

RECORDS DISPOSITION SCHEDULE 10

RECORDS RELATING TO MULTIFAMILY INSURED PROGRAMS

This schedule provides disposition instructions for Headquarters records produced as a result of HUD's subsidized and unsubsidized multifamily insured programs. The instructions pertain to Headquarters multifamily administrative, management and operational records, and include records relating to such special programs as rent supplement, cooperatives, condominiums, hospitals, nursing homes, and medical practice facilities. Multifamily Field Office records are covered in Records Disposition Schedule 1, Field Office Records.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
1.	General subject correspondence pertaining to the administration and management of the production phase of all multifamily insured programs.	Break files annually. Destroy when 3 years old. (NARA Job NC1-207-78-12, item 1)
2.	Chronological files pertaining to the administration and management of the production phase of all multifamily insured programs.	Break files annually. Destroy when 3 years old. (NARA Job NC1-207-78-12, item 2)
3.	General administrative reference files, including copies of personnel, travel, and general housekeeping records.	Use applicable General Records Schedules.
4.	Correspondence and reports relating to specific projects. Materials include and pertain to applications, project selection, processing, and mortgage servicing activities.	
a.	Where a long term obligation of the Government is created by endorsement, contract, or otherwise.	Transfer all records on the specific project to the Headquarters project mortgage servicing file. See Schedule 10, item 7. (NARA Job NC1-207-78-12, item 4a)
b.	Where no long term obligation of the Government is created to require servicing, as when an application is withdrawn or a commitment denied.	Destroy 6 years after date of last entry. (NARA Job NC1-207-78-12, item 4b)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
5.	General subject correspondence pertaining to the administration and management of all aspects of multifamily mortgage servicing.	Break files annually. Destroy when 3 years old. (NARA Job NC1-207-78-12, item 5)
6.	Chronological files pertaining to the administration and management of all aspects of multifamily mortgage servicing.	Break files annually. Destroy when 3 years old. (NARA Job NC1-207-78-12, item 6)
7.	Project Mortgage Servicing Correspondence Docket. Duplicate files are maintained in Headquarters and in the respective servicing Field Office for each multifamily project. Each file chronologically documents each project's history from inception through the performance of any mortgage covenants, and adherence to any regulatory agreements, applicable laws, and Departmental regulations. Included are underwriting and processing forms, rent schedules, annual inspection reviews on maintenance, management reports, default notices, modification agreements, and other data. The files are active for the life of the mortgage, which can be as long as 40 years.	Retire to Federal Records Center at close of fiscal year in which the Secretary ceases to have any liability and/or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the project. (NARA Job NC1-207-78-12, item 7)
8.	Washington (Legal) Docket. The docket contains application, contract, title, mortgage, corporate and fiscal sections, and the forms and documents in each section are arranged in accordance with FHA Form No. 2471, Contents of Washington Docket.	Retire to Federal Records Center at close of fiscal year in which the Secretary ceases to have any liability and/or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the project. (NARA Job NC1-207-78-12, item 8)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
9.	Headquarters copies of financial statements on multifamily projects. Files contain financial statements pertaining to the operations of the mortgagor corporations having FHA-insured mortgages under various project mortgage insurance programs where provisions of the charter or regulatory agreement provide for the submission of such statements to HUD.	Screen files upon receipt of current financial statement, and destroy any statements that are more than 6 years old. Merge with Project Mortgage Servicing Correspondence Docket and Washington (Legal) Docket. See items 7 and 8 of the Schedule. (NARA Job NC1-207-78-12, item 9)
10.	Multifamily Default System. This major, cumulative loan management machine readable system tracks projects acquired by HUD or which involve a mortgage assigned to HUD or an insured mortgage in default. The system provides an automated data base for the preparation of management and statistical reports.	
	a. System master file.	Apply provisions of General Records Schedule 20. First generation data may be disposed of after fourth successful update. (NARA Job NC1-207-78-12, item 10a)
	b. System output reports.	
	(1) Copies maintained by system sponsor.	Destroy when no longer needed, or when 2 years old, whichever occurs first. (NARA Job NC1-207-78-12, item 10b(1))
	(2) All other distributed copies.	Destroy when superseded or obsolete, or after fourth successful update, whichever occurs first. (NARA Job NC1-207-78-12, item 10b(2))

APPENDIX 10

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
11.	Multifamily Early Warning System (MEWS). This machine readable system assists in identifying subsidized multifamily housing projects which may be headed for default. Using data collected monthly from the project managers, the system compares occupancy and several financial indicators with pre-established norms.	
a.	System master file.	Apply provisions of General Records Schedule 20. First generation data may be disposed of after fourth successful update. (NARA Job NC1-207-78-12, item 11a)
b.	System output reports.	Destroy after third successful update. (NARA Job NC1-207-78-12, item 11b)
12.	Monthly Subsidy Billings/Documentation. Housing program office copies of monthly subsidy billings and supporting documentation. These may include any and all of the following: Housing Owner's Certification/Application for Housing Assistance Payments (HUD-52670); Schedule of Tenant Assistance Payments Due (HUD-52670A, Part 1); Schedule of Section 8 Special Claims (HUD-52670A, Part 2); Section 8 Special Claims Worksheet (HUD-52670-WS); Owner's Certification of Compliance with HUD's Tenant Eligibility and Rent Procedures (HUD-50059); and Worksheets for the Computation of Tenant Payment/Rent (HUD-50059a through k).	Retire to Federal Records Center 1 year after audit or any time following audit that volume warrants. Destroy when 3 years old. (NARA Job N1-207-88-4, item 12)

HUD RECORDS DISPOSITION SCHEDULE 10

RECORDS RELATING TO MULTIFAMILY INSURED PROGRAMS

This schedule provides disposition instructions for Headquarters records produced as a result of HUD's subsidized and unsubsidized multifamily insured programs. The instructions pertain to Headquarters multifamily administrative, management and operational records, and include records relating to such special programs as rent supplement, cooperatives, condominiums, hospitals, nursing homes, and medical practice facilities.

Exceptions: Item 12 of this schedule covers Field Office records. Item 13 covers Headquarters and Field Office records.

The rest of the multifamily Field Office records are covered in HUD Records Disposition Schedule 1, "Field Office Records." However, the multifamily records items in Schedule 1 will be incorporated into Schedule 10 as part of its next major revision.

Item

No.	Description of Records	Disposition
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| 13. | Flexible Subsidy Loan Files.
The Flexible Subsidy program consists of the Operating Assistance Program (OAP) and the Capital Improvement Loan Program (CILP). Both programs provide loans on a competitive basis to privately owned, federally assisted multifamily housing projects to restore or maintain the physical and financial soundness of the projects at the lowest possible cost to the Federal Government. | |
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CILP loans are amortizing loans where the payments begin after the loan proceeds are distributed. HUD can require that OAP deferred/contingent loans be repaid in installments from residual receipts at the end of each fiscal

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RECORDS RELATING TO MULTIFAMILY INSURED PROGRAMS

Item No.	Description of Records	Disposition
	year or be repaid in full when the property is sold, the mortgage insurance is terminated, or the mortgage is paid off.	
	This item covers Flexible Subsidy program records kept in Headquarters and Field Offices.	
a.	Disapproved or withdrawn applications. These files include applications received after the deadline.	Use item 17-3a of HUD Records Disposition Schedule 3.
b.	Official loan case files. These files are kept in Field Offices. These files contain approved loan applications, background material used to make funding decisions, Management Improvement and Operating Plans (MIO's), funding reservations, original loan documents, certifications, worksheets, management reviews, reports, correspondence, and related documents.	Retire to Federal Records Center 1 year after both the Flexible Subsidy and the Mortgage Loan have been paid in full. Destroy 7 years after both subsidy and loan have been paid in full. (NARA Job N1-207-94-6, item 13b)

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Item No.	Description of Records	Disposition
c.	Financial accounting documents related to the loan (accountable officers' files). These files are kept by the appropriate financial accounting office in HUD. They include the record copies of the executed contracts.	Use General Records Schedule 6, item 1a.
d.	Copies of loan application packages with background material sent to Headquarters with Field Office recommendations for approval. Records include Headquarters' decisions to approve or disapprove the applications for funding. These files are kept in Headquarters.	Retire to Federal Records Center 1 year after date of decision on approval of the loan, or anytime thereafter that volume warrants. Destroy 6 years and 3 months after date of decision on approval of the loan. (NARA Job N1-207-94-6, item 13d)
e.	Headquarters records on funding allocations to the Field Offices, including nonrecord copies of the executed contracts.	Destroy when 7 years old. (NARA Job N1-207-94-6, item 13e)
f.	Records related to Flexible Subsidy program before 1980 when it was a grant program.	Use HUD Records Disposition Schedule 11, Housing Grant Records.

**RECORDS DISPOSITION SCHEDULE 10
OFFICE OF MULTIFAMILY HOUSING (MFH)
TENANT RENTAL ASSISTANCE CERTIFICATION SYSTEM
(TRACS)**

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
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System Name: Tenant Rental Assistance Certification System (TRACS)

System Code: F87

Privacy Act: TRACS is a Privacy Act System of Records.

Restrictions: TRACS is subject to FOIA b (6) and 5 USC 552 a.

System Description: TRACS is a HUD mission critical financial and program information system that interfaces with a number of other HUD systems. TRACS collects certified tenant data and subsidy payment vouchers from owners and management agents of multifamily housing projects and from HUD subsidy contract administrators. The goal of TRACS is to maintain tenant data for all rental assistance programs and to facilitate automated payments for subsidy programs when an electronic voucher request is submitted to TRACS. The voucher transactions are based on the contract and tenant data resident in the system. TRACS stores the payment history of all project-based subsidy contracts for which HUD makes monthly assistance payments.

The rental assistance programs covered by TRACS include: Section 236 Interest Reduction and Rental Assistance Payments; Section 8 New Construction/Substantial Rehabilitation Housing Assistance Payments; Section 8 Loan Management/Property Disposition Set-Aside Housing Assistance Payments; Section 221 (d) (3) Below Market Interest Rate mortgage insurance; Rent Supplement Payments; certain Section 202 programs; and Section 202/811 Project Rental Assistance Payments.

Media Neutrality: The TRACS schedule is media-neutral and applies to all records it describes regardless of whether they are created and/or maintained on paper or in an electronic format, unless otherwise specified in the schedule.

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TENANT RENTAL ASSISTANCE CERTIFICATION SYSTEM
(TRACS)**

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
14. A.	<p>SOURCE DATA. TRACS source data are collected and sent electronically to TRACS through the Monthly Activity Transmission (MAT) system.</p> <p>TRACS includes data from a variety of sources, such as:</p> <ol style="list-style-type: none">1) HUD 50059 Tenant Data;2) Form HUD-52670 Data (<i>Housing Owner's Certification & Application for Housing Assistance Payments</i>);3) Form HUD-52670-A Part 1 Data (<i>Schedule of Tenant Payments Due</i>);4) Form HUD-52670-A Part 2 (<i>Schedule of Section 8 Special Claims</i>);5) Form HUD-52671-A through D (<i>Special Claims Worksheets</i>); and6) Assistance payments contracts, assistance payments renewal contracts, and contract rent increases, including contract Exhibit A (<i>Identification of Units and Contract Rents</i>).	<p>TEMPORARY. Destroy source data after it has been edited for accuracy and compliance with eligibility rules and rent calculation rules, verified, input, and stored in TRACS. (NARA Job No. N1-207-06-2, item 14.A)</p>
B.	<p>STORED DATA IN TRACS RELATIONAL DATABASES</p> <p>(a) Tenant Database (HUD</p>	

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
14.	50059 data). Data includes household, income, and asset information.	TEMPORARY. Archive data to tape three (3) years after <i>certification effective date</i> . (NARA Job No. N1-207-06-2, item 14.B (a))
	(1) Tenant Archives Database. Sub-set of data derived from Tenant Database.	TEMPORARY. Delete data twenty-five (25) years after tenant <i>move out date</i> or twenty-five (25) years after <i>termination date</i> . (NARA Job No. N1-207-06-2, item 14.B(a)(1))
	(2) Extract of TRACS Tenant Data (HUD 50059 data). The Office of Policy Development and Research (PDR) receive quarterly extract files of TRACS tenant data for HUD research activities. These quarterly research files are maintained by PDR. The Extract file contains the following types of household, income, and asset data: Move In and Move Out Date; Contract Rent Amount; Utility Allowance Amount; Gross Rent; HUD Region Code; HUD Field Office Code; Subsidy Type; Race; Ethnicity; Total Tenant Payment; Tenant Rent; Market Rent; Income and Asset data; Age;	PERMANENT. Transfer current year electronic data to the National Archives annually at end of calendar year. The initial transfer must include historic (1995-2006) and current electronic data. (NARA Job No. N1-207-06-2, item 14.B (a)(2))

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
14.	Birth Date; Sex; Name; Social Security Number; and various Household information. These data are subject to restrictions under FOIA b (6) and 5 USC 552a	
	(b) Contracts Database. Data includes subsidy contract information, including the property name, address, and location, contract number, type of subsidy, property category, and property occupancy information.	TEMPORARY. Delete data twenty- five years after <i>contract expiration</i> <i>date</i> . (NARA Job No. N1-207-06-2, item 14.B (a)(2)(b))
	(c) Vouchers Database. Data includes subsidy-billing information, including project number, program area, payment request, voucher period, amount requested by voucher, and payment approval indicator.	TEMPORARY. Archive data to tape five (5) years after the last <i>voucher date</i> or any voucher from a contract that has been terminated five (5) years or longer. Delete data from tape twenty-five (25) years after the last <i>voucher date</i> or any voucher from a contract that has been terminated twenty-five (25) years or longer. (NARA Job No. N1-207-06-2, item 14.B(2) (c)
C.	OUTPUTS.	
	(a) Application Reports. Includes all management reports derived from voucher and tenant data.	TEMPORARY. Destroy or delete when no longer necessary for agency business. (NARA Job No. N1-207- 06-2, item 14.C (a))

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
	(b) Tenant Internet/Intranet Query Reports. Ad hoc reports include current tenant data.	TEMPORARY. Destroy or delete when no longer necessary for agency business. (NARA Job No. N1-207-06-2, item 14.C(b))
	(c) Voucher Internet/Intranet Query Reports. Ad hoc reports include most recent 12-months of voucher activity.	TEMPORARY. Destroy or delete when no longer necessary for agency business. (NARA Job No. N1-207-06-2, item 14.C (c))
D.	TECHNICAL DOCUMENTATION.	
	(a) Tenant Database Dictionary and Related Documentation for Extract of TRACS Tenant Data. Includes record layout, data format, data element name, descriptive name, data definitions, and code tables.	PERMANENT. Transfer most recent version to the National Archives at the time when the TRACS Extract file is transferred. (NARA Job No. N1-207-06-2, item 14.D(a))
	(b) Tenant Archives Database. Includes record layout, data format, data element name, descriptive name, data definitions, and code tables.	TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. (NARA Job No. N1-207-06-2, item 14.D(b))
	(c) Voucher Database Dictionary. Includes record layout, data format, data element name, descriptive name, data definitions, and code tables.	TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. (NARA Job No. N1-207-06-2, item 14.D(c))

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
	(d) Contracts Database Documentation. Includes record layout, data format, data element name, descriptive name, data definitions, and code tables.	TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. (NARA Job No. N1-207-06-2, item 14.D(d))
	(e) TRACS User Guides and Manuals. Includes but not limited to TRACS Application Batch Operations Manual, Monthly Activity Transmission (MAT) User Guide, Automatic Renewal and Amendment Management System (ARAMS) User Guide, TRACS Mail User Guide, and Internet/Intranet User Guides.	TEMPORARY. Destroy or delete when superseded or obsolete. (NARA Job No. N1-207-06-2, item 14.D(e))