



Housing Authority of the County of Stanislaus

...also serving Alpine ▪ Amador ▪ Calaveras ▪ Inyo ▪ Mariposa ▪ Mono ▪ Tuolumne Counties.

Date: December 2, 2016
To: Board of Commissioners
From: Barbara Kauss, Executive Director
Subject: Amendment to Records Retention Policy
Prepared By: Scott Fitzgerald, Director of Asset Management
Resolution No. 16-17-02

Background

Periodically, policies and procedures are reviewed to ensure that practices followed are within governing program guidelines and regulations. Through this process, it was determined that the Records Retention Policy was due for updates and staff is recommending that the attached Policy be adopted by the Board of Commissioners for implementation.

Discussion

The attached Records Retention Policy has been updated to adopt additional categories and more thoroughly defined timeframes for records retention. While completing this review, staff identified categories of files which have been retained for much longer periods of time than required by program regulations. This results in the Authority utilizing excessive storage resulting in significant costs. Implementation of this policy will substantially reduce the number of files in storage having a direct impact on the cost for this service.

In addition to the adoption of this policy, staff is researching alternate methods of long term records retention including electronic storage where allowable and the use of an empty building on the Patterson site for physical file storage. Recent updates to the IT System's servers previously approved by the Board of Commissioners will accommodate the additional electronic storage and minor renovation of the empty building can accommodate much of the physical storage.

Following this process, staff will be developing automated procedures with the intent to increase efficiency and reduce costs. Processes will include on-line applications for housing programs and electronic transfer of funds to issue landlord and vendor payments and receive rent payments from residents.

Financial Impact:

The initial financial impact is undetermined at this point; however, it is projected that the proposed changes will provide long term annual cost savings of approximately \$20,000 in records storage and potentially up to \$20,000.00 in stationary supplies.



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Attachments:

Records Retention Policy



HOUSING AUTHORITY OF THE COUNTY OF STANISLAUS

RECORDS RETENTION POLICY

ADMINISTRATION

All records, papers and documents of the Housing Authority of the County of Stanislaus may be disposed of in compliance with the Agency retention policy, unless the record, paper or documents is otherwise controlled by a provision of the following policy:

DESCRIPTION

DISPOSITION

Contracts with governmental bodies (Federal, State, County, City and other public agencies), including Annual Contributions Cooperation Agreements, etc.

Not to be disposed of

Contracts with furnishers of utilities

Not to be disposed of

Contracts for financial assistance with HUD

Not to be disposed of

Minutes of Commission Meetings and Index to Meetings

Not to be disposed of

Land purchased- deeds, polices of title Insurance, surveys escrow statements

30 years after property has no Affiliation with, relation to, or Ownership of the HACS or any Related entities.

Housing Authority Statement of Policies

Four years after super-ceded

Annual Reports

Not to be disposed of

Collective Bargaining Agreements

Four years after super-ceded

ACCOUNTING/FISCAL

DESCRIPTION

DISPOSITION

Cash Receipts, Deposit Slips (Rent, Security Deposit, Other Income, etc.), Adjustment Slips

Four years after transaction audited

Rent Roll Control and Analysis of Dwelling Rent Charges	Five years after audited
Request of Refund of Security Deposit and Unearned Rent	Five years after audited
Schedule of Tenants Accounts Receivable	Two years after audited
Tenant Accounts Receivables and Security Deposit Ledger	Dispose 3 years after audit for accounts with zero balance or where the claims amount is \$25 or less. For claims amounting to more than \$25, dispose after conclusion of the Case.
Sub-Ledgers; Income, Expense, Cash Receipts and Cash Disbursements Registers	Ten years after audited
Voucher Copies of Checks and Supporting Documents	Six years after audited
Bank Statements and Reconciliations	Six years after audited
Petty Cash Vouchers	Four years after audited
Internal Revenue Service (IRS) 1098's and 1099's	Eight years after audited
Financial Reports to HUD, other Governmental agencies, or owners	Eight years after audited
PILOT – Records relating to payments made In lieu of taxes and other documents supporting payments	Not to be disposed of
Audit Reports	Not to be disposed of
General Ledgers	Transfer to storage after three years. Not to be disposed of
Journal Vouchers and Journal Vouchers Backup material	Transfer to storage after three Not to be disposed of
Budgets	Ten years after audited
Fiscal agent agreements: General Depository Agreements; Savings	

Depository Agreements	Not to be disposed of
HUD Annual Contribution Contract (ACC), including Amendments, Waivers & Related Correspondence	Not to be disposed of
Final Development Cost Certificates for Construction and /or modernization	Not to be disposed of
Permanent Notes- HUD or other; Property long-term notes	Not to be disposed of
Tax Credit Financial Information	Not to be disposed of
Insurance policies, insurance registers	Five years after expired
Investment registers	Four years after expired
Certificates of cremation of bonds and Interest coupons	Not to be disposed of
Temporary (Project) Notes-HUD or Non-HUD- records on PH's or Consolidated note sales	Four years after maturity

CLAIMS OR LAWSUITS BY AND/OR AGAINST THE HOUSING AUTHORITY

DESCRIPTION

DISPOSITION

Reports on all accidents involving Authority	Five years after day of accident
Claims filed against the Authority and All action taken as a result thereof, including The final disposition	Five years after date of presentation of claim
Releases of claims, acknowledgment of Satisfaction of judgment, etc., regarding Claims against the Authority	Ten years after the release or satisfaction

CONSTRUCTION/MODERNIZATION

DESCRIPTION

DISPOSITION

Contract documents and Specifications,
Including all bids received, executed
Contract and required contractor
Bonds, and all addenda and / or change
Orders and record of all payments made
Under contract:

- Final contract amount of \$300,000.00
or more
- Final contract amount under
\$300,000.00

Not to be disposed of

Seven years after completion

Contractors payrolls and inspection
Reports

Seven years after completion

As-built drawings on new construction
and modernization

Not to be disposed of

Warranties on materials or equipment

Two years beyond expiration

Successful-Bids, RFQ's, RFP's, IFB's etc.,

Audit plus 7 years after completion

Labor Compliance Documents

Seven Years after completion

Labor Compliance Reports

Not to be disposed of

Purchase Orders

Audit plus 4 years

Unsuccessful RFQ's, RFP's and IFB's
List of Proposers and Bidders

Seven Years after completion

Unsuccessful RFQ's, RFP's and IFB's

Seven Years after completion

Vendor Register

Not to be disposed of

CONTRACTS-MISCELLANEOUS

DESCRIPTION

DISPOSITION

Services-janitorial, etc.

Five years after exp.

Leases of property

Five years after exp.

Professional services

Five years after exp.

Purchase of materials

Five years after exp.

Rental Assistance or other subsidy

Four years after audit

PROPERTY

DESCRIPTION

DISPOSITION

Nonexpendable equipment records

Four years after item
Disposed of

Records of expendable equipment,
Materials, and supplies (includes
Purchase orders, requisitions,
Inventories)

Four year after audit

Inventory report

Four years after audit

Service records on equipment

Four years after service

PERSONNEL/ PAYROLL

DESCRIPTION

DISPOSITION

Personnel records of individual
Employees

Not to be disposed of

Attendance records (time sheets Of cards)	Six years after audit
Unsuccessful applications for Employment	Three years after close of employment announcement
Payroll taxes	Eight years after audit
W-2 forms	Eight years after employment terminated or form superseded
Payroll Adjustments	4 years after audit
PERS Employees Deduction Reports	Employment Term plus 4 years
Payroll Register	Not to be disposed of
Salary Records	Employment Term plus 3 years
Employee Background Check Results and Authorization Forms	Close plus 7 years
Employment Contracts	Close plus 7 years
Employee Rights	Termination plus 2 years
Labor Relations Records	Employment Term plus 7 years
Labor Negotiations	Not to be disposed of
Policies	Superseded plus 2 years
Safety	Current plus 3 years
Surveys and Study's	Current plus 2 years
Training Records	Current plus 7 years
Workers Compensation	Not to be disposed of

Deferred Compensation

Termination plus 5 years

RISK MANAGEMENT

DESCRIPTION

DISPOSITION

Accident Reports

Closed plus 7 years

Claims- Damage

Closed plus 5 years

Incident Reports

Closed plus 7 years

Insurance Joint Powers Agreements

Not to be disposed of

Insurance Certificates

Not to be disposed of

Insurance Liability Property

Not to be disposed of

Insurance Workers Compensation

Not to be disposed of

Risk Management Reports

Current years plus 5 years

ELIGIBILITY AND OCCUPANCY

DESCRIPTION

DISPOSITION

Withdrawn and ineligible
Applications-conventional programs

One year after so classified

Withdrawn and ineligible applications
Housing Choice Voucher

One year after so classified

Existing Term of an Assisted Lease-Public
Housing HUD Form 50058, Family Self
Sufficiency (FSS) Addendum and all supporting
Documentation

3 years from the effective
date of lease

End of Participation- Public Housing
All documents

3 years from the end of
Participation effective date

Existing Term of an Assisted Lease- Housing
Choice Voucher HUD Form 50058, Family
Self Sufficiency (FSS) Addendum and
all supporting documentation

3 years from effective date of lease

End of Participation – Housing Choice
Voucher (HCV) All documentation

3 years from the End of the
Participation effective date

Enterprise Income Verification (EIV)
Report

For duration of a lease tenancy

MISCELLANEOUS

DESCRIPTION

DISPOSITION

Work orders, service requests
by tenants

Two years after completed

General correspondence and reports

Five years

Preliminary drafts of agreements,
Contracts and other documents

Five years after completion of
transaction

DEVELOPMENT PERIOD

DESCRIPTION

DISPOSITION

Land-Offers, options, preliminary
Title reports preliminary to purchase

of real property

Five years after actual purchase

Development period temporary
Financing

Five years after end of initial operating
Period.

DRAFT

RESOLUTION NO. 16-17-02

RESOLUTION APPROVING THE HOUSING AUTHORITY OF THE COUNTY OF STANISLAUS REVISION OF THE RECORDS RETENTION POLICY

WHEREAS, the Housing Authority of the County of Stanislaus has prepared a revision to its Records Retention Policy, and

WHEREAS, the Board of Commissioners did review the policy and provide input into the policy in the form of its own recommendations,

NOW, THEREFORE, BE IT RESOLVED, by the Commissioners of the Housing Authority of the County of Stanislaus, that

1. The adoption of the proposed Records Retention Policy is hereby approved, and
2. The Executive Director is authorized to implement the Plan, and
3. This resolution shall take effect immediately.

DULY AND REGULARLY ADOPTED by the Board of Commissioners of the Housing Authority of the County of Stanislaus this 8th day of December, 2016.

On motion of Commissioner _____, seconded by Commissioner _____, and on the following roll call vote:

AYES:

NAYS:

ABSENT:

Approved: _____
Chairman

Attest: _____
Secretary