U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Administration

Special Attention of:

Headquarters Records Management Liaison Officers
Field Office Records Management Liaison Officers

Transmittal for Handbook No: 2225.6 REV-1 CHG - 55

Issued: January 30, 2004

1. **This Transmits:** Change 55 of Handbook 2225.6, REV-1, CHG-55, HUD Records Disposition Schedules, Schedule 12, Office of Multifamily Housing Assistance Restructuring, (OMHAR) program records.

2. **Summary:** Items 1 thru 15 are being added to the handbook to provide descriptions and disposition instructions for the program records of the Office of Multifamily Housing Assistance Restructuring, (OMHAR). These descriptions and disposition instructions were approved by the National Archives and Records Administration, (NARA), on December 1, 2003, NARA Job Number N1-207-03-1.

3. **Filing Instructions:**

Remove:	Insert:
None	Appendix 12, CHG-55, pages 1-10, dated 12/03

Distribution: W-3-1 (Special Direct by AJADR)

RECORDS DISPOSITION SCHEDULE 12

OFFICE OF MULTIFAMILY HOUSING ASSISTANCE RESTRUCTURING

The Office of Multifamily Housing Assistance Restructuring (OMHAR), was established October 27, 1997, by the Multifamily Assisted Housing Reform and Affordability Act of 1997 (the Act).

The position of Director of OMHAR terminates October 1, 2004, along with the restructuring authorities in the Act, resulting in the termination of this Office by September 30, 2004. Upon termination, any OMHAR authority and responsibilities that remain applicable are transferred to the Secretary of the Department of Housing and Urban Development (HUD).

OMHAR is responsible for executing the restructuring of expiring Section 8 contracts and Federal Housing Administration (FHA) insured mortgages supported by Section 8 assistance. This Office oversees mortgage restructuring processes performed by Participating Administrative Entities (PAEs) under contract to OMHAR. OMHAR is also responsible for ensuring compliance with relevant laws and statutes and periodically reporting to the Secretary of HUD and to the Congress of the United States.

Item No.	Description of Records	Disposition
1.	**Program Subject Files, 1997-Present.** Subject files containing Director's speeches given before Congress, conferences or other functions relating to OMHAR Program; correspondence; staff or other meeting notes, minutes, or agenda; briefing materials; program decisions and or recommendations; and other materials with substantive program and policy developmental data. Volume: 7 cubic feet. Estimated annual accumulation: 2 cubic feet.	**PERMANENT.** Cut off at end of calendar year. Retire to Federal Records Center three years after cutoff, or one year after incumbent leaves office, whichever is sooner. Transfer to the National Archives five years after cutoff or three years after incumbent leaves office, whichever is sooner. (NARA Job No. N1-207-03-1, item 1).
2.	**Program Chron File, 1997-Present.** Contains copies of outgoing correspondence. Arranged chronologically by date of issuance. Volume: ½ cubic foot. Estimated annual accumulation: ¼ cubic foot.	**Temporary.** Cut off at end of calendar year. Destroy three years after cutoff. (N1-207-03-1, item 2)

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Item No.	Description of Records	Disposition
3.	**Policy Files, 1997-Present.** Contains directives, policy issuance memoranda with signatures, procedures, Frequently Asked Questions, guidelines, manuals, and related materials. Volume: 5 cubic feet. Estimated annual accumulation: 1 cubic foot.	
	a. Record Copy. Official policy and procedural issuances and reissuances. Arranged chronologically.	**PERMANENT.** Cut off file when policy is superseded or cancelled. Retain in 5-year block. Transfer 5-year block to the National Archives when oldest record in block is six years old. (NARA Job No. N1-207-03-1, item 3a).
	b. Distribution Copies. Contains all other copies.	**Temporary.** Cut off file when policy is superseded or cancelled. Delete or destroy three years after cutoff or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 3b).
4.	**PUBLICATIONS. Dates 1998 to Present:** Contains manuals, booklets, pamphlets, brochures, or information papers for public distribution. NOTE: Consider Website publications and distribution text. Volume: ½ cubic feet. Estimated annual accumulation: ¼ cubic foot.	
	a. Record Copy. Official copy of publication or distribution text (if not published). Arranged chronologically.	**PERMANENT.** Cut off file at end of calendar year. Retain in a 5-year block. Transfer 5-year block to the National Archives when oldest record in block is six years old. (NARA Job No. N1-207-03-1, item 4a).
	b. Distribution Copies. Contains all other copies.	**Temporary.** Cut off at end of calendar year. Delete or destroy three years after cutoff or when superseded, obsolete, or no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 4b).

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Item No.	Description of Record	Disposition
	c. Publication Developmental Files. Working papers containing drafts, notes, data contributing reports or summaries, and related materials.	**Temporary.** Cut off at end of calendar year in which the publication was finalized and/or published. Destroy three years after cutoff or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 4c).
	5. Reports and Studies. Dates: 1997 to Present. Contains Reports to Congress; Annual Reports; contracted final reports or studies regarding volume of restructuring, showing regional activity, or other program activity. Volume: 1 cubic feet. Estimated annual accumulation: 1/3 Cubic feet per year.	
	a. Record Copy. Official copy of reports and studies. Arranged chronologically.	**PERMANENT.** Cut off file at end of calendar year. Retain in a 5-year block. Transfer to the National Archives when oldest record in block is six years old. (NARA Job No. N1-207-03-1, item 5a).
	b. Distribution Copies. Contains all other copies.	**Temporary.** Cut off at end of calendar year. Delete or destroy three years after cutoff or when superseded, obsolete, or no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 5b).
	c. Reports and Studies Developmental Files. Working papers containing drafts, notes, data contributing reports or summaries, and related materials.	**Temporary.** Cut off at end of calendar year in which the report/study was finalized or published. Destroy three years after cutoff or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 5c).

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Item No.	Description of Records	Disposition
6.	**PAE Contract Files.** Contract drafts supplied by OMHAR. May include copies of Form 2.13 (Asset Payment Authorization); Forms 2.14 A&B (Asset Specific and Non Asset Specific Invoice); Form 2.15 (Request for Waiver); Forms 2.16 (Change of Asset Status). Also contains OMHAR requests for revisions, Notices from PAEs, appeals, regional decisions, and related materials.	
	a. Unsuccessful Applications.	**Temporary.** Cut off at end of calendar year. Retire to records center one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-03-1, item 6a).
	b. Record Copy. Official case files created and maintained in the regional offices. Arranged alphabetically by name of PAE. Volume: 1500 cubic feet. Estimated annual accumulation: 250 cubic feet.	**Temporary.** Cut off at end of calendar year in which contract is closed or terminated. Retire to record center one year after cutoff. Destroy six years and three months after cut off. (NARA Job No. N1-207-03-1 item 6b).
	c. Headquarter Copy. Reference copy kept at Headquarters. Assets assigned pursuant to contract. Arranged by State. Volume: 10 cubic feet. Estimated annual accumulation: 6 cubic feet.	**Temporary.** Cut off at end of calendar year in which contract is closed or terminated. Destroy one year after cutoff. (NARA Job No. N1-207-03-1, item 6c).
7.	**PAE Contract Appeals Files.** Contains correspondence, review materials, regional and/or headquarters level decisions, and related materials.	

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	a. Judicial Review Files.	**Temporary.** Cut off at end of calendar year in which file is closed. Retire to the records center one year after cutoff. Destroy six years and three months after cutoff. (NARA Job No. N1-207-03-1, item 7a).
	b. **Other Copies.** Working Papers or reference copies.	**Temporary.** Cut off at end of calendar year in which file is closed. Retire to the records center one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-03-1, item 7b).
	8. **Asset Files. 1999 to Present.** Case files for each multifamily housing building prior to starting the restructuring process. Contains copy of owner's selection on attachment 4 to HUD Notices 99-36 or 98-34, correspondence, financial statements, and other related materials. Volume: 75 cubic feet. Estimated annual accumulation: 35 cubic feet.	
	a. **Record Copy.** Official case file created and maintained at Headquarters.	**Temporary.** Cut off at end of calendar year in which the case file is concluded or terminated. Retire to the records center one year after cut off. Destroy eight years after cutoff. (NARA Job No. N1-207-03-1, item 8a).
	b. **All other Copies.**	**Temporary.** Cut off at end of calendar year in which the case file is closed. Destroy one year after cutoff. (NARA Job No. N1-207-03-1, item 8b).
	9. **Grant Files. Dates 1997 to Present.** Contains case files for Intermediary Technical Assistance Grants (ITAG) for Intermediaries to administer the technical assistance program nationally and the Outreach and Training Grants (OTAG) for organizing and training	

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Item No.	Description of Records	Disposition
	tenants in the Mark-to-Market Restructuring Process. Files include applications, agreements, correspondence, periodic and progress reports, budget allocation and expenditure, and other related materials. Arranged alphabetically by name of grantee. Volume: 6 cubic feet. Estimated annual accumulation: 3 cubic feet.	
	a. **Unsuccessful Applications.**	**Temporary.** Cut off at end of fiscal year in which grants were awarded. Retire to records center one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-03-1, item 9a).
	b. **Record Copy.** Official case file created and maintained at Headquarters.	**Temporary.** Cut off at end of fiscal year in which grant file is closed. Retire to the Federal Record Center one year after cutoff. Destroy six years and three months after cutoff. (NARA Job No. N1-207-03-1, item 9b).
	c. **All other copies.**	**Temporary.** Cut off at end of calendar year in which case file is concluded or terminated. Destroy one year after cutoff. (NARA Job No. N1-207-03-1, item 9c).

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10.	**Training Records. Dates 1999 to Present.** Contains agenda, outlines/syllabuses, talking points, overhead/slide text, course handouts, exercises and other related materials for program related training created by OMHAR and/or the ITAGs/OTAGs. Note: Does not include administrative support training. Volume: 3 Cubic feet. Estimated annual accumulation: 0 cubic feet.	
	a. Record Copy. Master copy of program related training materials.	**PERMANENT.** Cut off at end of calendar year in which training materials were created. Retain in 5-year block. Transfer to the National Archives when oldest record in block is six years old. (NARA Job No. N1-207-03-1, item 10a).
	b. All other copies. Distribution, informational, or reference copies.	**Temporary.** Cut off at end of calendar year in which materials were finalized or distributed. Destroy three years after cutoff or when no longer needed for administrative, fiscal, legal or reference purposes, whichever is sooner. (NARA Job No. N1-207-03-1, item 10b).
	c. Training Courses Developmental Files. Working papers containing drafts, notes, data contributing reports or summaries, and related materials.	**Temporary.** Cut off at end of calendar year in which the training materials were finalized and/or published. Destroy one year after cut off or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 10c).
11.	**PAE Voucher File, 1999 to Present.** Contains case files for the PAE vouchers for each Mark-to-Market asset. PAE voucher files include the vouchers (Forms 2.14A or Forms 2.14B (Asset Specific and Non Asset Specific Invoice), supporting documentation (receipts,	

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	invoices, M2M critical dates, waivers and e-mails) to the vouchers, notification of payment to the PAEs, receipts of faxes sent to OMHAR regional offices and the PAEs, letters to cash management (CCARS) requesting payment to PAEs, invoice approval form for contract/purchase order, cash management transmittal, and schedule of payments tracking list. The voucher files are arranged by PAE and then alphabetically by asset name. Volume: 150 cubic feet. Estimated annual accumulation: 75 cubic feet.	
	a. Record Copy. Official case files created by OMHAR regional offices and Headquarter and maintained at Headquarters.	**Temporary.** Cut off at end of calendar year in which PAE receives last payment. Retire to records center two years after cutoff. Destroy six years and three months after cutoff. (NARA Job No. N1-207-03-1, item 11a).
	b. All other copies. Informational copies or working papers.	**Temporary.** Cut off at end of calendar year in which PAE receives last payment. Destroy one year after cutoff or when no longer needed for administrative, fiscal, legal or reference purposes, whichever is sooner. (NARA Job No. N1-207-03-1, item 11b).
12.	**Staff Working Files.** Contains working staff working papers, notes, drafts, reference materials, and other related materials for various projects.	**Temporary.** Cutoff at end of calendar year in which related projects/tasks are completed. Destroy five years after cutoff or when no longer needed for administrative, fiscal, legal or reference purposes, whichever is sooner. (NARA Job No. N1-207-03-1, item 12).
13.	**M2M MIS Data Base. 1999 to Present.** The Mark-to-Market Management Information System (M2M MIS) was designed to track properties assigned to PAEs, and to analyze, monitor and report on the transactions relative	

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	to the renewal of expiring Section 8 contracts entered into M2M Program. This system allows for data collection as an on-line HUD web application; tracks critical dates within the M2M process for properties; has monitoring and auditing tools; PAE management on-line report submissions; and generates various reports for M2M Program management.	
	a. Inputs. Includes web-based user interface for direct input to update information within the data bases and tracking function.	**Temporary.** Delete after web-based electronic form is superseded or becomes obsolete. (NARA Job No. N1-207-03-1, item 13a).
	b. Master Data Files. Data elements with unit of analysis the case file for each property.	**Temporary.** Cut off data files when case is concluded or terminated and move to system archives. Delete or destroy when data is no longer needed for administrative, fiscal, legal, or reference purposes or when eight years old, whichever is sooner. (NARA Job No. N1-207-03-1, item 13b).
	c. Documentation. Includes codebooks, system developmental files, system and file specifications, user manuals or textbooks, and any other related documentation regardless of media.	**Temporary.** Delete or destroy when superseded, obsolete, or no longer needed for reference purposes or when eight years old, whichever is sooner. (NARA Job No. N1-207-03-1, item 13c).
	d. Outputs. Includes periodic statistical summaries and M2M Program management reports; and tracking reports, regardless of media.	**Temporary.** Destroy or delete when a file copy is generated and filed with appropriate series, or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-03-1, item 13d).
	e. Backups. Includes periodic copying of system content for emergency purposes.	**Temporary.** Delete when updated or superseded. (NARA Job No. N1-207-03-1, item 13e).

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14.	**Internet Website Records.** Information Distribution Pages. Contains electronic copies/versions of forms, correspondence, list of grantees, list of PAEs, publications, and other related dissemination materials. (NOTE: Record copy is the paper version maintained in the appropriate file series.)	**Temporary.** Delete when updated or superseded. (NARA Job No. N1-207-03-1, item 14).
15.	**Electronic Copies.** Electronic version records created by electronic mail and/or word processing applications for the series contained in this schedule.	
	a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy.	**Temporary.** Delete within 180 days after the record-keeping copy has been produced. (NARA Job No. N1-207-03-1, item 15a.)
	b. Copies used for the dissemination, revision, or updating is complete.	**Temporary.** Delete when dissemination, revision, or updating is complete. (NARA Job No. N1-207-03-1, item 15b.)