have received full payment of relocation benefits. (c) Retain all other non-transitory CDBG records for 5 years from: the date the final expenditure report is submitted under the standard agreement; or completion and resolution of the audit and/or any litigation; whichever is later.	24 CFR 85.42 as modified by 24 CFR 570.502(a)(16); CDBG GMM 8-2008; 24 CFR 85.42(b) ²⁸

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
Disaster Housing Assistance Program (DHAP) records	<i>See Remarks</i>	Refers to DHAP records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given. (a) Retain the following records during the term of each assisted lease, and for at least 3 years thereafter: a copy of the executed lease; a copy of the HAP contract; and the family's application. (b) Retain all other records until the end of the current year and for 3 additional years, including: (1) records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants; (2) applications from ineligible families and notices that the applicant is not eligible; (3) HUD-required reports; (4) Unit inspection reports; (5) Lead-based paint records; (6) accounts and other records supporting AUTHORITY's budget and financial statements for the program; (7) records to document the basis for determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and (8) other records specified by HUD.	44 CFR Part 206; PIH-2007-26; 24 CFR 85.42(b) ²⁹
Family Self-Sufficiency (FSS) Program Records	<i>See Remarks</i>	Refers to FSS records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given. (a) Retain the following records during the term of each assisted lease, and for at least 3 years thereafter: a copy of the executed lease; a copy of the HAP contract; and the family's application. (b) Retain all other records until the end of the current year and for 3 additional years, including: (1) records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants; (2) applications from ineligible families and notices that the applicant is not eligible; (3) HUD-required reports; (4) Unit inspection reports; (5) Lead-based paint records; (6) accounts and other records supporting AUTHORITY's budget and financial statements for	24 CFR Part 984; 24 CFR 982.158; 24 CFR 85.42(b) ³⁰

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and (8) other records specified by HUD.	
HOME Program Records	<i>See Remarks</i>	Refers to HOME records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is provided in the funding agreement or elsewhere. (a) Retain all records pertaining to each fiscal year of HOME funds for the most recent 5 year period, except as follows: (1) for HOME-funded rental housing projects, retain records until 5 years after the project completion date, except that records of individual participant income verifications, project rents and project inspections must be retained for the most recent 5-year period, until 5 years after the affordability period terminates; (2) for HOME-funded homeownership housing projects, retain records until 5 years after the project completion date, except documents imposing recapture/resale restrictions must be retained for 5 years after the affordability period terminates; (3) for HOME-funded participant-based rental assistance projects, retain records until 5 years after the project completion date; and (4) written agreements for HOME funded projects must be retained until 5 years after the agreement terminates. (b) Records covering displacement and acquisitions must be retained until 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 the final payment to which they are entitled.	24 CFR 92.508(c); 24 CFR 85.42(b) ³¹
Housing Opportunities For Persons With Aids (HOPWA) Program Records	4 years after expiration of contract	Refers to HOPWA records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given.	24 CFR 574.530; 24 CFR 85.42(b) ³²
Project-Based Voucher (PBV)	<i>See Remarks</i>	Refers to HCV records not described elsewhere in the Record Retention Schedule and where no specified	24 CFR Part 983; 24 CFR 982.158; 24 CFR 85.42(b) ³³

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
Program Records		statutory or regulatory retention period is given. (a) Retain the following records during the term of each assisted lease, and for at least 3 years thereafter: a copy of the executed lease; a copy of the HAP contract; and the family's application. (b) Retain all other records until the end of the current year and for 3 additional years, including: (1) records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants; (2) applications from ineligible families and notices that the applicant is not eligible; (3) HUD-required reports; (4) Unit inspection reports; (5) Lead-based paint records; (6) accounts and other records supporting AUTHORITY's budget and financial statements for the program; (7) records to document the basis for determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and (8) other records specified by HUD.	
Public Housing Assessment System (PHAS)	End of current year plus 3 years	Refers to documentation verifying certified PHAS indicators to be made available for HUD's on-site review. Includes certifications, notifications, appeals, corrective action plans, and related non-transitory records.	Record Policy; 24 CFR 902.60(d)(2); 24 CFR 85.42(b) ³⁴
Relocated Persons	<i>See Remarks</i>	Retain records for the period specified in the applicable program regulations, but no less than three years after the latest of: (a) the date by which all payments have been received by displaced persons and all payments for real property acquisition have been received; (b) the project completion date; (3) the date by which all issues resulting from litigation, negotiation, audit, or other action (e.g., civil rights compliance) have been resolved and final action taken; or (4) for real property acquired with HUD funds, the date of final disposition. Includes records regarding families or individuals certified as displaced by a public agency operating under a AUTHORITY agreement and those displaced from	Record Policy; Handbook 1378; 24 CFR 85.42(b) ³⁵

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		due to demolition or disposition activity or whose homes have been extensively damaged or destroyed as the result of a declared disaster. Also includes people whose real property is acquired, or who move as a direct result of projects receiving Federal funds (Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970).	
Resident Opportunities and Self Sufficiency (ROSS) Program Records	3 years after expiration of contract	Refers to ROSS records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given.	24 CFR Part 964; 24 CFR 85.42(b) ³⁶
Housing Choice Voucher Housing Choice Voucher Program Records	<i>See Remarks</i>	Refers to HCV records not described elsewhere in the Record Retention Schedule and where no specified statutory or regulatory retention period is given. (a) Retain the following records during the term of each assisted lease, and for at least 3 years thereafter: a copy of the executed lease; a copy of the HAP contract; and the family's application. (b) Retain all other records until the end of the current year and for 3 additional years, including: (1) records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants; (2) applications from ineligible families and notices that the applicant is not eligible; (3) HUD-required reports; (4) Unit inspection reports; (5) lead-based paint records; (6) accounts and other records supporting AUTHORITY's budget and financial statements for the program; (7) records to document the basis for determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and (8) other records specified by HUD.	24 CFR 982.158; 24 CFR 85.42(b) ³⁷
Housing Choice Voucher SRO Moderate Rehabilitation	<i>See Remarks</i>	Refers to MRP-SRO records not described elsewhere in the Record Retention Schedule. (a) Retain contracts and amendments until their expiration date plus 5 years. (b) Retain HUD filed reports and forms and other records	24 CFR 982.158; 24 CFR 85.42(b) ³⁸

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Program		necessary to document program compliance until the end of current year plus 10 years. (c) Retain all other non-transitory records until six years after audit.	
Housing Choice Voucher Management Assessment Program	End of current year plus 3 years	Refers to documentation verifying certified SEMAP indicators to be made available for HUD's on-site review. Includes certifications, notifications, appeals, corrective action plans, and related non-transitory records.	Record Policy; 24 CFR Part 985; 24 CFR 85.42(b); 24 CFR 985.108 ³⁹
Shelter Plus Care Program	<i>See Remarks</i>	Refers to Shelter Plus Care records not described Elsewhere in the Record Retention Schedule. Retain records until 3 years after the last expenditure report is submitted unless there is pending litigation, an audit, or other action at the end of the three years, in which case records must be retained until the issues are resolved. Includes all financial and programmatic records, supporting documents, and statistical records.	Record Policy; 24 CFR part 582; Shelter Plus Care Resource Manual; 24 CFR 85.42(b) ⁴⁰
Supportive Housing for the Elderly Program (Section 202)	<i>See Remarks</i>	Refers to Section 202 records not described elsewhere in the Record Retention Schedule. (a) Retain records on applicants and approved eligible households that provide racial, ethnic, gender and place of previous residency data required by HUD until the end of the current year plus three years. (b) Retain all other records until the end of the current year plus 3 years.	Record Policy; 24 CFR 891.410(f); 24 CFR 85.42(b) ⁴¹
Veterans Affairs Supportive Housing (VASH) program	<i>See Remarks</i>	Refers to VASH records not described elsewhere in the Record Retention Schedule. (a) Retain the following records during the term of each assisted lease, and for at least 3 years thereafter: a copy of the executed lease; a copy of the HAP contract; and the family's application. (b) Retain all other records until the end of the current year and for 3 additional years, including: (1) records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants; (2) applications from ineligible families and notices that the applicant is not eligible; (3) HUD-required reports; (4) Unit inspection reports; (5) Lead-based paint records; (6) accounts and other records supporting AUTHORITY's	Record Policy;; PIH 2010-12; PIH 2010-23; Federal Register Notice – May 6, 2008; 24 CFR 982.158; 24 CFR 85.42(b) ⁴²

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		and financial statements for the program; (7) records to document the basis for determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and (8) other records specified by HUD.	
Workforce Investment Act (WIA) Records	<i>See Remarks</i>	(a) Retain required WIA records and records of applicants, registrants, eligible applicants/registrants, participants, employees, and applicants for employment for 6 years, computed from the close of the program year. (b) Retain complaints and actions taken on the complaints for 6 years, computed from the date of the complaint's resolution.	Record Retention Schedule; 24 CFR 37.39; 24 CFR 85.42 ⁴³
Community Development Block Grant Recovery (CDBG-R) Act Records	<i>See Remarks</i>	Retain records for 5 years commencing from: the date the final expenditure report is submitted under the standard agreement; or completion and resolution of the audit and/or any litigation; whichever is later.	FR-5307-N-01; HPRP Notice; 24 CFR 85.42 as modified by 24 CFR 570.502(a)(16) ⁴⁴
People Everywhere (HOPE 3) Program Implementation Grant Records	<i>See Remarks</i>	(a) Retain records pertaining to sale and resale proceeds for as long as such proceeds are received and for an additional three years after the final proceeds have been received. (b) Retain records that clearly document grant performance until 3 years after grant closeout (defined as the date the closeout agreement is executed by the Field Office CPD Director).	24 CFR 572.425; HUD CPD 97-13; 24 CFR 85.42(b) ⁴⁵

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FINANCE DEPARTMENT RECORDS

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
General			
Contracts – ACC	Permanent	Original Annual Contributions Contracts for Public Housing between AUTHORITY and HUD and related HUD-filed forms and computations	Record Policy; 24 CFR 85.42(b) ⁴⁶
Contracts – PILOT	Permanent	Original agreements for Payment in Lieu of Taxes between AUTHORITY and the Housing Authority of the County of Merced and related HUD-filed.	Record Policy; 24 CFR 85.42(b) ⁴⁷
Grant-Related Payment Requests	6 years after audit	Payment requests for construction of Housing Choice Voucher and Housing Services projects and files containing drawdown requests for HUD grants billings and documentations submitted to/from HUD.	Record Policy; CDBG GMM 8-2008; 24 CFR 92.508(c); 24 CFR 85.42(b) ⁴⁸
Grant Finance Records	6 years after audit	Records regarding grant billings, grant draw downs, grant close out documents, year-end settlements and other grant-related records maintained by the Finance Department.	Record Policy; CDBG GMM 8-2008; 24 CFR 92.508(c); 24 CFR 85.42(b) ⁴⁹
Employee Compensation			
Direct Deposit and Positive Pay	6 years after audit	Includes payment registers, bank statements, backups and ACH authorization agreement.	Record Policy; 29 CFR 516.6 ⁵⁰
Employment Verifications	End of current year plus 2 years	Includes documentation of personal loans, workers' Compensation inquiries, state disability, child support and unemployment questionnaires.	Record Policy; 29 CFR 1627.3(b)(1) ⁵¹

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Payroll Accounting Records	6 years after audit	Includes files organized by employee name and containing employee payroll documentation, including address, DOB, occupation and compensation, hire and termination dates. Also includes the following records: individual contracts; wage/hour notices; records of additions to or deductions from wages, including documentation of payments by AUTHORITY on behalf of employees for taxes, benefit plans, the California Employee Retirement System and other deductions; deduction authorization; beneficiary designations, unemployment claims, tax levies, withholding orders, and garnishments and W-2	Record Policy; 29 USC 1027; 26 CFR 31.6001-1(e)(2); 29 CFR 1627.3(a); 29 CFR 516.5 ⁵²
Payroll Rate and Time Records	6 years after audit	Includes time cards and records that document actual hours worked by employees and amounts of leave taken. Includes leave accrual and usage records; authorization for extra hours, overtime documentation.	Record Policy; 26 CFR 31.6001-1(e)(2); 29 CFR 1627.3(a); 29 CFR 516.553
Payroll Registers	6 years after audit	Electronic files documenting benefits, payroll, and other payments to or on behalf of employees.	Record Policy; 29 USC 1027; 26 CFR 31.6001-1(e)(2); 29 CFR 1627.3(a); 29 CFR 516.5 ⁵⁴
Accounting			
Accounts Analysis Packet (Monthly)	6 years after audit	Approved general ledger account reconciliation, receivable rolled forward, fluctuation analysis, and source data.	Record Policy; CCP §337; 26 CFR 31.6001-1(e)(2); State Archives Guidelines ⁵⁵
Accounts Payable	6 years after audit	Supporting documentation on accounts paid by AUTHORITY, such as vendor pay packages, purchasing cards, out-of-town travel and wire transfers. Files also include GL interface reports, check run reports and transmission, cash receipts, FSS packages, forgery claims, ACH documentation and signature cards that compile signature specimens of authorized	Record Policy; CCP §337; 26 CFR 31.6001-1(e)(2); State Archives Guidelines ⁵⁶

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Backup Withholding (non-payroll payments)	6 years after audit	Monthly electronic confirmation, IRS Annual Return of Withheld Federal Income Tax (Form 945), ACH on-line transmission, quarterly reporting of Resident & Non-Resident Withholding Statement (Form 592), check request, and copy of check	Record Policy; 26 CFR 31.6001-1(e)(2) ⁵⁷
Bank Files	6 years after audit	Bank statements, bank activities and transactions reports, approved bank reconciliation and related schedules, documentation supporting adjustment, monthly statements of reserve accounts held by various trustees.	Record Policy; 26 CFR 31.6001-1(e)(2) ⁵⁸
Canceled Checks (excluding payroll)	6 years after audit	Includes canceled checks for Accounts Payable and Housing Choice Voucher	Record Policy; CCP §337; State Archives Guidelines ⁵⁹
Cash Management File	<i>See Remarks</i>	(a) For records pertaining to general obligation bonds, retain until the end of the fiscal year plus 10 years. (b) For all other records, retain until 6 years after audit. Includes cash management investment tickets that contain details of investment transactions such as purchase of investment pools, certificates of deposit, bonds, commercial papers, repurchase agreements, or other securities. Investment tickets also contain all necessary signatures authorizing transactions. Tickets are used as backup to support transactions conducted throughout a given period and are included in the year-end audit.	CCP §337.5; Record Policy; 26 CFR 31.6001-1(e)(2)60

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Cash Receipts	6 years after audit	Copies of checks received by AUTHORITY, deposit tickets, and journal entries pertaining to loan receipts, various income streams, grants, and electronic banking activities.	Record Policy; State Archives Guidelines; 26 CFR 31.6001-1(e)(2) ⁶¹
Journal Entries	6 years after audit	Journal entries and supporting documentation regarding various activities that must be manually recorded including monthly standard journal vouchers, reclassifications, adjustments, and allocations.	Record Policy; State Archives Guidelines ⁶²
Loan File	6 years after date of pay off, cancellation or discharge	Includes documentation regarding bonds, lines of credit, loan agreements (loans made to and from AUTHORITY), promissory notes, transmittal forms, deeds of trust, loan amendments, Board memoranda, payment requests and cash	Record Policy ⁶³
Housing Site File	6 years after audit	Records regarding site activities and/or transactions including but not limited to financial reports from management companies, rent rolls, check requests, and other public housing site-related documents.	Record Policy; State Archives Guideline; CCP §337; 26 CFR 31.6001-1(e)(2); 24 CFR 85.42(b) ⁶⁴
Participant/Resident Accounts Receivable (Debt Collection)	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years. Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting the	Record Policy; CCP §§683.110 et seq. ⁶⁵

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements. Includes financial statements and bank deposit statements related to moneys owed by participants/residents.	
Petty Cash Count Sheet	6 years after audit	Signed petty cash form (Part A - Request for Reimbursement and Part B - Currency Count Sheet)	Record Policy; State Archives Guidelines ⁶⁶
Request for New/Change to General Ledger Accounts	6 years after audit	Signed request forms, grant analysis, and documentation supporting the request	Record Policy; State Archives Guidelines ⁶⁷
Tax Records	6 years after audit	Tax returns with any related and/or supporting documentation including registration renewals and statements of information for various entities.	Record Policy; 26 CFR 31.6001-1(e)(2) ⁶⁸
Travel Expense Records	End of current year plus 2 years	Reports completed by employees to reconcile trip expenses.	Record Policy; State Archives; NARA General Records ⁶⁹
1099 forms	6 years after audit	Retain until 6 years after audit. EDD Form 542 (1099) reports for S8 owners and vendors who receive more than \$600 in payment from AUTHORITY in a given calendar year. Include	Record Policy; 26 CFR 31.6001-1(e)(2) ⁷⁰
Fixed Assets			
Fixed Assets File	Life of asset plus 2 years	Documentation of monthly fixed asset activities including asset additions, transfers, retirements, depreciation, construction-in-progress reports and related entries, and fixed asset audit schedules, but not including records of disposal of assets.	Record Policy ⁷¹
Vehicle Title and Registration Records	Life of vehicle plus 2 years	Warranty documents, Department of Motor Vehicle title and registration records. Does not include owner manuals or service-related records, which are listed as the records of the General Services Department.	Record Policy; State Archives Guidelines ⁷²
Budget			
Adopted Budget	20 years	Staff reports and back-up documentation, including department	Record Policy; 24

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		budget submissions, worksheets & analyses and salary surveys	CFR 85.42(b) ⁷³
Adopted Budget – adjustments	6 years after audit	Includes staff reports and back-up documentation.	Record Policy; 24 CFR 85.42(b) ⁷⁴
Draft Budget – as presented to the Board	End of current year plus 2 years	Includes staff reports and back-up documentation.	Record Policy ⁷⁵
Draft Budget – working papers	While useful	These are Transitory records covered under Drafts of Records. Includes records created and used in the preparation of the annual budget, including departmental requests, estimates, ledgers, handwritten notes, and related correspondence and memoranda that have no ongoing operational, informational, evidential or historical value.	Record Policy ⁷⁶
Audit			
Annual Audit – Annual Financial Audit Package	6 years after audit	Includes the following records: approved accounts analysis packets, staff working papers, audit related correspondence and AUTHORITY responses to questions arising during the process.	Record Policy; 24 CFR 85.42(b) ⁷⁷
Audit - Annual Financial Audit Reports performed by Independent Auditor	6 years after audit	Financial audit report, auditor’s management letter, and responses to the auditor’s management letter.	Record Policy; 24 CFR 85.42(b) ⁷⁸
Program Audit File	<i>See Remarks</i>	As a general guideline, retain until the close of program or grant period plus 5 additional years. Refer to grant and/or program documents or applicable statutes and close out procedures for particulars. Includes program audit documents, program eligibility guideline documents; audit findings and Finance Department responses to questions arising during the audits; grant application, review and decision documents; grant program financial records; grantee monitoring documents; internal activity and tracking documents; project audit documents.	Record Policy; CDBG GMM 8-2008; 24 CFR 92.508(c); 24 CFR 85.42(b) ⁷⁹

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HUMAN RESOURCES DEPARTMENT RECORDS

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
General			
<i>Reserved</i>			
Risk Management			
Case Files	10 years	Retain official records of litigation filed by or against AUTHORITY in connection with claims filed by or against AUTHORITY until 10 years after close of case. Includes original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports, complaint and discovery	Record Policy ⁸⁰
Liability Claims Paid/Denied	5 years after claim is finally resolved	Retain official records of liability claims filed by or against AUTHORITY (other than Work Comp claims) until 5 years the claim is finally resolved. A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired. Includes correspondence and settlement or	Record Policy; State Archives Guidelines ⁸¹
Debt Collection	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years. Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting	Record Policy; CCP §§683.110 et seq. ⁸²

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RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		the receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements.	
Workers Compensation Claims	<i>See Remarks</i>	(a) Retain records for claims settled via final compromise, until the latest of the following dates: (1) five years from the date of injury, or the findings of an audit of the file have become final, whichever occurs first; (2) one year from the date compensation was last provided; or (3) the date upon which all compensation due or which may be due has been paid. (b) If future medical payments are to be given, retain records until 10 years after final payment.	Record Policy; 8 CCR 10102 ⁸³
Employment Development Dept. (Unemployment) Claims	2 years after claim settlement	File includes claims, correspondence, reports, notes, and other materials documenting claims.	Record Policy ⁸⁴
Insurance Policies and Records	10 years after expiration	Records of insurance policies (accidental, health, workers compensation, automobile, burglary, fidelity and surety, fire and life), including contracts and supporting documentation regarding implementation, modification, or replacement of policies.	Record Policy; 29 CFR 1627.3(b)(2) ⁸⁵
Insurance Files – Employees	<i>See Remarks</i>	Retain records that document the administration of insurance coverage for employees until at least 6 years after the filing date of the ERISA Form 5500 (or other report) that is based on those records. Includes correspondence, updates to insurance schedules, change request forms, updates of items or individuals covered, student rider verification forms, copies of insurance identification cards, insurance certificates, synopsis of insurance coverage, and policy booklets indicating terms and agreements.	29 USC 1027 ⁸⁶
Certificates of Insurance	Until superseded plus 2 years	Provides confirmation of coverage and may include attached cancellation notices indicating lack or delay in payments.	Record Policy ⁸⁷
Insurance Billing Records	6 years after audit	Records received from insurance vendors (billing statements, cancelled checks, and copies of claim checks); documentation of monthly billing and payments.	Record Policy; State Archives Guidelines; CCP §337 ⁸⁸

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
Personnel Recruitment, Data, Management and Safety			
Recruitment	<i>See Remarks</i>	(a) Retain applications, resumes and materials submitted by unsuccessful prospective employees for the longer of 3 years after close of recruitment period or until the end of the current year plus 2 additional years. (b) Retain other records such as records of job openings, job classifications and other terms and conditions of AUTHORITY employment until the end of the current year plus 2 additional years	Record Policy; 29 CFR 1602.14 ⁸⁹
Personnel File	4 years after separation	Includes job applications and resumes of successful applicants; pre-employment medical evaluations; background information and fingerprints; personal fidelity bonds; W-4 forms; contracts; salary actions; disciplinary actions; evaluations; personnel action forms; applications for leave (other than FMLA); benefit forms; correspondence and reports related to employees.	Record Policy; 29 CFR 1627.3, 2 CCR 7287(b)(2) ⁹⁰
Employee Handbook and Orientation Packets	Until superseded plus 2 years		Record Policy; State Archives Guidelines ⁹¹
Reasonable Accommodation (AUTHORITY Employees)	<i>See Remarks</i>	Retain for 2 years from the date of the making of the record or the personnel action involved, whichever occurs later. Includes documents used to determine reasonableness and nexus between the requested accommodation and disability.	Record Policy; 29 CFR §1602.14 ⁹²
Safety Records	End of current year plus 5 years	OSHA Forms; loss analysis reports; safety reports; loss liability reports	29 CFR 1904.44 ⁹³
Employee Occupational Injury and Exposure Records	30 years after separation	Medical exams and records related to or indicating occupational exposure to hazardous materials or occupational injuries.	8 CCR 3204(d); 29 CFR 1910.1020 ⁹⁴
INS Form I-9 (Employment Eligibility Verification Form)	<i>See Remarks</i>	Retain for 3 years after date of hire or 1 year after date of separation, whichever is later. Includes Form I-9 and attachments (i.e., copies of documents establishing identity and employment eligibility).	8 CFR §274a.2(b)(2) ⁹⁵
Labor Management Relations	<i>See Remarks</i>	(a) Retain Collective Bargaining Agreements and Memoranda of Agreements until 5 years after expiration of the Agreement	Record Policy; NARA General Records

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citations</i>
		or Memorandum. (b) Retain remaining material file records until 5 years after expiration of the agreement/memoranda to which the records relate.	Schedule 1 ⁹⁶
Benefits			
Benefit Brochures and Forms	While useful	Brochures and forms are Transitory records covered under External Publications and Worksheets.	Record Policy ⁹⁷
Benefit Plan Documents and Contracts	Until superseded plus 10 years	Contracts and agreements related to the provision of benefits to AUTHORITY employees. Included are contracts and agreements for medical, dental, vision, disability, and life insurance, as well as contracts and agreements with Great West and the	Record Policy; 29 USC 1027 ⁹⁸
Wage and Hour Records Used to Determine Retirement Benefits	4 years after separation	Records sufficient to determine the benefits due or which may become due to employees.	Record Policy; 29 USC 1059 ⁹⁹
Leaves of Absence under Family Medical Leave Act	4 years after separation	Employee records pertaining to compliance with FMLA's leave requirements.	Record Policy; 29 CFR 825.500(b) ¹⁰⁰

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RECORD RETENTION AND DISPOSITION SCHEDULE
HOUSING SERVICES DEPARTMENT**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Interagency Agreements	Duration of agreement plus 20 years	Agreements with other governmental agencies and community-based organizations, including cooperation agreements and memoranda of understanding.	Record Policy; 24 CFR 85.42(b) ¹⁰¹
Management Reports	10 years	Management Reports, including Rent Collection Reports (Lot 45C) and Income Review Reports (Lot 48)	Record Policy; 24 CFR 85.42(b) ¹⁰²
Ineligible and Withdrawn Applicants			
Ineligible/Withdrawn Applicant Files	3 years or until next HUD occupancy audit	Records consisting of contacts with housing applicants deemed ineligible or not qualified, or who declined assistance or found alternative housing while on the waiting list for services. Includes applications, notices, letters, and other information concerning the family's selection from the waiting list, income and eligibility determinations. Also includes notices of withdrawal and requests/results of informal reviews.	Public Housing Occupancy Guidebook; 24 CFR 85.42(b) ¹⁰³
Resident Files			
Active Resident Records	<i>See Remarks</i>	Retain as active file until end of resident's participation, then transfer records into appropriate Vacate Resident file at Vacated Resident – Debt Owning Files or Vacated Resident – Good Standing. Includes executed leases and amendments, resident personal and financial information, credit report results, mandatory reporting, and other supporting documentation, forms and records including eligibility and identification documents, residency rule documentation, Form HUD-9886 (Authorization for Release of Information), notice of change in rent, legal notices, rent cards and notice of intent to vacate.	Admissions and Continued Occupancy Policy ¹⁰⁴

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Criminal Background Check Results	<i>See Remarks</i>	Includes results from database criminal history record information and fingerprint checks. If the applicant is determined to be eligible, shred the criminal report as soon as the applicant is housed. If the applicant is denied assistance, shred the criminal record information immediately upon completion of the hearing or due process procedures, following the final decision and expiration of the period for filing a challenge to the action.	Public Housing Occupancy Guidebook; 24 CFR 5.903(g) ¹⁰⁵
Enterprise Income Verification (EIV) Data	<i>See Remarks</i>	Requires continually review of EIV program materials for adjusted record retention requirements. (a) Retain EIV Income Report for the duration of tenancy and no longer than 3 years from the end of participation, except if the report is required for litigation which was initiated before the expiration of the initial retention period. (b) Retain HUD form 50058 and supporting documentation for all annual and interim reexaminations of family income records in participant file for at least 3 years from the effective date of the action.	PIH 2010 – 19; 24 CFR 908.101; 24 CFR 5.233; 24 CFR 982.158; 24 CFR 85.42(b)106

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Emergency Transfer Request	3 years after determination of request	These confidential files include documentation used to determine eligibility for emergency transfers, including police or sheriff's department correspondence and statements.	24 CFR 85.24(b) ¹⁰⁷
Newsletters (Resident)	End of current year plus 2 years	Newsletters sent periodically to residents to clarify regulations and provide information concerning Resident Advisory Committees	Record Policy ¹⁰⁸
Reasonable Accommodation Requests	<i>See Remarks</i>	(a) Shred records containing medically sensitive information concerning a person's diagnosis or details of treatment for a disability or medical condition immediately following determination unless appealed; then destroy after appeal decision. (b) For all other reasonable accommodation requests, retain until 3 years after determination or action.	PIH 2010-26; Joint Statement; 24 CFR 85.24(b) ¹⁰⁹
Utility Allowance Schedules	Until superseded plus 20 years	Records that document the basis on which resident allowances for utilities and scheduled surcharges and revisions are established and revised.	24 CFR 982.158; 24 CFR 85.42(b) ¹¹⁰
Vacated Resident – Do Not Re-admit (DNR)	<i>See Remarks</i>	(a) Retain files of residents who owe money at the time participation is ended until 10 years after end of participation or until the debt is paid in full, whichever is longer. (b) Retain files of residents evicted for drug-related criminal activity or criminal activity including crimes of physical violence to persons or property, crimes that adversely affected the health, safety or welfare of other tenants, or termination for failing to report family income or composition for 10 years. Does not include records concerning debts owed or termination of assistance maintained in the Enterprise Income Verification (EIV) data system, which are subject to retention under the schedule for the same.	Admissions and Continued Occupancy Policy; 24 CFR 85.42(b) ¹¹¹

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Vacated Resident – Good Standing	<i>See Remarks</i>	Retain files of residents who terminated participation without owing money and in good standing until 3 years after vacate date.	24 CFR 85.42(b) ¹¹²
Waiting List – Certified	Until obsolete or superseded plus 10 years	Includes documentation of the activities involved in the preparation, maintenance and publication of the certified waiting list.	Record Policy; 24 CFR 85.24(b) ¹¹³
Legal/Case Files			
Grievance Hearing Record	10 years	Includes: (a) audio recording of the actual hearing and any continuance hearing; (b) copies of all papers, documents, records, requests, and exhibits submitted for the hearing or any continuance hearing; (c) copies of any other papers, documents, records, requests, and exhibits considered by the hearing officer; (d) reasonable accommodation requests; and (e) hearing officer’s written decision or the hearing officer’s notice indicating the family has withdrawn its request for a hearing.	Record Policy; 24 CFR 966; 24 CFR 85.42 ¹¹⁴
Case Files	<i>See Remarks</i>	(a) Permanently retain cases filed by AUTHORITY against applicants and residents concerning allegations of fraud or misreporting of income. Includes fraud investigation file contents and original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports. Also contains litigation records including complaint and discovery and may include copies of judgment, and settlement and repayment agreements. (b) Retain cases not involving allegations of fraud or misreporting of income for as long as useful, but not less than 10 years after close of case. Includes original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports. Also contains litigation records including complaint and discovery and may include copies of the judgment, settlement and/or repayment	Record Policy ¹¹⁵
Investigation Files	<i>See Remarks</i>	(a) If case is filed against resident as a result of fraud	Record Policy; 24 CFR

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		investigation, place investigation records in Case File for permanent retention. (b) If as a result of a fraud investigation a case is not filed, retain the records until 4 years after end of resident's participation. (c) Retain all other investigation files until 4 years after close of investigation.	85.42(b) ¹¹⁶
Repayment Agreements; Settlement Agreements	Permanent	Permanently retain original signed repayment and settlement agreement together with copies of records documenting payments received, if any. If the case has gone to judgment, retain a copy of the judgment in the file, and any related liens or tax intercept records.	Record Retention Schedule ¹¹⁷
Debt Collection	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years. Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting the receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements. Includes financial statements and bank deposit statements related to moneys owed by participants/residents.	Record Policy; CCP §§683.110 et seq. ¹¹⁸

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HOUSING CHOICE VOUCHER DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Adopted/Filed Housing Choice Voucher (Section 8) Administrative Plan	20 years	Includes Plan, matrix of changes initialed by City Manager and HUD transmittal forms and correspondence. Does not records included at Housing Choice Voucher Administrative Plan Documentation.	Record Policy; 24 CFR 982.54; 24 CFR 982.158; 24 CFR 85.42(b)119
Enterprise Income Verification (EIV) Data	<i>See Remarks</i>	Requires continually review of EIV program materials for adjusted record retention requirements. (a) Retain EIV Income Report for the duration of tenancy and no longer than 3 years from the end of participation, except if the report is required for litigation which was initiated before the expiration of the initial retention period. (b) Retain HUD form 50058 and supporting documentation for all annual and interim reexaminations of family income records in participant file for at least 3 years from the effective date of the action.	PIH 2010 – 19; 24 CFR 908.101; 24 CFR 5.233; 24 CFR 982.158; 24 CFR 85.42(b) ¹²⁰
Interagency Agreements	Duration of agreement plus 20 years	Agreements with other governmental agencies, including agreements to receive referrals of families as described in the Housing Choice Voucher Administrative Plan.	Record Policy; 24 CFR 982.158; 24 CFR 85.42(b) ¹²¹
Portability Files			
Participant Move-Out Records	3 years after last action taken	Service move out files from participants who have ported out	Record Policy; 24 CFR Part 982; 24 CFR 982.158; 24 CFR 85.42(b) ¹²²
Billing Files	10 years after participant ported out	Portability billing files maintained by Special Programs Operations (SPO)	Record Policy; 24 CFR Part 982; CFR 982.158; 24 CFR 85.42(b) ¹²³
Ineligible and Withdrawn Applicants			

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RECORD RETENTION AND DISPOSITION SCHEDULE**

Ineligible Applicant Files	3 years after last action taken	Records consisting of contacts with applicants who were not eligible, declined assistance, or found alternative housing while on the waiting list for services. Includes applications from ineligible families and notices that the applicants are not eligible.	CFR 982.158; 24 CFR 85.42(b); Housing Choice Voucher Administrative Plan ¹²⁴
Withdrawn Applicant Files	3 years after last action taken	Includes documents, letters, and other information concerning the family's selection from the waiting list, income and eligibility determinations, the notice of withdrawal and any other information such as requests for, and the results of, informal reviews.	CFR 982.158; 24 CFR 85.42(b); Housing Choice Voucher Administrative Plan ¹²⁵

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Participant Files			
Applications – Pending and Eligible	<i>See Remarks</i>	Retain current applications as long as their status on the waiting list is active. Once the applicant is taken off the waiting list, retain the application, initial rejection notice, applicant reply, copy of final response, and all documentation supporting the reason for removal from the list for 3 years.	24 CFR 982.158; 24 CFR 85.42(b); Handbook 4350.3 ¹²⁶
Applications – Selected	3 years after termination of participation	Once an applicant moves in and begins to receive assistance, retain the application in the participant file for the duration of occupancy and for 3 years after termination of participation.	24 CFR 982.158; 24 CFR 85.42(b); Handbook 4350.3; 24 CFR 880.603, 24 CFR 884.214; 24 CFR 886.321; 24 CFR 891.410, 610, 750 ¹²⁷
Active Participant Records	<i>See Remarks</i>	Retain as Active file until end of occupancy, then transfer into the appropriate Vacate File at Vacate - Good Standing, Vacate - Debt Owning or Vacate - Do Not Re-admit. Active Participant records include executed leases and occupancy agreements, correspondence, including Elite System letters, reports, notes and other materials documenting participant interaction with Housing Choice Voucher Dept. or documenting participant compliance with program requirements. Also includes reasonable accommodation requests including policy notices, questionnaires, certifications and supporting documentation for requests including self-certifications and other forms and records.	Housing Choice Voucher Administrative Plan ¹²⁸
Criminal Background Check Results	<i>See Remarks</i>	Includes results from database criminal history record information and fingerprint checks. If the applicant is determined to be eligible, shred the criminal report as soon as the applicant is housed. If the applicant is denied assistance, shred the criminal record information immediately upon completion of the hearing or due process procedures,	24 CFR 5.903(g) ¹²⁹

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		following the final decision and expiration of the period for filing a challenge to the action.	
Master Waiting List Activity File	Permanent	Documentation of the activities of AUTHORITY staff and any contractors involved in the publication of the opening of the application period, outreach activities, intake and processing of applications, including any randomization (lottery action), and all other activities leading to the creation of the final waiting list. Includes sample copies of application and instruction forms, notices sent to stakeholders and public officials, published public notices in outreach languages, forms and letters used to notify families of their successful placement on the waiting list or of unsuccessful attempts to apply due to late receipt of applications or due to incomplete or illegible applications and findings of the Housing Choice Voucher Director on the accuracy of the waiting list data.	Record Policy; Housing Choice Voucher Administrative Plan; 24 CFR 982.158; 24 CFR 85.42(b) ¹³⁰
Vacated Participant – Debt Owning Files	<i>See Remarks</i>	Retain records concerning debts owed or termination of assistance until the debt is paid in full, but not less than 3 years after end of participation. Does not include records concerning debts owed or termination of assistance maintained in the Enterprise Income Verification (EIV) data system, which are subject to retention under the schedule for the same.	Housing Choice Voucher Administrative Plan; 24 CFR 982.158; 24 CFR 85.42(b) ¹³¹
Vacated Participant– Do Not Re-admit Files	Permanent	Permanently retain documentation used to substantiate fraudulent misreporting of income.	Housing Choice Voucher Administrative Plan; 24 CFR 982.158;
Vacated Participant – Good Standing	<i>See Remarks</i>	Retain files of participants who terminated participation without owing money and in good standing until 3 years after end of participation.	24 CFR 982.158; 24 CFR 85.42(b) ¹³³
Owner Files			
Owner Files	Until 4 years after end of participation	Includes the following records: grant agreements; grant deeds; HAP contracts and amendments; property tax bills (W-9 forms); closing statements; incorporation documents; non-transitory correspondence (including letters of denial of owner	Housing Choice Voucher Administrative Plan; 24 CFR 5.601 et seq.; 24 CFR 982.158;

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		provided comps); substantive legal notices (including rent adjustments); reports, notes and other materials documenting owner interactions with Section 8 Dept.; records demonstrating owner's program compliance; inspection records (i.e., inspector itineraries, inspection results, final inspection documentation, and other inspection related materials) and such other owner records as are required to be retained under Chapter 11 of the Housing Choice Voucher Administrative	
Owner Monthly Newsletters and Informational Brochures	<i>See Remarks</i>	(a) Retain records containing significant information or substantial evidence of plans and directions for agency activities, and materials containing critical information not contained in other AUTHORITY records for as long as useful, but not less than 10 years. (b) Retain all other newsletters and	Record Policy; 24 CFR 982.158; 24 CFR 85.42(b) ¹³⁵
Owner Orientation Materials	Until superseded plus 3 years	Refers to materials prepared by or for AUTHORITY to provide program information to owners of Housing Choice Voucher	Record Policy; 24 CFR 982.158; 24 CFR 85.42(b) ¹³⁶
Utility Allowance Schedules	Until superseded plus 20 years	Records that document the basis on which participant allowances for utilities and scheduled surcharges and revisions are established and revised.	Record Policy; 24 CFR 982.517; 24 CFR 982.158; 24 CFR 85.42(b) ¹³⁷
Legal/Case Files			
Administrative Hearing Record	Permanent	Includes: (a) audio recording of the actual hearing and any continuance hearing; (b) copies of all papers, documents, records, requests, and exhibits submitted for the hearing or any continuance hearing; (c) copies of any other papers, documents, records, requests, and exhibits considered by the hearing officer; (d) reasonable accommodation requests; and (e) hearing officer's written decision or the hearing officer's notice indicating the family has withdrawn its request for a hearing.	Record Policy; Housing Choice Voucher Administrative Plan; 24 CFR 982.158; 24 CFR 85.42(b) ¹³⁸
Case Files	<i>See Remarks</i>	(a) Permanently retain cases filed by AUTHORITY against	Record Policy; Housing Choice Voucher

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		fraud or misreporting of income. Includes fraud investigation file contents and original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports. Also contains litigation records including complaint and discovery and may include copies of judgment, and settlement and repayment agreements. (b) Retain cases not involving allegations of fraud or misreporting of income for as long as useful, but not less than 10 years after close of case. Includes original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports. Also contains litigation records including complaint and discovery and may include copies of the judgment, settlement and/or repayment agreements.	
Investigation Files	<i>See Remarks</i>	(a) If case is filed against Housing Choice Voucher applicant, participant or owner as a result of fraud investigation, place investigation records in Case File for permanent retention. (b) If as a result of the fraud investigation a case is not filed, retain the records until 3 years after end of owner's or participant's participation, or if other than an owner or participant, retain the records until 3 years after the close of the investigation. (c) Retain investigation files not pertaining to fraud until 3 years after close of investigation.	Record Policy; Housing Choice Voucher Administrative Plan; 24 CFR 982.158; 24 CFR 85.42(b) ¹⁴⁰
Repayment Agreements; Settlement Agreements	Permanent	Permanently retain original signed repayment and settlement agreement together with copies of records documenting payments received, if any. If the case has gone to judgment, retain a copy of the judgment in the file, and any related liens or tax intercept records.	Record Retention Schedule; Housing Choice Voucher Administrative Plan ¹⁴¹
Debt Collection	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years.	Record Policy; CCP §§683.110 et seq. ¹⁴²

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		Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting the receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements. Includes financial statements and bank deposit statements related to moneys owed by participants/residents.	

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GENERAL SERVICES DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Inventory of Furnishings and Equipment	Until superseded plus 2 years	Records of inventory of furnishings and equipment not included in the records described at General Records 100.5.9, Internal Inventory List.	NARA General Records Schedule 3; State Archives Guidelines ¹⁴³
Environmental Records	<i>See Remarks</i>	(a) Retain the following environmental records prepared for construction or development projects in which AUTHORITY, or any of its instrumentalities or affiliates, has a legal interest for as long as AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest in the project plus an additional 10 years: negative declarations, environmental site assessments, environmental impact reports and statements of overriding consideration. File should also include related Board reports and meeting minutes. (b) Retain records not specified above but having the potential for significant historical and/or administrative value until 10	Record Policy; State Archives Guidelines ¹⁴⁴
Procurement Policy	Until superseded plus 2 years	Official copy of AUTHORITY's adopted Procurement Policy. File should include Board resolutions, minutes and staff reports pertaining to policy adoption and amendments.	Record Policy ¹⁴⁵

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Bids and Proposals; Protests			
Bids and Proposals – Successful and Rejected	<i>See Remarks</i>	Retain in procurement file until 3 years after final payment and all matters pertaining to the contact are closed.	HUD Procurement Handbook ¹⁴⁶
Bids & Proposals – Unopened, Sealed Bids and Proposals	<i>See Remarks</i>	Retain unopened sealed bids and proposals ¹⁴⁷ in the related contract file until 3 years after final payment and all matters pertaining to the contact are closed. If any claims or litigation involving unopened bid or proposal are involved, retain records until all issues are satisfactorily resolved.	HUD Procurement Handbook ¹⁴⁸
Bid Protest Records	<i>See Remarks</i>	Retain records until 3 years after final payment and all matters pertaining to the contact are closed. If any claims or litigation involving the contract are involved, retain records until all issues are satisfactorily resolved. Includes records documenting protests and formal appeals of awarded bids and proposals. Per Section 11.5 of the HUD Procurement Handbook, the file should include a cross-reference to other pertinent files, such as a separate file for a particular subcontractor, any correspondence related to a dispute, written minutes of meetings between AUTHORITY and architects, or job meetings where decisions or agreements were made regarding disputes.	HUD Procurement Handbook ¹⁴⁹
Contract Management - Reliance on the retention periods for contract records described in this part is appropriate only when the records described are not covered elsewhere within the Record Retention Schedule, such as in part 100.10, HUD Program Records.			
Contracts – Services and Commodities	<i>See Remarks</i>	Retain contracts, requisition, purchase order, bond and surety records, correspondence and related papers pertaining to contract award, administration and payments related to awards and contracts for services and commodities until 4 years after final payment. Includes records reflecting the rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price. Does not include records described at Contracts – Design, Construction and Development-Related.	HUD Procurement Handbook; CCP §337 ¹⁵⁰

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RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Contracts – Design, Construction and Development-Related	<i>See Remarks</i>	(a) Retain the following records related to the design, construction and development of construction/development projects recognized as records with the potential of having significant historical and/or administrative value, until 10 years after project completion: construction contract, construction specifications, construction plans and addenda, change orders, guarantee bonds and special warranties and construction calculations. (b) Retain other records related to the design, construction/development of real property with the potential for significant historical and/or administrative value until 10 years after final contract settlement. May include maps, plans, reports, substantive correspondence, photographs, specific plans, legal notices, certificates of insurance, construction logs, warranties (unless warranty period extends beyond 10 years, in which case retain the warranty until the expiration of the warranty period), inspection reports, substantive correspondence and similar material records. (c) Retain all other design, construction and development-related records until 3 years after final payment and contract close-out.	CCP §337.15; Record Policy; HUD Procurement Handbook ¹⁵¹
Real Property Lease and Rental Agreements	<i>See Remarks</i>	Retain real property lease and rental agreements until 5 years after end of the year in which the agreement terminates, lapses or cancellation occurs, or litigation is concluded, whichever is later. Includes original agreement and amendments and related correspondence, etc. Does not include lease or rental agreements included as records under the Housing Services or Housing Choice Voucher Schedules.	Record Policy; CCP §337.2 ¹⁵²
Labor Compliance Monitoring	<i>See Remarks</i>	Retain contractor’s certified payroll, statements of compliance, violation letters and other records documenting monitoring and enforcement responsibilities for contracts in the contract file until 4 years after final contract settlement, unless contract performance is the subject of an enforcement action, in which case retain the records with the case file until 10 years after close of case.	CCP §337; HUD Procurement Handbook ¹⁵³

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Contract Tracking Reports	While useful	Tracking reports that monitor the quantity, flow and processing time of contracts are Transitory records covered under Worksheets of the General Records Schedule.	Record Policy ¹⁵⁴
Support Services (Mail, Print, Vehicles)			
Mail Services File	While useful	Mail-related records such as service requests concerning business replies, express mail, and postage due are Transitory records covered under Temporary Information.	Record Policy ¹⁵⁵
Printing Service Requests	While Useful	Records concerning requests for printing services are Transitory records covered under Temporary Information.	Record Policy ¹⁵⁶
Vehicle Maintenance	<i>See Remarks</i>	(a) Retain records with the potential for significant historical and/or administrative value such as owner manuals and records regarding work completed on vehicles including but not limited to: requests for service, work orders for vehicle maintenance and repairs, smog test documentation, daily-usage logs, and incident reports for the life of the vehicle plus 2 years. (b) Retain all other vehicle maintenance-related records for 2 years. Does not include warranty or DMV title and registration records, which are listed as the records of the Finance Department.	Record Policy; State Archives Guidelines ¹⁵⁷
Records Management			
Records Retention and Disposition Files	<i>See Remarks</i>	(a) Retain records documenting the destruction of damaged records that could not be recovered for 3 years. (b) Retain inventories, disposal requests and authorizations, schedules and reports until superseded plus 2 years.	NARA General Records Schedule 16; Record Policy ¹⁵⁸
Records Service Requests	While useful	Requests from AUTHORITY division staff for storage or retrieval of records in/from the records storage warehouse are Transitory records covered under Temporary Information.	Record Policy ¹⁵⁹
Purchasing; Property Disposition			

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Purchasing File – General	4 years after final payment	Includes requisitions for purchase orders, blanket orders, encumbrance release orders and contract orders, credit card statements and records of card users.	HUD Procurement Handbook; CCP §337.15 ¹⁶⁰
Vendor Files	<i>See Remarks</i>	Retain current, active vendor file records until superseded; retain all other vendor files for 4 years after last payment. Includes records regarding vendor applications including fictitious name renewal, direct deposit application, voided check, Form W-9, vendor commodity code.	HUD Procurement Handbook; CCP §337.15 ¹⁶¹
Surplus Equipment Disposal Records	<i>See Remarks</i>	Retain records, including invitations, bids, acceptances, lists of materials, evidence of sales and related correspondence until 2 years after final payment.	Record Policy ¹⁶²
Facilities			
Facility General Records	<i>See Remarks</i>	(a) Retain general records pertaining to facilities owned by the AUTHORITY, or any of its instrumentalities or affiliates, recognized as having the potential for significant historical and/or administrative value for as long as AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest in the building, but at least 5 years. May include original as- built plans for the administrative building, office building operating EPA, AQMD records, permits, certificate of occupancy and building alarm codes. (b) Retain all other general facility records for a minimum of 2 years.	Record Policy ¹⁶³
Facility Requests	End of current year plus 2 years	Includes requests for facilities use and maintenance.	Record Policy ¹⁶⁴

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

DEVELOPMENT SERVICES DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Development Projects			
Declined Funding Submissions	End of current year plus 2 years	Unsuccessful (rejected or withdrawn) submissions for AUTHORITY funding for the development of low and moderate-income housing.	Record Policy ¹⁶⁷
Records for Real Property Acquired or Developed with HUD Funds	<i>See Remarks</i>	(a) Retain the following material records for as long as AUTHORITY, or any of its instrumentalities or affiliates, retains legal interest in the property, plus 5 years after disposition of the property: (1) agreements recorded against the property (including Deeds of Trust, Grant Deeds) and those which impose upon AUTHORITY or any of its instrumentalities or affiliates ongoing management responsibilities; and (2) chain of title records (including title reports and preliminary title reports). (b) Retain all other records (including purchase and sale agreement, site assessments, escrow instructions, appraisals, etc.) until 5	Record Policy; 24 CFR §92.508(c); CDBG GMM 8-2008; CCP §§337 and 338 ¹⁶⁸
Records for Real Property Acquired or Developed with Non-HUD Funds	<i>See Remarks</i>	(a) Retain the following material records as long AUTHORITY, or any of its instrumentalities or affiliates, retains legal interest in the property, plus 5 years after disposition of the property: (1) agreements recorded against the property (including Deeds of Trust, Grant Deeds) and those which impose upon AUTHORITY or any of its instrumentalities or affiliates ongoing management responsibilities and (2) chain of title records (including title reports and preliminary title reports). (b) Retain all other records (including purchase and sale agreement, site assessments, escrow instructions,	Record Policy; CCP §§337 and 338 ¹⁶⁹
Contract File - Construction and	<i>See Remarks</i>	(a) Retain material records related to the design and construction of construction/development projects including	HUD Procurement Handbook; 24 CFR

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Development-Related		but not limited to: construction contract, construction specifications, construction plans and addenda, change orders, guarantee bonds and special warranties and construction calculations until 10 years after project completion. (b) Retain contractor's certified payroll and statements of compliance in the contract file until 4 years after final contract settlement, unless contract performance is the subject of an enforcement action, in which case retain the records with the case file until 10 years after close of case. (c) Retain other material records related to the construction/development of real property including legal notices, certificates of insurance, construction logs, warranties (unless warranty period extends beyond 10 years, in which case retain the warranty until the expiration of the warranty period), inspection reports, substantive correspondence and similar material records until 10 years after final contract settlement.	85.42; CCP §337.15 ¹⁷⁰
Loan File	6 years after date of pay off, cancellation or discharge	Includes documentation regarding bonds, lines of credit, loan agreements (loans made to and from AUTHORITY), promissory notes, transmittal forms, deeds of trust, loan amendments, Board memoranda, payment requests and cash	Record Policy ¹⁷¹
Redevelopment Plan Records	<i>See Remarks</i>	(a) Retain materials pertaining to AUTHORITY's redevelopment projects with the potential of having significant historical/administrative value until 10 years after expiration of the Plan. (b) Retain all other redevelopment project	Record Policy ¹⁷²

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

PLANNING AND POLICY DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Unsuccessful Funding Submissions	End of current year plus 2 years	Unsuccessful (rejected or withdrawn) funding applications submitted by AUTHORITY, and related, substantive correspondence and background	Record Policy ¹⁷³
Plans and Policies			
Adopted/Filed 5-Year Agency Action Plans and Annual Agency Plan Updates	20 years	Includes Plan and HUD transmittal forms and correspondence; copies of public notices (including posted and published notices); materials presented at public meetings; agendas, Board reports and minutes of Board meetings at which the final plan is considered and/or approved, and executed copies of any adopted Board resolutions related to the Plans. Also includes originals of the written comments received from the public concerning the Plan and copies of any AUTHORITY correspondence responding to the same.	Record Policy; 24 CFR Part 903; 24 CFR 85.42 ¹⁷⁴
Draft 5 Year and Annual Agency Plans	End of current year plus 2 years	Agency Plan working files	Record Policy ¹⁷⁵
Housing Choice Voucher Administrative Plan Documentation	20 years	Includes copies of public notices (including posted and published notices); materials presented at public meetings; agendas, Board reports and minutes of Board meetings at which the plan is considered and/or approved, and executed copies of any adopted Board resolutions related to the Plan. Also includes originals of the written comments received from the public concerning the Plan and copies of any AUTHORITY correspondence responding to the same. Does not include Plan and HUD transmittal forms and correspondence included at Adopted/Filed Housing Choice Voucher	Record Policy; 24 CFR 982.54; 24 CFR 982.158; 24 CFR 85.42(b) ¹⁷⁶

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

ASSET AND GRANT MANAGEMENT DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Labor Compliance Monitoring	<i>See Remarks</i>	Retain contractor's certified payroll, statements of compliance, violation letters and other records documenting monitoring and enforcement responsibilities for contracts in the contract file until 4 years after final contract settlement, unless contract performance is the subject of an enforcement action, in which case retain the records with the case file until 10 years after close of case.	CCP §337; HUD Procurement Handbook ¹⁷⁷
Bids and Proposals; Protests			
Bids and Proposals – Successful and Rejected	<i>See Remarks</i>	Retain in procurement file until 3 years after final payment and all matters pertaining to the contact are closed.	HUD Procurement Handbook ¹⁷⁸
Bids & Proposals – Unopened, Sealed Bids and Proposals	<i>See Remarks</i>	Retain unopened sealed bids and proposals ¹⁷⁹ in the related contract file until 3 years after final payment and all matters pertaining to the contact are closed. If any claims or litigation involving unopened bid or proposal are involved, retain records until all issues are satisfactorily resolved.	HUD Procurement Handbook ¹⁸⁰
Bid Protest Records	<i>See Remarks</i>	Retain until 3 years after final payment and all matters pertaining to the contact are closed. If any claims or litigation involving the contract are involved, retain records until all issues are satisfactorily resolved. Includes records documenting protests and formal appeals of awarded bids and proposals. Per Section 11.5 of the HUD Procurement Handbook, the file should include a cross-reference to other pertinent files, such as a separate file for a particular subcontractor, any correspondence related to a dispute, written minutes of meetings between AUTHORITY and architects, or job meetings where decisions or agreements were made regarding disputes.	HUD Procurement Handbook ¹⁸¹

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Purchasing; Property Disposition			
Purchasing File – General	4 years after final payment	Includes requisitions for purchase orders, blanket orders, encumbrance release orders and contract orders, credit card statements and records of card users.	HUD Procurement Handbook; CCP §337 ¹⁸²
Vendor Files	<i>See Remarks</i>	Retain current, active vendor file records until superseded; retain all other vendor files for 4 years after last payment. Includes records regarding vendor applications including fictitious name renewal, direct deposit application, voided check, Form W-9, vendor commodity code.	HUD Procurement Handbook; CCP §337 ¹⁸³
Surplus Equipment Disposal Records	<i>See Remarks</i>	Retain records, including invitations, bids, acceptances, lists of materials, evidence of sales and related correspondence until 2 years after final payment.	Record Policy ¹⁸⁴
Service and Commodity-Related Contracts - Reliance on the retention periods for contract records described in this part is appropriate only when the records described are not covered elsewhere within the Record Retention Schedule such as in part 100.10, HUD Program Records.			
Contracts – Services and Commodities	<i>See Remarks</i>	Retain contracts, requisition, purchase order, bond and surety records, correspondence and related papers pertaining to contract award, administration and payments related to awards and contracts for services and commodities until 4 years after final payment. Includes records reflecting the rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price. Does not include design, construction and development-related files described in the Record Retention Schedule.	HUD Procurement Handbook; CCP §337 ¹⁸⁵
Property Acquisition/Disposition, Development and Management - Reliance on the retention periods for contract records described in this part is appropriate only when the records described are not covered elsewhere within the Record Retention Schedule, such as in part 100.10, HUD Program Records.			
Records for Real Property Acquired or Developed with HUD	<i>See Remarks</i>	(a) Retain the following records for as long as AUTHORITY, or any of its instrumentalities or affiliates, retains legal	Record Policy; 24 CFR §92.508(c); CDBG GMM 8-2008; CCP

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Funds		property: (1) agreements recorded against the property (including Deeds of Trust, Grant Deeds) and those which impose upon AUTHORITY or any of its instrumentalities or affiliates ongoing management responsibilities; and (2) chain of title records (including title reports and preliminary title reports). (b) Retain all other records (including purchase and sale agreement, site assessments, escrow instructions, appraisals, etc.) until 5	§§337 and 338 ¹⁸⁶
Records for Real Property Acquired or Developed with Non-HUD Funds	<i>See Remarks</i>	(a) Retain the following records as long AUTHORITY, or any of its instrumentalities or affiliates, retains legal interest in the property, plus 5 years after disposition of the property: (1) agreements recorded against the property (including Deeds of Trust, Grant Deeds) and those which impose upon AUTHORITY or any of its instrumentalities or affiliates ongoing management responsibilities; and (2) chain of title records (including title reports and preliminary title reports). (b) Retain all other records (including purchase	Record Policy; CCP §§337 and 338 ¹⁸⁷
Contract File - Construction and Development-Related	<i>See Remarks</i>	(a) Retain material records related to the design and construction of construction/development projects including but not limited to: construction contract, construction specifications, construction plans and addenda, change orders, guarantee bonds and special warranties and construction calculations until 10 years after project completion. (b) Retain contractor's certified payroll and statements of compliance in the contract file until 4 years after final contract settlement, unless contract performance is the subject of an enforcement action, in which case retain the records with the case file until 10 years after close of case. (c) Retain other material records related to the construction/development of real property including legal notices, certificates of insurance, construction logs, warranties (unless warranty period	HUD Procurement Handbook; 24 CFR 85.42; CCP §337.15 ¹⁸⁸

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		extends beyond 10 years, in which case retain the warranty until the expiration of the warranty period), inspection reports, substantive correspondence and similar material records until 10 years after final contract settlement.	
Environmental Records	<i>See Remarks</i>	(a) Retain the following environmental records prepared for construction or development projects in which AUTHORITY, or any of its instrumentalities or affiliates, has a legal interest for as long as AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest in the project plus an additional 10 years: negative declarations, environmental site assessments, environmental impact reports and statements of overriding consideration. File should also include related Board reports and meeting minutes. (b) Retain records not specified above but having the potential for significant historical and/or administrative value until 10 years after project completion. (c) Retain all other environmental records for 2 years.	Record Policy; State Archives Guidelines ¹⁸⁹
Inspection, Removal and Remediation of Asbestos	<i>See Remarks</i>	(a) Retain documentation of inspection of housing to determine whether asbestos is present until 5 years after next re-inspection. (b) Retain documentation of asbestos removal and remediation activities conducted at any site in which AUTHORITY or any of its instrumentalities or affiliates has a legal interest for as long as the property remains under AUTHORITY ownership, plus 10 years after disposition of the property.	Record Policy ¹⁹⁰
Inspection, Removal and Remediation of Lead Paint	<i>See Remarks</i>	(a) Retain documentation of inspection of housing to determine whether lead-based paint is present until 5 years after next re-inspection. (b) Retain documentation of lead-based paint hazard reduction and remediation activities conducted at site in which AUTHORITY or any of its instrumentalities or affiliates has a legal interest until 5	Record Policy ¹⁹¹
Inventory of Furnishings and Equipment	Until superseded plus 2 years	Records of inventory of furnishings, appliances and equipment located in any facility in which AUTHORITY or	Record Policy; NARA General Records

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		of its instrumentalities or affiliates has a legal interest. Does not include records described at Internal Inventory List.	Schedule 3; State Archives Guidelines ¹⁹²
Real Property Lease and Rental Agreements	<i>See Remarks</i>	Retain real property lease and rental agreements until 5 years after end of the year in which the agreement terminates, lapses or cancellation occurs, or litigation is concluded, whichever is later. Includes original agreement and amendments and related correspondence, etc. Does not include lease or rental agreements included as records under the Housing Services or Housing Choice Voucher Schedules.	Record Policy; CCP §337.2 ¹⁹³
Program Administration			
Consolidated Annual Performance Evaluation Report (“CAPER”) Records	End of current year plus 5 years	Annual evaluation and performance report to HUD required for receipt of CDBG, HOPWA and HOME funds	24 CFR 570.502(a)(16), CDBG GMM 8-2008 (CDBG); 24 CFR 92.508(c) (HOME); 24 CFR §574.530 (HOPWA); 24 CFR 85.42(b) ¹⁹⁴
Consolidated Plan Records	End of current year plus 5 years	Documentation to support Statement of Consistency with Housing Authority of the County of Merced Consolidated Plan (included in the Agency Plan) and related Certificate of Consistency with the Consolidated Plan	24 CFR Part 91; 24 CFR 85.42(b) ¹⁹⁵

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
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<p>Low Income Housing Tax Credit Development Records</p>	<p><i>See Remarks</i></p>	<p>Retain owner records for at least 6 years after the due date (with extensions) for filing the federal income tax return for that year. The records for the first year of the credit period must be kept for 6 years beyond the end of the federal compliance period for each building in a project, for a total period of 22 years. Includes the following records: (1) approved tax credit applications together with applicable attachments; (2) recorded copy of the Regulatory Agreement/Restrictive Covenant (except for pre-1990 credit projects); (3) for 1987-89 projects, election to calculate rent on a bedroom basis, if applicable; (4) IRS Forms 8609 and 8586 for each building for each year credit is claimed; (5) all applicable documents relating to any other form of housing or finance programs (i.e., HOME, HUD Housing Choice Voucher, RHS, etc.); (6) documentation that the project complies with any statutory set-asides or Qualified Allocation Plan requirements; and (7) Utility Allowance documentation, for each utility allowance update or revision.</p>	<p>CTCAC Compliance Monitoring Manual (July 2010); 24 CFR 85.42(b)¹⁹⁶</p>
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**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		year credit is claimed; (5) all applicable documents relating to any other form of housing or finance programs (i.e., HOME, HUD Housing Choice Voucher, RHS, etc.); (6) documentation that the project complies with any statutory set-asides or Qualified Allocation Plan requirements; and (7) Utility Allowance documentation, for each utility allowance update or revision.	
Tax Exempt or Taxable Bond Financings (Public and Private Placement)			
Transaction Records	<i>See Remarks</i>	Retain material records for as long as the bonds are outstanding, plus 3 years after the bonds are deceased or final redemption date of the bonds. In the case of a bond issue refunded by one or more subsequent issues, retain material records for the combined term of the issues plus 3 years. Records may include the following: (a) Complete transcript (CD and hard copy) of the Bonds, including the trust indenture, loan agreements, legal opinions, sale documents, Official Statement, Regulatory Agreements, HUD documents/letters, CDIAC Reports, Rating Letters and related documents; also including documents related to any short-term financing, line of credit or bridge loan before the Bonds are issued or otherwise related to the Bonds, annual continuing disclosure filings with the MSRB (annual reports and related financial statements); any related ACC/DOT agreements with HUD. (b) Bond expenditure records, including construction and professional services contracts, certificates of completion, Bond Fund Requisitions to Trustees, vendor invoices, relevant correspondence with the IRS or Calif. Franchise Tax Board regarding the bond transaction or tax-exempt status of AUTHORITY affiliate entities and related documents deemed to be material to the expenditure of bond proceeds. (c) Documentation of sources of payment or security for bonds such as annual financial statements, property records including leases,	26 CFR 1.6001-1(e) ¹⁹⁷

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		contracts and related documents for properties securing mortgage revenue bonds; Authority annual financial statements (CAFR) for General Obligation Bonds. (d) For transactions related to Projects developed with private developers and AUTHORITY, include the following if not already included in the Bond transcript: pre-development documents, HUD-related documents and letters, construction lender and other lender documents, loan agreements and any other documents related to the Project if executed before the Bonds are issued or not included in the Bond transcript.	
Litigation and Claims			
Case Files	10 years	Retain official records of litigation filed by or against AUTHORITY in connection with facilities operated by Asset Management Department until 10 years after close of case. Includes original documents such as correspondence, notices, materials from formal and informal hearings and investigative reports, complaint and discovery and may include copies of the judgment, settlement and/or repayment agreements.	Record Policy ¹⁹⁸
Claims Paid/Denied	5 years after claim is finally resolved	Retain official records of liability claims filed by or against AUTHORITY or any of its instrumentalities or affiliates in connection with facilities operated by Asset Management Department until 5 years the claim is finally resolved. A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired. Includes correspondence	Record Policy ¹⁹⁹
Debt Collection	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year	Record Policy; CCP

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
		<p>judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years. Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting the receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements. Includes financial statements and bank deposit statements related to moneys owed by participants/residents.</p>	<p>§§683.110 et seq.²⁰⁰</p>

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

EXECUTIVE DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Public Records Requests	While useful	Public records requests are Transitory records covered under Requests. Includes requests received and AUTHORITY's response to the same.	Record Policy; Gov. Code §§ 6250 et seq. ²⁰¹
Agenda Mailing Lists	End of current year plus 2 years	Gov. Code §54954.1 requests for receipt of copies of Board meeting agendas or copies of all documents constituting the agenda packets to be mailed to the requestor at the time the agenda is posted or upon distribution to all, or a majority of all, of the Commissioners, whichever occurs first. A request is valid for the calendar year in which it is filed and must be renewed following January 1 of each year.	Record Policy; Gov. Code §54954.1 ²⁰²
Legislative Actions			
Approved Resolutions	Permanent	Formal statements of decisions made by the Board of Commissioners or Board of Directors of AUTHORITY affiliates (i.e., LOMODs), signed by the Chair of the Board, the Secretary of the Board and the City Attorney/General	Record Policy; State Archives Guidelines ²⁰³
Approved Minutes	Permanent	Approved official minutes of open public meetings of the Board of Commissioners or Board of Directors of AUTHORITY	Record Policy; State Archives Guidelines ²⁰⁴
Commission Agenda Materials	Permanent	Includes regular and special public meeting agendas, Board reports, and records distributed to the Commission or otherwise submitted into the record during a public meeting.	Record Policy ²⁰⁵
Recordings of Public Meetings	2 years	Video and audio tape recordings of meetings.	State Archives Guidelines ²⁰⁶
Public Meeting Notices	End of current year plus 2 years	Commission public meeting notices, including proof of posting and/or publication.	Record Policy ²⁰⁷

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LEGAL DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
<i>Reserved</i>			
Litigation Files			
Case Files	10 years	Retain official records of litigation filed by or against AUTHORITY for as long as necessary, but not less than 10 years after close of case. Includes original documents such as correspondence, notices, formal and informal hearing materials, investigative reports, complaint, answer and	Record Policy ²⁰⁸
Debt Collection	<i>See Remarks</i>	Schedule file for periodic reviews during the 10-year judgment enforcement period; retain until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. If warranted for historical and/or administrative purposes, files may be retained for up to 10 additional years for a maximum retention period of 30 years. Includes record copies of court judgment, judgment liens and/or tax intercept records, copies of records documenting the receipt of payments made in satisfaction of the judgment, and copies of applicable repayment or settlement agreements. Includes financial statements and bank deposit statements related to monies owed by participants/residents.	Record Policy; CCP §§683.110 et seq. ²⁰⁹

**HOUSING AUTHORITY OF THE COUNTY OF MERCED
RECORD RETENTION AND DISPOSITION SCHEDULE**

PUBLIC SAFETY AND INVESTIGATIONS

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Public Safety			
Arrest Reports and Incident Reports	<i>See Remarks</i>	(a) If warranted for historical and/or administrative purposes, retain until 50 years after date created or until reports are placed on a database accessible to law enforcement, whichever comes first. (b) Retain all other records until 10 years after date created.	Record Policy ²¹⁰
Audio, Telephone and Radio Communications	<i>See Remarks</i>	Retain audio, telephone and radio communications records until the end of the current year plus two years, except that recordings used as evidence in a criminal prosecution or claim filed or litigation or potential claims and litigation must be retained until 2 years after conclusion of the court action.	Record Policy; State Archives Guidelines (p. 4-12) ²¹¹
Visitor Logs	End of the current year plus 2 years	Logs of visitors to AUTHORITY administrative buildings, including 405 U Street, Merced, CA 95341.	Record Policy ²¹²
Investigations			
Dept. of Justice Manual Request Forms	<i>See Remarks</i>	Files include Original "Request for Record Transcripts," form BC11-2043; CII Record Partially Automated, and copy of Criminal History Search results Log Book Page; correspondence and reports related to Applicant/Client. If the applicant is determined to be eligible, shred the criminal report as soon as the applicant is housed. If the applicant is denied assistance, shred the criminal record information immediately upon completion of the hearing or due process procedures, following the final decision and expiration of the period for filing a challenge to the action.	24 CFR 5.903(g) ²¹³

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Investigation Files	<i>See Remarks</i>	(a) Retain records concerning investigations conducted by public safety department that are recognized as having the potential for significant administrative and/or historical value for as long as useful, but not less than 10 years. (b) Retain remainder of records for at least 2 years. Files may contain criminal histories, photos, search and arrest warrants, names of confidential sources, etc.	Record Policy ²¹⁴
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INFORMATION TECHNOLOGIES DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
User Access Records	Until superseded or obsolete	User Access records qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. Includes records indicating levels of access permitted to individual users and groups of users.	Record Policy ²¹⁵
Usage And Monitoring Records	Until superseded or obsolete	Usage And Monitoring records qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. Includes records documenting details and/or summaries of the use of computer resources including login files, system usage, and internet usage.	Record Policy ²¹⁶
Service Requests and Responses	End of current year plus 1 year	Records documenting requests for IT helpdesk, and other services and the responses thereto, including but not limited to helpdesk tickets, request tracking information, communications, and descriptions/reports of services provided.	Record Policy ²¹⁷
Backup Files	<i>See Remarks</i>	Backup files qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. (a) Contents of network files are written to tape every week and then over-written on the 4th week. (b) Tapes containing system data for email, Yard and file servers are retained for one month and then over-written.	Record Policy ²¹⁸

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Software and Hardware			
System And Data Documentation	Until superseded or obsolete	System and Data Documentation qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. As such, these records may be disposed in an appropriate manner as soon as they are superseded or become obsolete. Includes records documenting systems and data including but not limited to network configuration maps and plans, data dictionaries, flow charts, specifications, file layouts, source code, metadata, system change notices, and security records	Record Policy ²¹⁹
Software and Hardware Inventory Records	Until superseded or obsolete	Software and Hardware Inventory records qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. As such, these records may be disposed in an appropriate manner as soon as they are superseded or become obsolete. Includes running inventories of hardware and software used to track locations, to whom assigned, and licensing information	Record Policy ²²⁰

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<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
Hardware and Software Documentation and Maintenance Records	Until superseded or obsolete	Hardware and Software Documentation and Maintenance records qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. As such, these records may be disposed in an appropriate manner as soon as they are superseded or become obsolete. Includes scope of work service level and maintenance agreements, licensing agreements, warranties and reference manuals, maintenance logs, and any other records documenting the operation and use of IT hardware and software.	Record Policy ²²¹
Design and Implementation Project Records	Until superseded or obsolete	Design and Implementation Project records qualify as Transitory records that have very short-lived business, financial, legal, research or archival value and are not subject to any legal recordkeeping requirements, explicit or implied. As such, these records may be disposed in an appropriate manner as soon as they are superseded or become obsolete. Includes records created during the design and implementation of information technology systems and applications including but not limited to schedules, plans, tracking, analyses, proposals, draft documentation, evaluations and test results.	Record Policy ²²²

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INTERGOVERNMENTAL AND MEDIA DEPARTMENT

<i>File Name</i>	<i>Retention</i>	<i>Remarks</i>	<i>Citation</i>
General			
Promotional and Public Relations Materials Prepared by or for AUTHORITY	<i>See Remarks</i>	Official copies of promotional and public relations materials including audiovisual items, photographs, flyers and brochures, newsletters, press releases, published reports, bulletins, educational and informational materials prepared by or for AUTHORITY. (a) Retain records containing significant information or substantial evidence of plans and directions for agency activities, and materials containing critical information not contained in other AUTHORITY records for as long as useful, but not less than 10 years. (b) All other promotional and public relations materials are Transitory records covered under Promotional and Public Relations Materials Prepared by or for AUTHORITY.	Record Policy; State Archives Guidelines ²²³
Contracts – Services and Commodities	<i>See Remarks</i>	Retain contracts, requisition, purchase order, bond and surety records, correspondence and related papers pertaining to contract award, administration and payments related to awards and contracts for services and commodities until 4 years after final payment. Includes records reflecting the rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.	CCP §337; HUD Procurement Handbook ²²⁴

¹ The designated schedule for Activity Records satisfies the AUTHORITY’s Record Retention and Disposition Policy (the “Record Policy”)

requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

²The designated schedule for Advertising Material satisfies the Record Policy’s requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

³ The designated schedule for Routine Correspondence satisfies the Record Policy’s requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

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⁴The designated schedule for Drafts of Documents and Things satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

⁵ The designated schedule for Duplicates satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

⁶The designated schedule for External Publications satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

⁷The designated schedule for Routine Notices and Memoranda satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

⁸ The designated schedule for Promotional and Public Relations Materials satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

⁹ The designated schedule for Reference Sources satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

¹⁰ The designated schedule for Research, Notes and Working Files satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

¹¹ The designated schedule for Requests satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

¹² The designated schedule for Temporary Information satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

¹³ The designated schedule for Worksheets satisfies the Record Policy's requirement for Disposition of Transitory Records once their administrative, legal, fiscal and historical function has expired.

¹⁴ There are no applicable state/federal laws that govern the retention of draft and background budget materials. The designated schedule exceeds the 1-year retention schedule approved by the National Archives and Records Administration ("NARA") for similar budget records of federal agencies set forth at Section 2 of General Records Schedule 5 (Budget Preparation, Presentation and Apportionment Records), and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁵ There are no applicable state/federal laws that govern the retention of citizen complaints records. The designated schedule for such records is consistent with HUD's 3-year retention schedule for its investigative case files described at Appendix 3 to HUD's Records Disposition Schedule (Handbook 2225.6) at Item No. 8-1 of HUD Records Disposition Schedule 3 (Administrative Records), and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁶ There are no applicable state/federal laws that govern the retention of records concerning community meetings and events that do not qualify as "public hearings." The designated schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁷ There are no applicable state/federal laws that govern the retention of General Correspondence records. The designated schedule is the same as that recommended by the California Secretary of State, Archives Division, Records Management ("State Archives"), at p. C-19 of Attachment C of the Local Government Records Management Guidelines ("State Archives Guidelines"), is consistent with the 2-year recommended retention approved by the NARA for general correspondence files of federal agencies set forth at Section 1 of the General Records Schedule 15 (Housing Records), and Section 2 of the General Records Schedule 3 (Procurement, Supply and Grant Records), and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁸ There are no applicable state/federal laws that govern the retention of equipment records. The designated retention schedule satisfies the Record Policy's retention requirement for fixed asset records and is the same as the retention period recommended for equipment parts and supplies by the State Archives at p. C-47 of the State Archives Guidelines. The 2-year retention of the remainder of the records satisfies the Record Policy's

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minimum 2-year retention requirement for administrative records.

¹⁹ There are no applicable state/federal laws that govern the retention of records supporting expenses submitted for payment or reimbursement. The designated schedule for such records satisfies the Record Policy's minimum 2-year retention requirement for administrative records and is the same as the retention period approved by the NARA for similar expense records maintained in administrative files of federal agencies set forth at Section 1 of the General Records Schedule 23 (Records Common to Most Offices Within Agencies).

²⁰ There are no applicable state/federal laws that govern the retention of internal reports and studies the preparation or filing of which are not mandated by law. The designated schedule for such records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²¹ There are no applicable state/federal laws that govern the retention of internal inventory lists. The designated schedule for such records is recommended by the State Archives at p. C-32 of the State Archives Guidelines and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²² There are no applicable state/federal laws that govern the retention of legal advertising records. The designated retention schedule for such records is the same as that recommended for the retention of legal advertising records by the State Archives at p. C-23 of the State Archives Guidelines and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²³ There are no applicable state/federal laws that govern the retention of membership records. The designated schedule for such records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²⁴ There are no applicable state/federal laws that govern the retention of parental consent forms. The designated schedule satisfies the 3-year general retention requirement of 24 CFR 85.42(b) of the Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally-Recognized Indian Tribal Governments ("HUD Common Rule"), which establishes a minimum 3-year retention period for financial and programmatic records, supporting documents, statistical records, and other records required to be maintained by the HUD Common Rule, program regulations or grant agreement, or otherwise reasonably considered as pertinent to program regulations or grant agreement. The designated retention period exceeds the Record Policy's minimum 2-year retention requirement for administrative records.

²⁵ There are no applicable state/federal laws that govern the retention of AUTHORITY's policies and procedures. The designated long-term retention of Critical Policies and Procedures satisfies the Record Policy's 10-year retention requirements for records recognized as having the potential for significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b). The designated retention schedule for Routine Policies and Procedures satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²⁶ There are no applicable state/federal laws that govern the retention of publications prepared by or for AUTHORITY. The long-term retention of publications that contain significant information or substantial evidence or critical information not found elsewhere in AUTHORITY records satisfies

the Record Policy's 10-year retention requirements for records recognized as having the potential for significant administrative and/or historical. The designated schedule for the remainder of the records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²⁷ There are no applicable state/federal laws that govern the retention of training materials not required to be maintained to document statutory compliance. The designated schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²⁸ The CDBG program regulations are found at 24 CFR Part 570. The designated schedule for CDBG records satisfies the 4-year retention guidelines established for CDBG records found at 24 CFR 85.42 as modified by 24 CFR 570.502(a)(16), which provides that the retention requirements of 24 CFR 85.42 shall apply, except that the retention period shall be increased from 3 years to 4 years. The 5-year retention

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requirement is consistent with the requirements imposed upon city and county CDBG grant recipients by the state Department of Housing and Community Development (“HCD”), as described in the HCD’s CDBG Grant Management Manual (“GMM 8-2008”), at Chapter 7, Section II.A.9, and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

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²⁹ The DHAP program regulations are found at 44 CFR Part 206, which does not include specific record retention provisions. The designated schedule follows the 3-year retention guidelines for DHAP records described at section 4(r) of HUD Notice PIH 2007-26 (Disaster Housing Assistance Program (DHAP) Operating Requirements, “PIH 2007-26”), and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁰ The FSS program is for Housing Choice Voucher program participants. The FSS regulations are found at 24 CFR Part 984, which does not include specific record retention provisions. The designated schedule satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³¹ The HOME program regulations are found at 24 CFR Part 92; the designated schedule follows the retention guidelines established for HOME records found at 24 CFR 92.508(c) and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³² The HOPWA program regulations are found at 24 CFR Part 574. The designated retention schedule satisfies the 4-year retention requirement for HOPWA records at 24 CFR 574.530 and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³³ The project-based voucher (PBV) program is regulated under 24 CFR Part 983. Per 24 CFR 983.2, the Housing Choice Voucher program provisions at 24 CFR Part 982 are applicable to the PBV program with a few exceptions that do not include recordkeeping responsibilities. The designated retention schedule satisfies 24 CFR 983.2 by following the HCV program retention guidelines found at 24 CFR 982.158 and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁴ The PHAS regulations are found at 24 CFR Part 902. The designated schedule follows the retention guidelines for documentation verifying certified PHAS indicators for HUD on-site review found at 24 CFR 902.60(d)(2) and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁵ HUD’s Tenant Assistance, Relocation and Real Property Acquisition (“Handbook 1378”) is HUD’s primary source of real estate acquisition and relocation policy and procedures when implementing HUD-funded programs. The designated retention schedule satisfies the requirements of Section 6-1B of Handbook 1378 and the 3-year general retention requirement of HUD’s Common Rule at 24 CFR 85.42(b).

³⁶ The Resident Opportunities and Self Sufficiency program regulations are found at 24 CFR Part 964, which does not specify record retention requirements. The designated retention schedule satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁷ The Housing Choice Voucher program regulations are found at 24 CFR Part 982. The designated schedule follows the retention guidelines for Housing Choice Voucher records found at 24 CFR 982.158 and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁸ The MRP-SRO program is one of the Housing Choice Voucher rental assistance programs; its regulations are found at 24 CFR Part 882, which does not include specific record retention provisions. The designated schedule for the MRP-SRO records satisfies the general recordkeeping retention requirements

for Housing Choice Voucher records found at 24 CFR 982.158 and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

³⁹ The SEMAP program regulations are found at 24 CFR Part 985, which does not include specific record retention provisions for public housing authorities. The designated schedule satisfies the 3-year general retention requirement of HUD’s Common Rule at 24 CFR 85.42(b) and is consistent with 24 CFR 985.108, which provides that HUD shall maintain its own SEMAP files for at least 3 years.

⁴⁰ The Shelter Plus Care program regulations are found at 24 CFR Part 582, which does not include specific record retention provisions. The designated schedule follows the retention guidelines of HUD’s Shelter Plus Care Resource Manual which provides specific instructions for the

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retention of all financial and programmatic records, supporting documents, statistical records, and other records required to be maintained or

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otherwise reasonably considered as pertinent to program regulations or the grant agreement and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁴¹ The Section 202 Supportive Housing for the Elderly program regulations are found at 24 CFR Part 891. The designated schedule for records on applicants and approved eligible households that provide racial, ethnic, gender and place of previous residency data required by HUD follows the retention requirements for such records found at 24 CFR 891.410(f). The designated schedule for all other records satisfies the 3-year general retention requirement of HUD's Common Rule at 24 CFR 85.42(b).

⁴² The VASH program combines Housing Choice Voucher rental assistance for homeless veterans with case management and clinical services provided by the

Department of Veteran's Affairs Medical Center. VASH program regulations are found at HUD Notice PIH 2010-12 (HA) (Reporting Requirements for the HUD-Veterans Affairs Supportive Housing Program); HUD Notice PIH 2010-23 (HA) (Project-Basing HUD-Veterans Affairs Supportive Housing Vouchers); and Federal Register Notice of May 6, 2008, as corrected by Federal Register Notice of May 19, 2008. None of the foregoing includes specific record retention provisions. The designated schedule satisfies the general recordkeeping requirements for Housing Choice Voucher records found at 24 CFR 982.158 and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁴³ The WIA is governed by 24 CFR Part 37. 24 CFR 37.39 provides for the 3-year retention of required WIA records and records of applicants, registrants, eligible applicants/registrants, participants, employees, and applicants for employment (computed from the close of the program year), and the 3-year retention of WIA records regarding complaints and actions taken on the complaints (computed from the date of the complaint's resolution). The designated 6-year retention period satisfies the Record Policy's retention requirement for such records and exceeds the 3-year retention requirement at 24 CFR 37.39 and the 3-year general retention requirement of HUD's Common Rule at 24 CFR 85.42(b).

⁴⁴ These Community Development Block Grant Recovery (CDBG-R) Act funds are issued by the Homelessness Prevention and Rapid Re Housing Program (HPRP), which is governed by Federal Register FR-5307-N-01 and the HPRP Notice of Allocations, Application Procedures, and Requirements for Homelessness Prevention and Rapid Re-Housing Program Grantees under the American Recovery and Reinvestment Act of 2009, neither of which contain specific record retention requirements. The designated retention period exceeds the 4-year retention guidelines established for CDBG records found at 24 CFR 85.42 as modified by 24 CFR 570.502(a)(16) and 3-year general retention requirement of HUD's Common Rule at 24 CFR 85.42(b) and is consistent with the 5-year retention requirements for CDBG.

⁴⁵ The HOPE 3 program recordkeeping regulations are found at 24 CFR 572.425, which does not specify how long required records are to be retained prior to disposition. The designated schedule follows the guidelines of Paragraph IV (Recordkeeping Responsibilities) of HUD CPD 97-13, HOPE 3 Program - Procedures for Closing Out HOPE 3 Program Implementation Grants, which requires grant recipients to retain records that clearly document its performance for a period of three years from the date of the grant closeout (defined as the date the closeout agreement is executed by the Field Office CPD Director), except that records pertaining to sale and resale proceeds shall be maintained for as long as such proceeds are received and for an additional three years after the final proceeds have been received. The designated retention period additionally satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁴⁶ The designated permanent retention of Annual Contributions Contracts (ACC) records satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

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⁴⁷ The designated permanent retention of Payment in Lieu of Taxes (PILOT) records satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁴⁸ The designated schedule for grant-related payment requests satisfies the Record Policy's minimum 6-year retention requirement adopted for accounting and finance records and exceeds the 5-year retention requirements imposed upon (i) CDBG grant recipients by the HCD's CDBG GMM 8-2008 at Chapter 7, Section II.A.9 and (ii) HOME grant recipients at 24 CFR 92.508(c). The designated schedule also exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁴⁹ The designated schedule for grant finance records satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records and exceeds the 5-year retention requirements imposed upon (i) CDBG grant recipients as described in the HCD's CDBG GMM 8-2008, at Chapter 7, Section II.A.9 and (ii) HOME grant recipients at 24 CFR 92.508(c). The designated schedule also exceeds the 3-year general retention requirement of the HUD Common Rule.

⁵⁰ The designated retention schedule for direct deposit records satisfies the Record Policy's minimum 6-year retention requirement for finance and accounting records and exceeds the 2-year retention requirement for basic employment and earning records required by 29 CFR 516.6.

⁵¹ The designated retention schedule for employment verifications satisfies the Record Policy's minimum 2-year retention requirement for administrative records and exceeds the 1-year retention of pre-employment records required by 29 CFR 1627.3(b)(1).

⁵² The designated retention schedule for payroll accounting records satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records, and the 6-year retention requirement for employee benefit-related records at 29 USC 1027. The schedule also exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the 3-year payroll record retention requirement of 29 CFR 1627.3(a) and 29 CFR 516.5.

⁵³ The designated retention schedule for payroll rate/time records satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records and exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the 3-year payroll record retention requirement of 29 CFR 1627.3(a) and 29 CFR 516.5 and the 2-year time and earning record retention requirement of 29 CFR 516.6(a)(1).

⁵⁴ The designated retention schedule for payroll registers satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records, and the 6-year retention requirement for employee benefit-related records at 29 USC 1027. The Schedule exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the 3-year payroll record retention requirement of 29 CFR 1627.3(a) and 29 CFR 516.5.

⁵⁵ The designated retention schedule for the monthly Accounts Analysis Packet satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records, and exceeds the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337, the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the maximum 5-year retention period for such records recommended by the State Archives at p. C-29 of the State Archives Guidelines.

⁵⁶ The designated retention schedule for accounts payable records satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records and exceeds the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337, the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

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⁵⁷ The designated retention schedule for backup withholding records satisfies the Record Policy's minimum 6-year retention requirement for tax records, which exceeds the 4-year retention requirement for such records set forth at 26 CFR 31.6001-1(e)(2).

⁵⁸ The designated retention schedule for bank files satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records, which exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2).

⁵⁹ There are no applicable state/federal laws that govern the retention of cancelled check records. The designated retention schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records, and exceeds the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337, and the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

⁶⁰ The designated retention schedule for general obligation bond records satisfies the 10-year statute of limitation for such actions at Code of Civ. Proc. § 337.5. The designated schedule for the remainder of the cash management records satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records and exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2).

⁶¹ The designated schedule for cash receipts satisfies the Record Policy's minimum 6-year retention requirement for tax, accounting and finance records and exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2) and the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

⁶² There are no applicable state/federal laws that govern the retention of journals. The designated schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records and exceeds the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

⁶³ There are no applicable state/federal laws that govern the retention of loan-related records. The designated retention schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records.

⁶⁴ The designated retention schedule for these property site financial and accounting files satisfies the Record Policy's minimum 6-year retention requirement adopted for tax, accounting and finance records, and exceeds the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines, the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337, the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2), and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁶⁵ There are no applicable state/federal laws that govern the retention of debt collection records. The designated retention schedule satisfies the Record Policy's minimum 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

⁶⁶ There are no applicable state/federal laws that govern the retention of petty cash count sheets. The designated retention schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records and exceeds the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

⁶⁷ There are no applicable state/federal laws that govern the retention of general ledger requests. The designated retention schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records and exceeds the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines.

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⁶⁸ The designated retention schedule for tax records satisfies the Record Policy's minimum 6-year retention requirement adopted for tax records and exceeds the 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1(e)(2).

⁶⁹ There are no applicable state/federal laws that govern the retention of travel expense records. The designated retention period satisfies the Record Policy's minimum 2-year retention requirement for administrative records and is the same as that recommended for such records by the State Archives at p. C-19 of the State Archives Guidelines, and that recommended by the NARA for similar travel expense records of federal agencies set forth at Section 3 of the NARA's General Records Schedule 9 (Travel and Transportation Records).

⁷⁰ The designated schedule for 1099 forms satisfies the Record Policy's minimum 6-year retention requirement adopted for tax records and exceeds the 4-year retention requirement for such records set forth at 26 CFR 31.6001-1(e)(2).

⁷¹ The designated schedule for fixed assets satisfies the Record Policy's retention requirement for fixed asset records.

⁷² Vehicle titles will transfer when the vehicle is sold per the procedures set forth at California Vehicle Code §§9900 et seq. The designated schedule for title and registration records satisfies the Record Policy's retention requirement for fixed asset records and is the same as that recommended for vehicle ownership and title records by the State Archives at p. C-47 of the State Archives Guidelines.

⁷³ The designated long-term retention of the adopted budget records satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁷⁴ The designated retention schedule for records documenting Adjustments to the Adopted Budget satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁷⁵ There are no applicable state/federal laws that govern the retention of draft budget records. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

⁷⁶ The designated schedule for Draft Budget (working papers) satisfies the Record Policy's requirement for disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

⁷⁷ The designated retention schedule for the annual audit package satisfies the Record Policy's minimum 6-year retention requirement for audit-related records of the Finance Department and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁷⁸ The designated retention schedule for independent auditor records satisfies the Record Policy's minimum 6-year retention requirement for audit-related records of the Finance Department and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁷⁹ The designated schedule for program audit files satisfies the Record Policy's minimum 6-year retention requirement for audit-related records of the Finance Department and the 5-year retention requirements imposed upon (i) CDBG grant recipients as described in the HCD's CDBG GMM 8-2008, at Chapter 7, Section II.A.9 and (ii) HOME grant recipients at 24 CFR 92.508(c). The designated schedule also exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

⁸⁰ There are no applicable state/federal laws that govern the retention of litigation records. The 10-year retention schedule satisfies the Record Policy's 10-year retention requirement for records with the potential for significant historical and/or administrative value.

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⁸¹ There are no applicable state/federal laws that govern the retention of liability claims records. The designated schedule satisfies the Record Policy's minimum 5-year retention requirement for liability claims records and is the same as that recommended by the State Archives at p. C-24 of the State Archives Guidelines.

⁸² There are no applicable state/federal laws that govern the retention of debt collection records. The designated long-term retention of debt collection records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

⁸³ The designated retention schedule for work comp claims settled via final compromise satisfies the retention requirements at 8 Cal. Code of Rags. 10102, whereas the retention schedule for claims involving future medical claims satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

⁸⁴ There are no applicable state/federal laws that govern the retention of unemployment claim records. The designated schedule satisfies the Record Policy's minimum 2-year retention schedule for administrative records.

⁸⁵ The designated long-term retention of insurance policies and records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the requirements of 29 CFR 1627.3(b)(2), which provides for the retention of any employee benefit plans such as pension and insurance plans, as well as copies of any seniority systems and merit systems which are in writing, for the full period the plan or system is in effect, and for at least 1 year after its termination.

⁸⁶ The designated retention schedule for employee insurance files satisfies the 6-year retention requirement for employee insurance records at 29 USC 1027.

⁸⁷ There are no applicable state/federal laws that govern the retention of insurance certificates. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

⁸⁸ The designated retention schedule for insurance billing records satisfies the Record Policy's minimum 6-year retention requirement for accounting and financial records and exceeds the maximum 5-year retention period recommended for general accounting records by the State Archives at p. C-29 of the State Archives Guidelines and the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337.

⁸⁹ The designated retention schedule for recruitment records satisfies the Record Policy's minimum 2-year retention requirement for administrative records and exceeds the 1-year retention of employee records at 29 CFR 1602.14.

⁹⁰ The designated schedule for personnel files satisfies the Record Policy's long-term retention requirement adopted for records commonly retained in Personnel files and exceeds the 3-year retention requirement for records relating to hiring, promotion, selection for training at 29 CFR 1627.3 and the 2-year retention requirement for data regarding race, sex, national origin of employees at 2 CCR 7287(b)(c)(2).

⁹¹ There are no applicable state/federal laws that govern the retention of employee handbooks and orientation materials. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records and is the same as that recommended for employee handbooks by the State Archives at p. C-20 of the State Archives Guidelines.

⁹² The designated retention schedule for reasonable accommodation records satisfies the Record Policy's minimum 2-year retention requirement for administrative records and exceeds the 1-year retention requirement for employee records (including reasonable accommodation requests) at 29 CFR 1602.14.

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⁹³ The designated retention schedule for safety records satisfies the 5-year retention requirement for copies of the OSHA 200 and 101 forms at 29 CFR 1904.44.

⁹⁴ The designated retention schedule for employee exposure records satisfies the 30-year retention requirement for such records at 8 CCR 3204(d) et seq. and 29 CFR §1910.1020(d)(1)(I).

⁹⁵ The designated retention schedule for INS Form I-9 satisfies the Form I-9 retention requirements at 8 CFR §274a.2(b)(2).

⁹⁶ There are no state/federal laws that govern the retention of labor management records. The designated retention schedule for such records is the same as the NARA's approved retention period for similar labor management relations records as set forth at General Records Schedule 1 (Civilian Personnel Records), Section 28, and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

⁹⁷ The designated schedule for Benefit Brochures and Forms satisfies the Record Policy's requirement for disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

⁹⁸ The designated retention schedule for benefit plan records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and satisfies the 6-year retention requirement for employee benefit-related records at 29 USC 1027.

⁹⁹ 29 USC 1059 requires the maintenance of records sufficient to determine the benefits due or which may become due to employees, but does not specify the duration. The designated schedule satisfies the Record Policy's long-term retention requirement adopted for employee records commonly retained in Personnel files.

¹⁰⁰ The designated schedule for FMLA records satisfies the Record Policy's long-term retention requirement adopted for employee records commonly retained in Personnel files and exceeds the 3-year retention requirement for FMLA records at 29 CFR 825.500(b).

¹⁰¹ The designated long-term retention of intergovernmental agreements satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b)24.

¹⁰² The designated long-term retention of management reports satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁰³ The designated retention schedule for withdrawn, removed and rejected applications is consistent with section 3.8 (Removing Applicants from the Waiting List) of HUD's Public Housing Occupancy Guidebook, which provides, at p. 40, that such applications are usually maintained by public housing agencies for three years or until the next HUD occupancy audit. The retention schedule also satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁰⁴ The designated retention schedule for active resident files ensures the retention of documentation necessary to determine applicant eligibility pursuant to paragraph C of Section I of the Housing Department's Admissions and Continued Occupancy Policy (ACOP).

¹⁰⁵ The designated retention schedule for criminal background records satisfies 24 CFR 5.903(g) and section 7.11 (File Documentation) of HUD's Public Housing Occupancy Guidebook, which provide that a public housing agency must destroy criminal records once the purpose(s) for which the record was requested has been accomplished, including expiration of the period for filing a challenge to the agency's action without institution of a challenge or final disposition of any such litigation.

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¹⁰⁶ Paragraph 17 of HUD Notice PIH 2010-19 (Administrative Guidance for Effective and Mandated Use of the Enterprise Income Verification (EIV) System, “PIH 2010-19”) provides that agencies are authorized to maintain the EIV Income Report in the tenant file for the duration of tenancy and no longer than three years from the end of participation date, and, in accordance with revised regulation 24 CFR §908.101, agencies are required to maintain at a minimum, the last three years of the form HUD-50058, and supporting documentation for all annual and interim reexaminations of family income. 24 CFR Part 908 requires the electronic submission of certain data to HUD for certain programs, including the Housing Choice Voucher Rental Certificate, Rental Voucher and Moderate Rehabilitation programs; 24 CFR 5.233 mandates the use of HUD’s EIV system by the Housing Choice Voucher program under 24 CFR Part 982. Neither Part 908 nor 24 CFR 5.233 provides specific record retention requirements. The designated retention schedule satisfies the requirements of PIH 2010-19, the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158, and the 3-year general retention requirement of the HUD Common Rule at 24 CFR

85.42(b).

¹⁰⁷ The designated retention period for emergency transfer records satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁰⁸ There are no applicable state/federal laws that specifically govern the retention of newsletters. The designated retention schedule satisfies the Record Policy’s minimum 2-year retention requirement for administrative records.

¹⁰⁹ Section E1 of HUD Notice PIH 2010-26 (Non-Discrimination and Accessibility for Persons with Disabilities, “PIH 2010-26”) at p. 14, provides that if, for purposes of verifying an individual’s handicap to determine whether reasonable accommodation is necessary, a public housing agency receives documentation from a verification source that contains the individual’s specific diagnosis, information regarding the individual’s treatment and/or information regarding the nature or severity of the person’s disability, the agency should immediately dispose of this confidential information. PIH 2010-26 further provides that such information should never be maintained in the individual’s file and if the information needs to be disposed of, the agency should note in the individual’s file that verification of a disability (as opposed to a specific disability), and special features required was received, the date received and the name and address of the person/organization that provided the verification. Additionally, the Joint Statement on Reasonable Accommodations under the Fair Housing Act (“Joint Statement”) issued by HUD and the Department of Justice on May 17, 2004, provides that a housing provider’s request for documentation should seek only the information that is necessary to evaluate if the reasonable modification is needed because of a disability, and that such information must be kept confidential and must not be shared with other persons unless they need the information to make or assess a decision to grant or deny a reasonable modification request or unless disclosure is required by law (*e.g.*, a court-issued subpoena requiring disclosure). (See, pg. 5 of the Joint Statement) The short-term retention schedule for records containing medically sensitive information satisfies the requirements of PIH 2010-26 and the Joint Statement. The 3-year retention schedule for the remainder of the reasonable accommodation request records satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹⁰ ^{Regulations} pertaining to Utility Allowance Schedules are found at 24 CFR 965.502, which does not include specific record retention provisions. The designated long-term retention of such records satisfies the Record Policy’s 20-year retention requirement for records recognized as having significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹¹ The designated long-term retention schedule for vacated residents owing money at the time participation is ended provides documentation of residents’ overdue accounts and indebtedness owed AUTHORITY from previous tenancies, which paragraph C of Section I of the Housing

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Department's Admissions and Continued Occupancy Policy (ACOP) requires must be paid by applicants in order to become eligible for housing; the designated 10-year retention period for vacated residents evicted for criminal activity provides documentation of criminal activity that will render an applicant ineligible for admission for 120 months (10 years).

¹¹²The designated retention schedule for vacated residents in good standing satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹³ There are no applicable state/federal laws that specifically govern the retention of the waiting list. The designated long-term retention of such records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹⁴Public Housing grievance procedures are governed by 24 CFR Part 966, which does not provide specific retention requirements. The designated retention period satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹⁵ There are no applicable state/federal laws that govern the retention of litigation records. The permanent retention of fraud and misreporting of income files satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value. The 10-year retention schedule designated for the remainder of the records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

¹¹⁶There are no applicable state/federal laws that govern the retention of investigative records. The designated permanent retention of fraud investigation files satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and the retention schedule for the remainder of the records exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹¹⁷ There are no applicable state/federal laws that govern the retention of repayment or settlement agreements. The designated retention schedule satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value.

¹¹⁸ There are no applicable state/federal laws that govern the retention of debt collection records. The designated retention schedule satisfies the Record Policy's minimum 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

¹¹⁹Preparation of the Administrative Plan is required by 24 CFR 982.54, which does not include specific record retention provisions. The designated long-term retention of such records satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value. The schedule exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher

records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹²⁰ Paragraph 17 of HUD Notice PIH 2010-19 (Administrative Guidance for Effective and Mandated Use of the Enterprise Income Verification (EIV) System, "PIH 2010-19") provides that agencies are authorized to maintain the EIV Income Report in the tenant file for the duration of tenancy and no longer than three years from the end of participation date, and, in accordance with revised regulation 24 CFR §908.101, agencies

are required to maintain at a minimum, the last three years of the form HUD-50058, and supporting documentation for all annual and interim reexaminations of family income. 24 CFR Part 908 requires the electronic submission of certain data to HUD for certain programs, including the

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Housing Choice Voucher Rental Certificate, Rental Voucher and Moderate Rehabilitation programs; 24 CFR 5.233 mandates the use of HUD's EIV system by the Housing Choice Voucher program under 24 CFR Part 982. Neither Part 908 nor 24 CFR 5.233 provide specific record retention requirements. The designated retention schedule satisfies the requirements of PIH 2010-19, the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158, and the 3-year general retention requirement of the HUD Common Rule at 24 CFR

85.42(b).

¹²¹ The designated long-term retention of intergovernmental agreements satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value and exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹²² The HUD portability regulations are set forth at 24 CFR Part 982, which does not specify retention requirements. The designated retention schedule satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹²³ The HUD portability regulations are set forth at 24 CFR Part 982, which does not specify retention requirements. Long-term access to portability billing files is necessary to dispute claims for portability reconciliation that are sometimes submitted by public housing agencies long after the participant has ported out. The designated long-term retention of portability billing records, made at the recommendation of the Portability Unit, satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24

CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹²⁴ The designated retention schedule for ineligible applicant records satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158, the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b) and the requirements set forth at 5.28 of the Housing Choice Voucher Administrative Plan, which provides for the retention of all documents, letters, and other

information concerning a family's selection from the waiting list, income and eligibility determinations, the notice of withdrawal and similar information until three years after the year in which the final action was taken.

¹²⁵ The designated retention schedule for withdrawn applicant records satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158, the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b) and the requirements set forth at 5.28 of the Housing Choice Voucher Administrative Plan, which provides for the retention of all documents, letters, and other

information concerning a family's selection from the waiting list, income and eligibility determinations, the notice of withdrawal and similar information until three years after the year in which the final action was taken.

¹²⁶ The designated retention schedule for current applicants satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158, the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b), and the 3-year,

owner-retention requirement for applications set forth at section 4-22 of HUD's Occupancy Requirements of Subsidized Multifamily Housing Programs ("Handbook 4350.3").

¹²⁷ The designated retention schedule for selected applications satisfies the 3-year general recordkeeping requirements established for Housing

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Choice Voucher records set forth at 24 CFR 982.158, the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b), the 3-year, owner- retention requirement for applications set forth at section 4-22 of Handbook 4350.3 and the various program requirements found at 24 CFR 880.603(b)(3), 24 CFR 884.214, 24 CFR 886.321, 24 CFR 891.410, 610 and 750 which provide for the three-year retention of records concerning applicants and approved eligible families that provide racial, ethnic, gender and place of previous residency and data required by HUD.

¹²⁸ The designated retention schedule for active resident files ensures the retention of documentation necessary to substantiate misreporting of income pursuant to 13.8.7.2 of the Housing Choice Voucher Administrative Plan.

¹²⁹ The designated retention schedule for criminal background records satisfies the requirements of 24 CFR 5.903(g), which provides that a public housing authority shall destroy criminal records once the purpose(s) for which the record was requested has been accomplished, including expiration of the period for filing a challenge to the agency's action without institution of a challenge or final disposition of any such litigation.

¹³⁰ The designated retention schedule for the Master Waiting List Activity records satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and the retention requirements set forth at section 3.1.18 of the Housing Choice Voucher

Administrative Plan, which provides for the permanent retention of a summary of all application intake activities in a permanent master waiting list activity file. The designated schedule exceeds the three-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³¹ The designated long-term retention of debt-owing records of vacated participants satisfies the long-term retention requirements at Section 13.8.7.2 of the Housing Choice Voucher Administrative Plan, which provides that if the agency substantiates a case of misrepresentation of income but not a fraudulent misrepresentation, the family is billed for any overpayment of HAP or UAP and the amount owed is recorded and retained in the computer system until paid. The 3-year retention schedule applicable to records concerning debts of vacated participants paid within 3 years following end of participation satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³² The designated retention schedule for vacated participant (do not re-admit) records satisfies the Record Policy's permanent retention requirement for records of significant historical and/or administrative value and the requirements at Section 13.8.7.4 of the Section 8 Administrative Plan, which provides that a family file that contains full documentation of misreported income shall be permanently retained until such time as the family has repaid the AUTHORITY in full. The retention schedule exceeds the three-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³³ The designated retention schedule for vacated participant (good standing) records satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³⁴ Chapter 11 of the Housing Choice Voucher Administrative Plan and 24 CFR 5.601 et seq. describe owner records; however, neither provides specific retention requirements. The designated retention schedule for owner records exceeds the three-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³⁵ The designated long-term retention of owner monthly newsletters and brochures records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value. The 3-year retention requirement for the remainder of the records satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

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¹³⁶The designated retention schedule for owner orientation materials satisfies the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³⁷ Regulations pertaining to Utility Allowance Schedules are found at 24 CFR 982.517, which provides that a public housing authority must maintain information supporting its annual review of utility allowances and any revisions made in its utility allowance schedule, but does not indicate a specific retention period. The designated long-term retention of such records satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value, is sufficient for purposes of maintaining information supporting annual review of allowances and revisions, and exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³⁸ There are no applicable state/federal laws that govern the retention of administrative hearing records. The designated retention schedule satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and the requirements at section 14.7.13 of the Housing Choice Voucher Administrative Plan, which provides for the permanent retention of administrative hearing records. The retention schedule exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹³⁹ There are no applicable state/federal laws that govern the retention of litigation records. The permanent retention of fraud and misreporting of income files satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and exceeds the requirements at section 14.7.13 of the Section 8 Administrative Plan, which provides for the permanent retention of administrative hearing records. The 10-year retention schedule designated for the remainder of the records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

¹⁴⁰ The designated long-term retention of fraud investigation files satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and the requirements at section 13.8.7.4 of the Housing Choice Voucher Administrative Plan, which provides for the permanent retention of documentation used to substantiate any misreporting of income. The retention schedule for the remainder of the records exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁴¹ There are no applicable state/federal laws that govern the retention of repayment and settlement agreements. The designated retention schedule satisfies the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value and the requirements at section 13.8.7.4 of the Housing Choice Voucher Administrative Plan, which provides for the permanent retention of settlement agreements.

¹⁴² There are no applicable state/federal laws that govern the retention of debt collection records. The designated retention schedule satisfies the Record Policy's minimum 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

¹⁴³ There are no applicable state/federal laws that govern the retention of inventory lists. The designated retention schedule is consistent with the NARA's 2-year retention schedule for inventory files of federal agencies set forth at General Records Schedule 3 (Procurement, Supply and Grant Records), Section 9, and is the same as that recommended by the State Archives at p. C-32 of the State Archives Guidelines.

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¹⁴⁴ There are no applicable state/federal laws that govern the retention of environmental compliance records. The long-term retention schedule for the specified records and those with the potential for significant historical and/or administrative value satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value, exceeds the Record Policy's minimum 6-year retention requirement for material records concerning real property in which AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest, and the 4-year retention of grant-related environmental impact records recommended by the State Archives at p. C-25 of the State Archives Guidelines. The designated 2-year retention schedule for the remainder of the records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁴⁵ There are no applicable state/federal laws that govern the retention of AUTHORITY's Procurement Policy. The designated retention schedule for the

Procurement Policy satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁴⁶ The designated retention schedule for bids and proposals satisfies the 3-year retention requirement of Section 3.3B of HUD's Procurement Handbook for Public Housing Agencies (Handbook 7460.8, Rev. 2, "HUD Procurement Handbook"), which provides that pursuant to 24 CFR 85.42(a)&(b), the AUTHORITY must retain all significant and material documentation and records concerning procurements until 3 years after final payment and contract close-out, except that records that are the subject of any claims or litigation must be retained until all issues are satisfactorily resolved.

¹⁴⁷ Section 6.9 (Bid Opening) of the HUD Procurement Handbook provides that sealed bids received after the time specified in the Invitation for Bid (IFB) should be recorded as late bids and kept unopened in the contract file.

¹⁴⁸ The designated retention schedule for unopened, sealed bids and proposals satisfies the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁴⁹ The designated retention schedule for bid protest records satisfies the retention requirement for records that are the subject of claims and litigation at Section 3.3B of the HUD Procurement Handbook.

¹⁵⁰ The designated retention schedule for services and commodities contracts satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.

¹⁵¹ The 10-year designated retention schedule for design, construction and development-related records satisfies the 10-year statute of limitation for construction defect litigation found at Code of Civ. Proc. §337.15 and the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value. The designated 3-year retention requirement for the remainder of records satisfies the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁵² The designated retention schedule for real property lease and rental agreements satisfies the Record Policy's minimum 5-year retention requirement for lease, rental and management records pertaining to real property in which the AUTHORITY, or any of its instrumentalities or affiliates,

maintains a legal interest and exceeds the 4-year statute of limitation for property lease/rental agreements at Code of Civ. Proc. §337.2.

¹⁵³ The designated retention schedule for labor compliance monitoring records satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement for payroll reports and statements of compliance set forth at Section 10.9F Section of the HUD Procurement Handbook, which requires the retention of all payroll reports and statements of compliance for three years from the date of contract completion and acceptance, or from the date of resolution of any standards issues outstanding at contract completion.

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¹⁵⁴ There are no applicable state/federal laws that govern the retention of contract tracking reports. The designated schedule for such records satisfies the Record Policy's requirements for the disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

¹⁵⁵ There are no applicable state/federal laws that govern the retention of mail service files. The designated schedule for such records satisfies the Record Policy's requirements for the disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

¹⁵⁶ There are no applicable state/federal laws that govern the retention of print service files. The designated schedule for such records the Record Policy's requirements for the disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

¹⁵⁷ There are no applicable state/federal laws that govern the retention of vehicle maintenance records. The designated schedule for records with the potential for significant historical and/or administrative value satisfies the Record Policy's retention requirement for fixed asset records and exceeds the 4-year retention requirement recommended for similar vehicle maintenance records by the State Archives at p. C-47 of the State Archives Guidelines. The designated schedule for the remainder of the records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁵⁸ There are no applicable state/federal laws that govern the retention of record management files. The designated schedule for records that document the destruction of damaged records satisfies the Record Policy's 3-year retention requirement for such records. The designated schedule for the remainder of the records is consistent with the 2-year recommended retention approved by the NARA for records disposition files of federal agencies set forth at General Records Schedule 16 (Administrative Management Records), Section 2 and satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁵⁹ There are no applicable state/federal laws that govern the retention of records service requests. The designated schedule for such records satisfies the Record Policy's requirements for the disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

¹⁶⁰ The designated retention schedule for purchasing files satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.

¹⁶¹ The designated retention schedule for vendor files satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.

¹⁶² There are no applicable state/federal laws that govern the retention of surplus property disposition records. The designated schedule for such records satisfies the Record Policy's requirement for fixed asset records.

¹⁶³ There are no applicable state/federal laws that govern the retention of facilities records. The designated long-term retention for records recognized as having the potential for significant historical and/or administrative value satisfies the Record Policy's 5-year retention requirement for material records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates maintains a legal interest. The two-year retention requirement for the remainder of the records exceeds the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁶⁴ There are no applicable state/federal laws that govern the retention of facility request records. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁶⁵ The designated retention schedule satisfies the minimum 3 year retention requirement for Ride Share records set forth at SCAQMD Rule 2202 (j)(7).

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¹⁶⁶ There are no applicable state/federal laws that govern the retention of trip reduction records. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records and the 2-year retention recommended for similar trip-reduction records by the State Archives at p. C-27 of the State Archives Guidelines.

¹⁶⁷ There are no applicable state/federal laws that govern the retention of declined funding applications. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁶⁸ The designated long-term retention schedule satisfies the Record Policy's minimum 5-year retention requirement for material lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest and satisfies the retention requirement for HOME-funded homeownership housing projects under 24 CFR §92.508(c) and the retention

requirement for CDBG grant recipients, as described in the HCD's CDBG GMM 8-2008, at Chapter 7, Accounting and Recordkeeping. The designated schedule is also sufficient for the 3-year statute of limitation for trespass on or injury to real property at Code of Civ. Proc. §338(b) and the 4-year statute of limitation period for contracts at Code of Civ. Proc. §337.

¹⁶⁹ The designated schedule for real property acquired or developed with non-HUD funds satisfies the Record Policy's minimum 5-year retention requirement for lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest. The designated schedule is also sufficient for the 3-year statute of limitation for trespass on or injury to real property at Code of Civ. Proc. §338(b) and the 4-year statute of limitation period for contracts at Code of Civ. Proc. §337.

¹⁷⁰ The designated long-term retention schedule for material records related to the design and construction of projects satisfies the 10-year statute of limitation for construction defect litigation found at Code of Civ. Proc. §337.15 and exceeds the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook. The designated schedule for payroll records and statements of compliance satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement for payroll reports and statements of compliance set forth at Section 10.9F Section of the HUD Procurement Handbook, which requires the retention of all payroll reports and statements of compliance for three years from the date of contract completion and acceptance, or from the date of resolution of any standards issues outstanding at contract completion. The designated schedule for the remainder of the records recognizes such records have the potential for significant administrative and/or historical value and satisfies the Record Policy's retention requirements for the same and exceeds the Policy's minimum 5-year retention requirement for lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest.

¹⁷¹ There are no applicable state/federal laws that govern the retention of loan-related records. The designated retention schedule satisfies the Record Policy's minimum 6-year retention requirement for accounting and finance records.

¹⁷² There are no applicable state/federal laws that govern the retention of redevelopment plan records. The long-term retention of key records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value. The retention schedule for the remainder of the redevelopment project records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁷³ There are no applicable state/federal laws that govern the retention of unsuccessful grant submissions. The designated schedule for such records is the same as that recommended by the State Archives at p. C-19 of the State Archives Guidelines and satisfies the Record Policy's minimum 2-year retention requirement of administrative records.

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¹⁷⁴ The regulations applicable to Agency Plans are found at 24 CFR Part 093, which does not include specific record retention provisions. The designated long-term retention schedule satisfies the Record Policy's 20-year retention requirement for records recognized as having significant administrative and/or historical value and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b)24 CFR 85.42(b).

¹⁷⁵ There are no applicable state/federal laws that govern the retention of working files. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁷⁶ Preparation of the Housing Choice Voucher Administrative Plan is required by 24 CFR 982.54, which does not include specific record retention provisions. The designated long-term retention of Plan Documentation records satisfies the Record Policy's 20-year retention requirement for records

recognized as having significant administrative and/or historical value. The schedule exceeds the 3-year general recordkeeping requirements established for Housing Choice Voucher records set forth at 24 CFR 982.158 and the 3-year general retention requirement of the HUD Common Rule at 24 CFR

85.42(b).

¹⁷⁷ The designated retention schedule for labor compliance monitoring records satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement for payroll reports and statements of compliance set forth at Section 10.9F Section of the HUD Procurement Handbook.

¹⁷⁸ The designated retention schedule for bids and proposals satisfies the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁷⁹ Section 6.9 (Bid Opening) of the HUD Procurement Handbook provides that sealed bids received after the time specified in the Invitation for Bid (IFB) should be recorded as late bids and kept unopened in the contract file.

¹⁸⁰ The designated retention schedule for unopened, sealed bids and proposals satisfies the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁸¹ The designated retention schedule for bid protest records satisfies the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁸² The designated retention schedule for purchasing files satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement of Section 3.3B of the HUD Procurement Handbook.

¹⁸³ The designated retention schedule for vendor files satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.

¹⁸⁴ There are no applicable state/federal laws that govern the retention of surplus property disposition records. The designated schedule for such records satisfies the Record Policy's requirement for fixed asset records.

¹⁸⁵ The designated retention schedule for services and commodities contracts satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.

¹⁸⁶ The designated long-term retention schedule satisfies the Record Policy's minimum 5-year retention requirement for lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest and satisfies the retention requirement for HOME-funded homeownership housing projects under 24 CFR §92.508(c) and the retention requirement for

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CDBG grant recipients adopted by the HCD, as described in the HCD's CDBG GMM 8-2008, at Chapter 7, Accounting and Recordkeeping. The

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designated schedule is also sufficient for the 3-year statute of limitation for trespass on or injury to real property at Code of Civ. Proc. §338(b) and the 4-year statute of limitation period for contracts at Code of Civ. Proc. §337.

¹⁸⁷ The designated schedule for real property acquired or developed with non-HUD funds satisfies the Record Policy's minimum 5-year retention requirement for lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or

affiliates, maintains a legal interest. The designated schedule is also sufficient for the 3-year statute of limitation for trespass on or injury to real property at Code of Civ. Proc. §338(b) and the 4-year statute of limitation period for contracts at Code of Civ. Proc. §337.

¹⁸⁸ The designated long-term retention schedule for material records related to the design and construction of projects satisfies the 10-year statute of limitation for construction defect litigation found at Code of Civ. Proc. §337.15 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook. The designated schedule for payroll records and statements of compliance satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement for payroll reports and statements of compliance set forth at Section 10.9F Section of the HUD Procurement Handbook, which requires the retention of all payroll reports and statements of compliance for three years from the date of contract completion and acceptance, or from the date of resolution of any standards issues outstanding at contract completion. The designated schedule for the remainder of the records recognizes such records have the potential for significant administrative and/or historical value and satisfies the Record Policy's retention requirements for the same and exceeds the Policy's minimum 5-year retention requirement for lease, rental and property management records pertaining to real property in which AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest.

¹⁸⁹ There are no applicable state/federal laws that govern the retention of environmental compliance records. The long-term retention schedule for the specified records and those with the potential for significant historical and/or administrative value satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value, exceeds the Record Policy's minimum 6-year retention requirement for material records concerning real property in which AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest, and the 4-year retention of grant-related environmental impact records recommended by the State Archives at p. C-25 of the State Archives Guidelines. The designated 2-year retention schedule for the remainder of the records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

¹⁹⁰ There are no applicable state/federal laws that govern the retention of asbestos inspection, removal or remediation records. The designated retention schedule satisfies the Record Policy's minimum 5-year retention requirement for asbestos inspection records and the long-term retention of removal and remediation records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

¹⁹¹ There are no applicable state/federal laws that govern the retention of lead-based paint inspection, removal or remediation records. The designated retention schedule satisfies the Record Policy's minimum 5-year retention requirement for lead-based paint inspection records and the Record Policy's minimum 5-year retention requirement for material records pertaining to real property in which AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest.

¹⁹² There are no applicable state/federal laws that govern the retention of inventory lists. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records, is consistent with the 2-year retention schedule approved by the NARA for inventory files of federal agencies set forth at General Records Schedule 3 (Procurement, Supply and Grant Records), Section 9, and is the same as that recommended by the State Archives at p. C-32 the State Archives Guidelines.

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¹⁹³ The designated retention schedule for real property lease and rental agreements satisfies the Record Policy’s minimum 5-year retention requirement for lease, rental and management records pertaining to real property in which the AUTHORITY, or any of its instrumentalities or affiliates, maintains a legal interest and exceeds the 4-year statute of limitation for property lease/rental agreements at Code of Civ. Proc. §337.2.

¹⁹⁴ CAPER regulations are found at 24 CFR Part 91, which does not include specific record retention provisions. The designated retention schedule satisfies the retention schedules for HUD’s HOPWA, HOME and CDBG programs which require submittal of the reports and exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁹⁵ The regulations for Five-Year Consolidated Plans are found at 44 CFR Part 206, which does not include specific record retention provisions. The designated retention schedule satisfies the retention requirements for the programs covered by the City of Merced Five-Year Consolidated Plan, which include CDBG, HOME, and HOPWA and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁹⁶ The California Tax Credit Allocation Committee (CTCAC) is California’s designated “housing credit agency” empowered to allocate and administer tax credits. The designated retention period complies with the requirements described in the CTCAC’s Compliance Monitoring Manual (July 2010) at Section II – Responsibilities, and satisfies the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

¹⁹⁷ 26 CFR 1.6001-1(e) provides that records should be retained for so long as the contents thereof are material in the administration of any internal revenue law. Per the IRS FAQ *Tax Exempt Bond FAQs regarding Record Retention Requirements*, material records regarding tax-exempt bond transactions should generally be kept for as long as the bonds are outstanding, plus 3 years after the final redemption date of the bonds. For ease of use, the same retention period is assigned to records pertaining to taxable bond transactions.

¹⁹⁸ There are no applicable state/federal laws that govern the retention of litigation records. The 10-year retention schedule recognizes the records’ potential for significant historical and/or administrative value and satisfies the Record Policy’s requirement for the same.

¹⁹⁹ There are no applicable state/federal laws that govern the retention of liability claims records. The designated retention schedule satisfies the Record Policy’s minimum 5-year retention requirement for liability claims records and is the same as that recommended by the State Archives at p. C-24 of the State Archives Guidelines.

²⁰⁰ There are no applicable state/federal laws that govern the retention of debt collection records. The designated retention schedule satisfies the Record Policy’s minimum 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

²⁰¹ There are no applicable state/federal laws that govern the retention of requests received under the Public Records Act (Gov. Code §§ 6250 et seq.). The designated schedule for Public Records Requests satisfies the Record Policy’s requirements for the disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

²⁰² There are no applicable state/federal laws that govern the retention of agenda mailing lists required to be maintained by Gov. Code §54954.1, which provides that requests for receipt of copies of Board meeting agendas or copies of all documents constituting the agenda packets must be mailed to the requestor at the time the agenda is posted or upon distribution to all, or a majority of all, of the Commissioners, whichever occurs first. A request is valid for the calendar year in which it is filed and must be renewed following January 1 of each year. The designated retention schedule satisfies the Record Policy’s minimum 2-year retention requirement for administrative records.

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²⁰³ There are no applicable state/federal laws that govern the retention of Board-approved resolutions. The designated retention schedule satisfies the Record Policy's permanent retention requirement for AUTHORITY Board records of extraordinary historical and/or administrative value and is the same as that recommended for legislative resolutions by the State Archives at p. C-23 of the State Archives Guidelines.

²⁰⁴ There are no applicable state/federal laws that govern the retention of Board Minutes. The designated retention schedule satisfies the Record Policy's permanent retention requirement for AUTHORITY Board records of extraordinary historical and/or administrative value and is the same as that recommended for legislative minutes by the State Archives at p. C-23 of the State Archives Guidelines.

²⁰⁵ There are no applicable state/federal laws that govern the retention of Commission agenda materials. The designated permanent retention of such records satisfy the Record Policy's permanent retention requirement for records of extraordinary historical and/or administrative value.

²⁰⁶ There are no applicable state/federal laws that govern the retention of recordings of public meetings. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records and exceeds that recommended for such recordings by the State Archives at p. C-23 of the State Archives Guidelines.

²⁰⁷ There are no applicable state/federal laws that govern the retention of public meeting notices. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²⁰⁸ There are no applicable state/federal laws that govern the retention of litigation records. The designated retention schedule satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

²⁰⁹ There are no applicable state/federal laws that govern the retention of debt collection records. The designated retention schedule satisfies the Record Policy's minimum 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and is consistent with the debt collection process governed by Code of Civ. Proc. §§683.110 et seq.

²¹⁰ The 50-year retention period satisfies the Record Policy's requirements for records that serve a historical and/or administrative purpose and is designated upon the Department's recommendation. The designated retention of the remainder of the records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value.

²¹¹ There are no applicable state/federal laws that govern the retention of public safety audio, telephone and radio communications. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records and exceeds the retention requirements for similar public safety records recommended by the State Archives, at p. C-38 of Attachment C of the State Archives Guidelines.

²¹² There are no applicable state/federal laws that govern the retention of visitor logs. The designated retention schedule satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

²¹³ The designated retention schedule for DOJ request forms satisfies the requirements of 24 CFR 5.903(g), which provides that a public housing agency must destroy criminal records once the purpose(s) for which the record was requested has been accomplished, including expiration of the period for filing a challenge to the agency's action without institution of a challenge or final disposition of any such litigation.

²¹⁴ There are no applicable state/federal laws that govern the retention of public safety investigation files. The designated long-term retention of such records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value. The designated retention schedule for the remainder of the records satisfies the Record Policy's minimum 2-year retention requirement for administrative records.

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²¹⁵ There are no applicable state/federal laws that govern the retention of information technology user access records. The designated schedule for transitory User Access records satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²¹⁶ There are no applicable state/federal laws that govern the retention of information technology usage and monitoring records. The designated schedule for transitory Usage and Monitoring records satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²¹⁷ There are no applicable state/federal laws that govern the retention of information technology service requests and responses. The designated retention schedule satisfies the Record Policy's retention requirements for non-transitory information technology records.

²¹⁸ There are no applicable state/federal laws that govern the retention of backup files. The designated schedule for transitory information technology Backup Files satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²¹⁹ There are no applicable state/federal laws that govern the retention of system and data documentation. The designated schedule for transitory information technology System and Data Documentation satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²²⁰ There are no applicable state/federal laws that govern the retention of software and hardware inventory records. The designated schedule for transitory information technology Software and Hardware Inventory records satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²²¹ There are no applicable state/federal laws that govern the retention of hardware and software documentation and maintenance records. The designated schedule for transitory information technology Hardware and Software Documentation and Maintenance records satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²²² There are no applicable state/federal laws that govern the retention of information technology design and implementation project records. The designated schedule for transitory Design and Implementation information technology project records satisfies the Record Policy's requirements for the disposal of transitory information technology records as soon as they are superseded or become obsolete.

²²³ There are no applicable state/federal laws that govern the retention of promotional materials. The designated long-term retention of such records satisfies the Record Policy's 10-year retention requirement for records recognized as having the potential for significant administrative and/or historical value and exceeds the 2-year retention period for brochures, publications, newsletters and bulletins recommended by the California Secretary of State, Archives Division, Records Management at p. C-24 of Attachment C of the Local Government Records Management Guidelines. The designated schedule for the remainder of the records recognized as Transitory satisfies the Record Policy's requirement for disposal of Transitory records once their administrative, legal, fiscal and historical function has expired.

²²⁴ The designated retention schedule for service and commodities contracts satisfies the 4-year statute of limitation period for contracts and actions to recover book accounts at Code of Civ. Proc. §337 and exceeds the 3-year retention requirement at Section 3.3B of the HUD Procurement Handbook.



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**RECORDS RETENTION AND
DISPOSITION POLICY**

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I. INTRODUCTION

Records document the Housing Authority of the County of Merced's (AUTHORITY) functions, programs, policies, decisions, procedures, and essential transactions, including records necessary to protect the legal and fiscal rights of the AUTHORITY and the civic and legal rights of private citizens directly affected by the AUTHORITY's activities.

This Record Retention and Disposition Policy ("Policy") and the related AUTHORITY Record Retention and Disposition Schedule, attached hereto as Exhibit "A" and incorporated herein by this reference, is intended to establish guidelines, policies and procedures for the retention and disposition of the AUTHORITY's Records in accordance with their administrative, legal, fiscal and historical value.

II. GENERAL POLICY

- A. Purposes. The purposes of this Policy are to:
1. Preserve records that document the AUTHORITY's functions, programs, policies, decisions, procedures, and essential transactions in full compliance with all applicable laws, regulations, guidelines, policies and procedures or the terms and conditions of any grant award or contract;
 2. Ensure the identification, retention and timely disposition of transitory and temporary records and the identification and retention of permanent records in accordance with the Record Retention and Disposition Schedule; and
 3. Provide a safeguard for maintaining an environment of quality, integrity and security of critical information resources.
- B. Application. This Policy applies to all Administrative and Program Records (as defined below in Part III) regardless of format, whether they be paper, electronic, or microform (e.g., microfilm, microfiche, magnetic tapes, and CD-ROM), and other more traditional media. However, nothing herein shall prevent the AUTHORITY from complying with applicable laws, regulations, guidelines, policies and procedures or the terms and conditions of any grant award or contract.
- C. Unauthorized Activities. Records that are the property of the AUTHORITY shall not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, except as provided for in this Policy.

- D. Litigation, Claims, Audits and Investigations. The Retention Periods set forth in the Record Retention and Disposition Schedule shall not apply to records that are otherwise eligible for disposition, but which may be relevant to pending, threatened or anticipated litigation, claim, audit or investigation involving the AUTHORITY. Once a Department becomes aware of the existence of such litigation, claim, audit or investigation, the Department shall retain all records related to such matters 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. When the Department has reason to believe that another AUTHORITY department or one or more of the AUTHORITY's instrumentalities and/or affiliates have records that relate to pending, threatened or anticipated litigation, claim, audit or investigation, the Department shall notify those departments, instrumentalities and/or affiliates of the need to retain such records. Adoption of this Policy does not relieve or otherwise affect the pre-existing obligation to maintain records related to a matter under litigation, claim, audit or investigation.

III. DEFINITIONS

"*Administrative Records*" means records that document or contain valuable information related to the organization, functions, policies, decisions, procedures, operations, or other business activities of the AUTHORITY.

"*Board of Commissioners*" or Board means the AUTHORITY's Board of Commissioners.

"*Damaged Records*" means records damaged by water, fire, or other forms of contamination during natural and man-made disasters.

"*Department*" means the AUTHORITY department determined to be the holder of an official record.

"*Disposition*" or "Disposed" means the destruction and disposal of records that no longer have administrative, legal, fiscal or historical value. Records selected for disposition shall be inventoried on a disposition list and disposed of according to this Policy and the Record Retention and Disposition Schedule.

"*Electronic Mail*" or "E-Mail" means sending text messages between computers using a computer network (internal) or the Internet (external).

"*Electronic Record*" means a computer-readable record that is created, generated, sent, received, and/or stored by electronic means.

"*E-mail System*" means the temporary communications tool intended for the AUTHORITY's use in accordance with generally accepted business

communications practices and current law. The E-mail System is not intended to be used for electronic storage or maintenance of documentation, including, but not limited to, records of the AUTHORITY.

"HUD" means the U.S. Department of Housing and Urban Development.

"Imaged" means the process of converting a document from physical paper format to an electronic digital image file.

"*Obsolete Records*" means records that no longer *have* administrative, legal, fiscal or historical value: Obsolete Records shall be inventoried on a disposition list and unless otherwise determined still *active* or permanent the records shall be disposed of according to the Record Retention and Disposition Schedule.

"*Permanent Records*" means Records that are required by federal or state law or regulation or this Policy to be permanently retained and which are ineligible for Disposition unless they are copied to an appropriate electronic format or placed on an optical imaging system under procedures to be developed by a member of Management or their designee to ensure the integrity, accuracy, and reliability of the image. AUTHORITY's Permanent Records are identified in this Policy and the Record Schedule.

"*Program Records*" means records that document the unique, substantive functions for which the AUTHORITY is responsible.

"*Record*" or "*Records*" means any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by the AUTHORITY regardless of physical form or characteristics. Per Government Code Section 6250 of the Public Records Act, "writing" as used in this definition means any handwriting, typewriting, printing, photo stating, photographing, photocopying, transmitting by electronic mail or facsimile, and *every* other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

"*Record Retention and Disposition Schedule*" or "*Record Schedule*" means the list of all records produced or maintained by the AUTHORITY and the actions taken with regards to those records. The Record Schedule is the AUTHORITY's legal authority to receive, create, retain and dispose of official AUTHORITY records. It assists in documenting which Records require temporary storage, which records have historic or research value, and

which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, the AUTHORITY may use the Record Schedule to establish the "normal course of doing business."

"*Retention Period*" means the length of time a record must be retained to fulfill its administrative, legal, fiscal and historical function.

"*Temporary Records*" means records that have at least some administrative, legal, fiscal or historical value. Retention and disposition requirements for Temporary Records are set forth in this Policy and the Record Schedule.

"*Transitory Records*" means records that have very short-lived business, financial, legal, research or historical value. This Policy provides that Transitory Records may be disposed in an appropriate manner once their value as business, financial, legal, research or historical records have expired.

IV. RECORDS MANAGEMENT RESPONSIBILITIES

- A. Board of Commissioners. Approval of the Board of Commissioners is required for substantive changes made to this Policy but is not required for amendment of the Record Retention Schedule as long as the resulting Retention Periods comply with this Policy and all applicable laws, regulations, guidelines, policies and procedures or the terms and conditions of any grant award or contract.
- B. Directors, Department Heads, Managers and Supervisors. The AUTHORITY's directors, department heads, managers and supervisors shall be responsible for the following:
 - 1. Treating records in their custody as property of the AUTHORITY and following all applicable laws, regulations, guidelines, policies and procedures concerning protection of Records against damage and unlawful removal, destruction, mutilation, transfer, disposal or misuse;
 - 2. Maintaining an inventory of all Records for which their department is the Department of Record and ensuring such Records are readily available upon official request;
 - 3. Ensuring that all assigned Retention Periods applicable to their department's Records comply with applicable laws, regulations, guidelines, policies and procedures or the terms and conditions of any grant award or contract;
 - 4. Ensuring Records are stored to permit easy retrieval and are protected against damage, unauthorized access, and unlawful

removal, destruction, mutilation, transfer, disposal or misuse;

5. Assisting staff in identifying and timely disposing of Transitory Records once their value as business, financial, legal, research or historical records have expired, in accordance with this Policy, the Record Schedule and such policies, procedures and guidelines as may be adopted by the Board.
6. Assisting staff in identifying and preserving Records having significant administrative or historical value or the potential for significant administrative or historical value (as determined herein); and
7. Carrying out the timely Disposition of Temporary Records in accordance with this Policy, the Record Schedule and such policies, procedures and guidelines as may be adopted by the Board or developed by the Records Official.

C. Employees. Employees shall be responsible for the following:

1. Treating records in their custody as property of the AUTHORITY and following all applicable laws, regulations, guidelines, policies and procedures concerning protection of Records against damage, unauthorized access, and unlawful removal, destruction, mutilation, transfer, disposal or misuse;
2. Notifying their supervisor of any actual or threatened damage to Records, unauthorized access, or unlawful removal, destruction, mutilation, transfer, disposal or misuse;
3. Working with their supervisor in identifying and timely disposing of Transitory Records once their value as business, financial, legal, research or historical records have expired;
4. Working with their supervisor in identifying and preserving Records having significant administrative or historical value or the potential for significant administrative or historical value (as determined herein);
5. Ensuring that the Retention Periods assigned to the Records they maintain comply with applicable laws, regulations, guidelines, policies and procedures or the terms and conditions of any applicable grant award or contract and making recommendations to their supervisor when compliance requires amendment of this Policy or the Record Schedule;

6. If designated by their supervisors, preserving or arranging for the timely Disposition of Records in accordance with this Policy, the Record Schedule and such policies, procedures and guidelines as may be adopted by the Board.

V. PRIVACY; RESTRICTED ACCESS

It is the policy of the AUTHORITY to comply with state and federal laws with respect to privacy. Personnel and resident/participant data shall be secured in such a manner so as to restrict access to only personnel authorized by Management or their designee, and at no time shall such Records, regardless of format, be made available for public inspection. At all times EIV data will be protected in accordance with HUD requirements.

VI. ELECTRONIC MAIL

- A. Retention and Disposition of Transitory E-Mail Records. The following E-mail Records qualify as Transitory Records and are subject to Disposition upon the expiration of their value as business, financial, legal, research or historical Records:
 1. E-mails that documents routine activities containing no substantive information, such as calendars, appointment books, schedules, logs, diaries and routine notifications of meetings, scheduling of work-related trips and other scheduling related activities qualify as Transitory Activity Records;
 2. E-mails that constitute solicited or unsolicited information received from businesses or individuals who are advertising their products or services qualify as Transitory Advertising Records;
 3. E-mails that constitute correspondence that is routine in nature, requires no administrative action, policy decision, or special handling and is not subject to any specific legal requirements qualify as Transitory Routine Correspondence;
 4. E-mails that constitute preliminary or tentative versions of Records that do not form significant stages in the preparation of a final documents, were not shared or put into practice, or were superseded by a formal or ongoing record qualify as Transitory Drafts of Records;
 5. E-mails that constitute exact copies of Records where nothing has been added, changed, or deleted; the copies have been used for

reference or information purposes only; and the master version of the Record has been filed in an official filing system qualify as Transitory Duplicates;

6. E-mails that constitute quasi-official notices including memoranda and other Records that do not serve as the basis of official actions and are routine in nature, such as those pertaining to meetings, holidays or special events circulated to all staff or posted in public folders qualify as Transitory Notices and Memoranda;
7. E-mails that constitute promotional and public relations materials prepared by or for the AUTHORITY that do not contain significant information or substantial evidence of plans and directions for agency activities, or critical information that is not contained in other AUTHORITY Records qualify as Transitory Promotional and Public Relations Materials;
8. E-mails that constitute information that was intended primarily for consultation and, if used to prepare or update a formal or ongoing Record, are cited as needed qualify as Transitory Reference Materials;
9. E-mails that constitute calculations, short, informal notes such as phone messages and notes collected and used in the preparation of documents, written down for review, or as an aid to memory, or to inform someone else qualify as Transitory Research, Notes and Working Files;
10. E-mails that constitute requests and responses for forms, publications, records, and other agency information that, with the exception of redacting confidential and privileged information, do not require administration review before, or further action after, the form, publication record, or other agency information is provided qualify as Transitory Requests;
11. E-mails that constitute telephone messages, routing slips, self-adhesive notes, memos, notes, messages, mail service and printing service records that have only immediate or short-term value qualify as Transitory Temporary Information; and
12. E-mails that constitute forms, checklists and other worksheets used to prepare or update a formal or ongoing record or informally track workflow, qualify as Transitory Worksheets.

B. Retention and Disposition of Temporary and Permanent E-Mail Records.
E-mails that do not qualify as Transitory Records above are either

Temporary or Permanent Records and shall be retained and disposed of in accordance with this Policy, the Record Schedule and such policies, procedures and guidelines as may be adopted by the Board.

VII. SOURCES

Whenever possible, the Retention Periods provided in the Record Schedule shall be based upon the following sources:

- A. Federal and State Laws, Regulations and Guidelines. Whenever applicable, federal and state laws, regulations and guidelines shall be utilized to establish minimum Retention Periods. Where conflicting federal and/or state laws, regulations or guidelines apply to the same Record or to multiple Records maintained in the same file, the longest Retention Period shall be utilized. Federal and state laws, regulations and guidelines cited in the Record Schedule shall include successor provisions.
- B. Grant Awards and Contracts. Whenever applicable, Retention Periods mandated by the terms and conditions of any grant award or contracts shall be utilized to establish minimum Retention Periods. Where conflicting grant award or contract provisions and federal or state laws, regulations or guidelines apply to the same Record or to multiple Records maintained in the same file, the longest Retention Period shall be utilized.
- C. HUD Publications. HUD has adopted multiple handbooks, guidebooks, notices and manuals (collectively, "HUD Publications") to clarify or elaborate on established HUD policies and to issue procedures or guidance within the framework of established laws and regulations. Whenever applicable, Retention Periods set forth in HUD Publications shall be utilized to establish minimum Retention Periods. Where conflicting HUD Publications, federal and/or state laws, regulations or guidelines, and/or grant award or contract provisions apply to the same Record or to multiple Records maintained in the same file, the longest Retention Period shall be utilized. HUD Publications cited in the Record Schedule shall include future amendments, revisions and successor provisions.
- D. HUD Common Rule. In the absence of controlling federal or state law, regulation or guideline, or HUD Publication, the retention of program, financial and statistical Records, and other Records required to be maintained by HUD program regulations or grant award or contract, or otherwise reasonably considered as pertinent to HUD's program regulations or grant agreement, shall be governed by 24 CFR 85.42(b) of the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally-Recognized Indian Tribal Governments" ("HUD Common Rule"), or its successor,

which establishes a minimum 3-year Retention Period for such Records.

- E. National Archives and Records Administration: General Records Schedules. The National Archives and Records Administration ("NARA") is the independent federal agency that is responsible for adequacy of documentation and records disposition for federal records. General Records Schedules (GRS) provide mandatory disposal authorization for temporary administrative records common to several or all federal agencies, including records relating to personnel, fiscal accounting, procurement, communications, printing, and other common functions. Though not legally binding upon the AUTHORITY, in the absence of controlling federal or state law, regulation or guideline, or HUD Publication, and when the HUD Common Rule is not applicable, the GRS, or its successor, may be utilized to establish minimum Retention Periods for similar Records. Cited GRS Schedules shall include future amendments, revisions and successor provisions.
- F. HUD Records Disposition Schedule. HUD's Records Disposition Schedule (Administrative Records, Appendix 3 to Handbook 2225.6) contains the NARA-approved HUD deviations from the General Records Schedules and along with the GRS, provides disposition instructions for HUD records and non-record materials. Though not legally binding upon the AUTHORITY, in the absence of controlling federal or state law, regulation or guideline, or HUD Publication, and when the HUD Common Rule is not applicable, HUD's Records Disposition Schedule, or its successor, may be utilized to establish minimum Retention Periods for similar Records.
- G. Statutes of Limitation. Applicable statutes of limitation shall be consulted to establish minimum Retention Periods for Records which may be necessary to document or defend against civil claims. Examples include the 3-year statute of limitation for trespass on or injury to real property at Code of Civ. Proc. §338(b); the 4-year statute of limitation for contracts and actions to recover book accounts at Code of Civ. Proc. §337; the 4-year statute of limitation for property lease/rental agreements at Code of Civ. Proc. §337.2; the 10-year statute of limitation for construction defect litigation at Code of Civ. Proc. §337.15; and the 10-year statute of limitation for general obligation bond actions at Code of Civ. Proc. §337.5.
- H. State Archives Guidelines. Whereas the state has enacted laws and regulations that govern the retention of records at the state, county and city levels, with the exception of certain records, no state laws or regulations have been enacted to govern the retention of records by public agencies such as the AUTHORITY. In order to address the perceived problem of local government agencies having no standardized program of accountability and treatment of public records, in 1999, the

Legislature adopted Senate Bill 742 which added Government Code section 12236 and provided that the Secretary of State shall establish the Local Government Records Program to be administered by the Archives Division ("State Archives") to establish non-binding guidelines for local government record retention.

In February 2006, the Secretary of State published the "Local Government Records Management Guidelines" ("State Archives Guidelines"), a copy of which shall be maintained with the official Record of this Policy. Though not legally binding upon the AUTHORITY, in the absence of controlling federal or state law, regulation or guideline, or HUD Publication, and when the HUD Common Rule is not applicable, the State Archives Guidelines, or its successor, may be utilized to establish minimum Retention Periods for similar Records.

VIII. RECORD RETENTION SCHEDULE GUIDELINES

The following guidelines are established for the designation of Retention Periods specified in the Record Schedule:

- A. Transitory Records. The decision on what is and is not a Transitory Record is generally made at the employee-level. If an employee determines a Record is not likely to have future administrative, legal, fiscal and historical value and the record is listed as a Transitory Record on the Record Schedule, this Policy provides that the Record may be disposed in an appropriate manner once its administrative, legal, fiscal or historical value has expired.

Transitory Records include the following:

1. Activity Records that document routine activities containing no substantive information, such as calendars, appointment books, schedules, logs, diaries and routine notifications of meetings, schedules of work-related trips and other scheduling related activities.
2. Advertising Material consisting of solicited or unsolicited information received from businesses or individuals advertising their products or services.
3. Correspondence, whether produced or received, that is routine in nature, requires no administrative action, policy decision, or special handling and is not subject to any specific legal requirements, including: originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; correspondence from other agencies that is received for

general information purposes only; originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material; business messages such as scheduling or confirming meetings; and announcements and notices of a general nature.

4. Drafts of Records that consist of preliminary or tentative versions of a Record that do not form significant stages in the preparation of a final document, were not shared or put into practice, or were superseded by a formal or ongoing record, including preliminary drafts of letters, memoranda, reports, etc., but not including drafts that are legally required, acted upon, or applied, which must be retained according to the Record Schedule, this Policy or any applicable law, regulation, guideline, policy or procedure, or the terms and conditions of any grant award or contract.
5. Duplicates that are exact copies of Records where nothing has been added, changed, or deleted; the copies have been used for reference or information purposes only; and the master version of the Record has been filed in an official filing system. A Record must meet all three of these conditions to be a duplicate. If something has been added, changed or deleted, the record is no longer a duplicate, though it could still be Transitory, depending on the significance and future value of the addition, change or deletion.
6. External publications such as books, magazines, periodicals, pamphlets, brochures, journals, newspapers and software documentation obtained from sources other than the AUTHORITY that requires no action and are not required for documentary purposes;
7. Notices and memoranda that constitute quasi-official notices including memoranda and other records that do not serve as the basis of official actions and are routine in nature, such as those pertaining to meetings, holidays or special events circulated to all staff or posted in public folders.
8. Promotional and public relations materials including audiovisual items, photographs, flyers and brochures, newsletters, press releases, published reports, bulletins, educational and informational materials prepared by or for the AUTHORITY that do not contain significant information or substantial evidence of plans and directions for agency activities, or critical information that is not contained in other AUTHORITY records.

9. Reference materials and other sources of information intended primarily for consultation and, if used to prepare or update a formal or ongoing record, are cited as needed.
10. Research, notes and working files, such as calculations, short, informal notes such as phone messages, and notes collected and used in the preparation of documents, written down for review, or as an aid to memory, or to inform someone else.
11. Requests and responses for forms, publications, records, and other agency information that, with the exception of redacting confidential and privileged information, do not require administration review before, or further action after, the form, publication, record, or other agency information is provided.
12. Temporary information such as telephone messages, routing slips, self-adhesive notes, memos, notes, messages, mail service and printing service records that have only immediate or short-term value.
13. Worksheet, forms and checklists used to prepare or update a formal or ongoing Record or informally track workflow.
14. Information technology Records maintained as backup files; system and data documentation; software and hardware inventory records; hardware and software documentation and maintenance records; user access records; usage monitoring records; and design and implementation project records.

B. Temporary Records. Temporary Records are recognized as having varying degrees of administrative, legal, fiscal or historical value. In the absence of controlling federal or state law, regulation or guideline, or HUD Publication, and when the HUD Common Rule is not applicable, the following guidelines are established for the retention of the following types of Temporary Records:

1. Administrative Records. The minimum Retention Period for Administrative Records is 2 years. Administrative Records include the following: departmental audit records; community meeting and *event* records; general (non-transitory) correspondence; citizen complaints; equipment records having no potential for significant historical and/or administrative value; expense records; internal reports and studies; inventory lists; membership records; reference materials; training records; employment verifications; employee handbook and orientation materials; employee reasonable accommodation records; recruitment records; certificates of

insurance; draft budget files of the Finance Department; draft 5-year and Annual Agency Plan files; resident newsletters; trip reduction materials; declined funding submissions; agenda mailing list; recordings of public meetings; Public Safety audio, telephone and radio communications; visitor logs; superseded policies and procedures; record retention and disposition files; surplus equipment disposal records; facility request records; and investigation records not recognized as having the potential for significant administrative and/or historical value (as determined herein).

2. **Real Property Records.** The following real property records shall be retained for a minimum of 5 years: material records pertaining to real property in which the AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest; material lease, rental and management records pertaining to real property in which the AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest; asbestos and lead-based paint inspection records; and lead-based paint hazard reduction and remediation activities conducted at site in which AUTHORITY or any of its instrumentalities or affiliates has a legal interest.
3. **Liability Claims Records.** Liability Claims Records shall be retained for a minimum of 5 years, as recommended by the State Archives at p. C-24 of the State Archives Guidelines.
4. **Accounting, Finance, Tax and Payroll Records.** Accounting, Finance, Tax and Payroll Records are often contained within the same file. In order to satisfy the varying minimum Retention Period requirements imposed upon such records, Accounting, Finance, Tax and Payroll Records shall be retained for a minimum of 6 years after audit, which satisfies or exceeds the following applicable rules and regulations:
 - a. The 6-year retention requirement for employee benefit-related records set forth at 29 USC 1027;
 - b. The 5-year retention requirement for HOME financial records set forth at 24 CFR 92.508(c);
 - c. The 4-year retention requirement for CDBG financial records set forth at 24 CFR 85.42 as modified by 24 CFR 570.502(a) (16);
 - d. The 4-year retention requirement for tax records set forth at 26 CFR 31.6001-1e (2);

- e. The 3-year retention requirement for payroll records set forth at 29 CFR 1627.3a and 29 CFR 516.5; and
- f. The 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b).

Accounting, Finance, Tax and Payroll Records include: direct deposit records; payroll accounting records; payroll rate/time records; payroll registers; accounts analysis packet; accounts payable records; backup withholding records; bank files; cancelled check records; the cash management records; journal entries; loan-related records; property site financial and accounting files; petty cash count sheets; general ledger requests; tax records; 1099 forms; insurance billing records; budget adjustment records; and grant-related payment requests.

- 5. **Audit Records.** Official Audit Records of the Finance Department shall be retained for a minimum of 6 years after audit, which is consistent with the 6-year Retention Period assigned to accounting and finance records and which exceeds the 3-year general retention requirement of the HUD Common Rule at 24 CFR 85.42(b). Audit Records include: the annual financial audit package; annual financial audit reports of the independent auditor; and program audit files.
- 6. **Workforce Investment Act (WIA) Records.** WIA records shall be retained for a minimum of 6 years after audit, which exceeds the 3-year retention requirement at 24 CFR 37.39, but is consistent with the retention requirements of other records that are subject to periodic governmental audits and record requests.
- 7. **Information Technology Records.** Service requests and responses maintained by the Information Technologies Department shall be retained until the end of the current year plus 1 year.
- 8. **Employee records commonly retained in Personnel files** shall be retained until 4 years after the employee separates from service. Such Records include: job applications and resumes of successful applicants; pre-employment medical evaluations; background information and fingerprints; personal fidelity bonds; W-4 forms; contracts; salary actions; disciplinary actions; evaluations; personnel action forms; applications for leave including leaves under the Family Medical Leave Act; benefit forms; correspondence and reports related to employees; and wage and hour records used to determine retirement benefits.

9. Fixed Assets. Records pertaining to Fixed Assets shall be retained for a minimum of 2 years beyond the life or ownership of the asset.
10. Debt Collection Records. Debt Collection Records shall be scheduled for periodic review and shall be retained until the end of the 10-year judgment enforcement period plus an additional 10 years or when judgment is satisfied in full plus an additional 10 years, whichever occurs first. Debt Collection Records recognized as having significant administrative or historical value may be retained for a maximum Retention Period of 30 years. Whether a Record has significant administrative or historical value depends upon its function as a business, financial, legal, research or historical Record, and the extent to which the Record is necessary to the AUTHORITY's functioning or continuity. Debt Collection Records include record copies of court judgment; judgment liens and/or tax intercept records; financial statements and bank deposit statements related to monies owed; copies of records documenting the receipt of payments made in satisfaction of the judgment; and copies of applicable repayment or settlement agreements.
11. Environmental Records. Environmental records prepared for construction or development projects in which AUTHORITY, or any of its instrumentalities or affiliates, has a legal interest shall be retained for as long as AUTHORITY or any of its instrumentalities or affiliates maintains a legal interest in the project plus an additional 10 years. Such Records include: negative declarations; environmental site assessments; and environmental impact reports and statements of overriding consideration. Other Environmental Records having the potential for significant historical and/or administrative value (as determined herein), shall be retained until 10 years after project completion.
12. Potentially Significant Records. Temporary Records recognized as having the potential for significant administrative or historical value shall be retained for a minimum of 10 years. Whether a Record has the potential for significant administrative or historical value depends upon its function as a business, financial, legal, research or historical Record, and the extent to which the Record is necessary to the AUTHORITY's functioning or continuity. The following Records are recognized as having the potential for significant administrative or historical value:
 - a. Policies and procedures involving major procedures, policies and standards affecting the AUTHORITY operations, critical functions or issues of public visibility or concern;

- b. Publications, including newsletters, press releases, published reports, bulletins, homepage or other website files, educational or informational program materials prepared by or for the AUTHORITY and containing significant information or substantial evidence of plans and directions for agency activities, or publications containing critical information not found elsewhere in AUTHORITY records;
- c. Litigation case files;
- d. Housing Services management reports (including Rent Collection and Income Review Reports);
- e. Public Housing and Section 8 grievance hearing records;
- f. Portability billing files maintained by Special Programs Operations;
- g. Public Housing Waiting List;
- h. Housing Choice Voucher Owner Monthly Newsletters and Informational Brochures containing significant information or substantial evidence of plans and directions for agency activities, and materials containing critical information not contained in other AUTHORITY records;
- i. Workers Compensation Insurance claims involving future medical payments;
- j. Employee insurance policies and records;
- k. Material records related to the design, construction and development of construction and development projects;
- I. Redevelopment Plan Records;
- m. Documentation of asbestos removal and remediation activities conducted at any site in which the AUTHORITY or any of its instrumentalities or affiliates has a legal interest.
- n. Employee benefits plan documents and contracts;
- o. Investigations conducted by public safety department;

- p. Promotional and public relations materials containing significant information or substantial evidence of plans and directions for agency activities, and materials containing critical information not contained in other AUTHORITY records; and
 - q. Arrest and Incident Reports, except that where warranted for historical and/or administrative purposes, such Records may be retained for up to 50 years or until such Reports are placed on a database accessible to law enforcement, whichever comes first.
13. Records with Demonstrated Significant Administrative or Historical Value. The following Temporary Records are recognized as having demonstrated significant administrative, legal, fiscal or historical value and shall be retained for a minimum of 20 years:
- a. Annual Contributions Contracts;
 - b. Payment in Lieu of Taxes Agreements;
 - c. Adopted Budget;
 - d. Housing Choice Voucher Administrative Plan;
 - e. Five 5-year and Annual Agency Plan;
 - f. Interagency/Intergovernmental Agreements; and
 - g. Utility Allowance Schedules.
- C. Permanent Records. Permanent Records are recognized as having extraordinary administrative, legal, fiscal or historical value. The following Permanent Records are ineligible for Disposition unless they are copied to an appropriate electronic format or placed on an optical imaging system under procedures developed by the Records Official to ensure the integrity, accuracy, and reliability of the image:
- 1. Cases filed by the AUTHORITY against applicants and residents concerning allegations of fraud or misreporting of income;
 - 2. Housing Choice Voucher Master Waiting List Activity Files;
 - 3. Housing Choice Voucher Vacated Participant-Do Not Re-admit Files;
 - 4. Housing Choice Voucher Administrative Hearing Records;

5. Repayment and Settlement Agreements;
 6. Approved Board Resolutions and Minutes;
 7. Annual Contributions Contracts for Public Housing between AUTHORITY and HUD and related HUD-filed forms and computations;
 8. Payment in Lieu of Taxes between AUTHORITY and the City of Merced and related HUD-filed forms and computations; and
 9. Commission Agenda Materials including regular and special public meeting agendas, Board reports, and records distributed to the Commission or otherwise submitted into the record during a public meeting.
- D. Exceptions. With consultation with legal counsel, may approve exceptions to the Retention Periods set forth in the Record Schedule. In making his or her determination concerning the exception, the Records Official shall be guided by the Record's legal, fiscal, administrative, and historical value weighed against the cost of storing and retrieving the Record.

IX. TRANSFER OF DATA TO ELECTRONIC RECORDS

- A. Replacing Original Records with Electronic Records. Electronic Records may replace paper originals or micrographic copies of Records pursuant to policies, procedures and guidelines developed by the Records Official in accordance with this Policy.
- B. Policies, Procedures and Guidelines. The Records Official shall develop policies, procedures and guidelines that ensure the integrity, accuracy, and reliability of Electronic Records and to ensure the ability to index, store, preserve, retrieve, and reproduce all Electronic Records.
- C. Imaged Files as Originals. Imaged Files or other electronic reproduction of Records shall be deemed to be an original Record and the corresponding paper Record may be destroyed upon a determination by the Department of Record's director, department head, manager or supervisor, under the policies, procedures and guidelines developed by the Records Official, that the Record's conversion meets the following criteria:
 1. The Record was Imaged or recorded on a medium that is a trusted system and does not permit additions, deletions or changes to the original Record;
 2. The device used to reproduce the Record on the medium is one that accurately and legibly reproduces the original thereof in all

details and does not permit additions, deletions, or changes to the original Record image;

3. The Imaged or reproduced Record is as accessible for public reference as the paper Record was; and
 4. A true copy of archival quality of the reproduction medium is kept in a safe and separate place for security purposes.
- D. Information Systems. The AUTHORITY shall ensure that Electronic Records are not rendered unusable because of changing technology before their retention and preservation requirements are met by ensuring that retention requirements are incorporated into any plan and process for; the design, redesign or substantial enhancement of an information system that stores Electronic Records.

X. STORAGE OF RECORDS

- A. Policies, Procedures and Guidelines. The Records Official shall develop policies, procedures and guidelines for the storage of Records, which shall ensure access to and the integrity, confidentiality (when warranted), authenticity and legibility of the stored Records.
- B. Location. Records to be retained shall be stored either on-site or off-site by an approved document storage company.
- C. Responsibilities.
1. The Records Official shall be responsible for coordinating the transfer of Records to storage and maintaining a detailed current inventory of all stored Records.
 2. Directors, department heads, managers and supervisors shall be responsible for the storage and preservation of Records for which their department is designated as the Department of Record and shall take into account and abide by all applicable confidentiality, safety, security or other such storage/access requirements related to the safeguard of stored Records and their contents.
- D. Identification. Stored Records shall be inventoried, boxed and clearly labeled, including a final Disposition date or Permanent retention designation.

XI. DISPOSITION OF RECORDS

- A. Policies, Procedures and Guidelines. The Records Official shall develop policies, procedures and guidelines which shall ensure the timely and

proper Disposition of Records in accordance with applicable laws, regulations, guidelines, policies and procedures, the terms and conditions of any grant award or contract, this Policy and the Record Schedule.

- B. Eligibility. Records become eligible for Disposition once they have met the retention requirements specified in the Record Schedule, or when exception is made by the Records Official pursuant to Part VIII above.
- C. Method of Disposition. The Disposition of any Record as provided for herein shall be by disposal, recycling, shredding or other effective method of destruction, as approved by the Records Official. All Records of a sensitive or confidential nature shall be shredded under the direct supervision of the Records Official or his or her designee, or the department head.
- D. Review of Disposition List. Prior to the Disposition of any Record, a department's disposition list of Obsolete Records shall be reviewed by the department head to ensure that nothing on the disposition list was entered in error.
- E. Retention of Disposition Records. Disposition Records and superseded Record Schedules shall be retained until superseded plus an additional 2 years.

XII. DISASTER PREVENTION; DAMAGED RECORDS RECOVERY POLICY

- A. Protection of Records. The following administrative guidelines afford the AUTHORITY the most efficient and cost effective method for protecting Records:
 - 1. To prevent damage, Records should not be stored in loose stacks on desks or on top of file cabinets, near water pipes, air conditioning units or near a heat source. To the extent possible, records should be stored in file cabinets or in file drawers inside desks, or in record storage boxes on shelves off the floor.
 - 2. File cabinets and record storage boxes should be properly labeled and an inventory of Records and storage locations maintained.
 - 3. In the event Records are damaged, employees should assess the damage, perform recovery procedures, and when necessary, report Records that are unrecoverable to the Records Official.
 - 4. Records documenting the destruction of damaged Records that could not be recovered shall be retained for at least 3 years.

- B. Policies, Procedures and Guidelines. The Records Official may develop such policies, procedures and guidelines as are necessary to ensure the protection of Records from natural and man-made disasters and for the recovery of Records following such events.

XIII. AMENDMENTS TO POLICY AND RECORD SCHEDULE

- A. Policy Amendments. Substantive amendments to this Policy shall require approval of the Board.
- B. Record Retention Schedule Amendments. The Records Official, in consultation with legal counsel, shall have the authority to approve amendments to the Record Schedule. All future amendments to the Record Schedule shall be retained with the official Record copy of this Policy.

STAFF REPORT

TO: Board of Commissioners,
Housing Authority of the County of Merced

FROM: David G. Ritchie, General Counsel

DATE: November 21, 2017

SUBJECT: Action Item 20117-A-03: Consideration to form an ad-hoc committee for the limited purpose of considering recommendations in furtherance of refunding or restructuring existing HACM bond debt; and appoint two members of the Board of Commissioners, with a third as alternate to serve on the Ad-Hoc committee.

The Board decision relating to entering into a municipal advising agreement (MA Agreement) creates a need for staff to work with the municipal advisor on policy-related issues such as fiscal controls and updating finance department policies to be current with State law. Staff believes it is advisable to have two Board members also participate at critical points in the discussions with the municipal advisors so that issues likely to be of interest to the Board from a policy-making point of view may be more immediately available to staff as recommendations form into proposed policies or resolution items for consideration by the full board.

The ad-hoc committee would be created solely for the limited purpose of working with staff and the municipal advisors on bond refunding options and strategies for the agency. The ad-hoc committee is not a decision-making panel, rather it provides recommendations to the full board following their participation in direct discussions about bond refunding or restructuring; and feedback to staff and the municipal advisor as those recommendations are formed to assist in completeness and clarity of the presentations to the full Board.

RECOMMENDATION

It is recommended that the Board of Commissioners of the Housing Authority of the County of Merced determine it is appropriate to create an ad-hoc committee to study recommendations relating to refunding or restructuring of HACM bond debt, and to appoint two board members, with a third serving as an alternate, to serve on the ad-hoc committee.

ALTERNATIVES

The Board could choose not to create an ad-hoc committee or not to appoint, in which case, staff would work separately with municipal advisors to assess recommendations about refunding or restructuring bond debt and other related activities of HACM.

ATTACHMENTS:

None