Filing Procedures

Several sets of files are maintained at most site offices. This procedure indicates the information that should be retained, how it should be filed and how long it should be kept. Many sites keep a great deal more information than is required or desirable.

When information is maintained electronically and backed up regularly it is not necessary (0r desirable) to maintain paper copies as well. The key here is that the electronic files are backed up to discs, tape or cartridge on a regular basis and that the storage media are kept in fireproof storage. Financial information should be backed up every day that data is entered. Other files, such as tenant files can be backed up twice weekly. The important point here is to have regular back-up.

**1.00 Resident Files**

Resident files contain information about current residents living at the site. These files contain substantial amounts of confidential information, so access should be granted only to people who need to use them. In addition, the files should be locked when not in use. The following information, depending on each family’s circumstances and history will be in the resident file at the development:

**1.10 Eligibility and Admissions Data (including verification forms)**

This part of the file contains all the information transferred from the applicant file when the resident was admitted.

 Names, relationship to head, birthdate, social security number and citizenship or eligible alien status of all family members;

 Names, status in the household, birthdate, social security number and citizenship or eligible alien status of Live‑in Aides and foster children;

 Income of all family members;

 Net Family Assets;

 Deductions from income (for rent computation);

 Rent computation;

 Admission preferences (if any);

 Screening information (tenant history, credit history, home visit record, criminal history);

 HUD 50058 form

**1.20 Leasing Data**

This information relates to leasing the unit. If the residents has transferred at any time, there should be one set of this information in the file for each unit leased.

 Notes, if any, from the pre‑occupancy orientation

 Original copy of the Lease, tenant certification and receipt of information forms;

 Tenant account number and set up forms

 Security deposit records

 Confirmation of utility connection (if site has tenant‑paid utilities);

 Move‑in inspection form;

**1.30 Annual recertification information:**

There should be a complete set of recertification forms and verifications for each year of a residents tenure. Changes in the resident family’s circumstances that trigger a change in rent should result in a Notice of Rent Adjustment.

 Updated information for each year of occupancy on family income, assets, deductions, composition (deletions from or additions to the family or household);

 Updated rent computation form(s)

 Notice(s) of rent adjustment;

 Annual HQS inspection form(s);

 50058 form

**1.40 Interim Adjustments to Income**

This information will appear in the file only if a family’s circumstances have changed between annual recertifications in a way that is required to be reported by the lease .

Increases or decreases in income between annual recertifications;

Verifications of changes in income;

Notice(s) of rent adjustment;

Letters or notes on telephone calls from family about births to the family;

Requests to add other members to the family;

Screening verifications on any adults proposed for addition to the family;

Management responses to requests to add family members;

Lease addendum adding family members;

Letters or notes of telephone conversations from the family requesting that family member be deleted from the lease;

Written confirmation from household head deleting family member(s) from lease;

Lease addendum deleting family members;

**1.5 Transfer information**

Only residents who requested transfers, have been transferred or are awaiting transfer will have transfer information in their files.

 Notice of need for larger or smaller unit;

 Offer of larger or smaller unit (appropriate for adjusted family size);

 Request by resident for medical/disability transfer;

 Request by resident to transfer to prevent criminal reprisals;

 Request by resident to transfer for other reason;

 Decision letter from Authority on resident request(s) for transfers;

 Request by Authority to transfer to permit modernization;

 Request by Authority to transfer to permit demolition or disposition;

**1.60 Lease Enforcement History**

This section of the file, often found on the left side of the file folder, tracks each family’s lease enforcement history. Any lease violation letters, warnings, formal notices or other correspondence will be placed here. If any letters or notices are sent by certified mail, and the resident refuses service, resulting in the return to the site office of the notice or letter, it will be retained, unopened, in the file. In addition, notes of in‑person or telephone conversations will be recorded, dated and signed.

 Records of complaints by site staff or other residents about lease violations by the resident, household members or guests;

 Records related to late or delinquent payments of rent or other charges;

 Notice(s) of Lease violation;

 Reasons for lease violation notices include:

 Non‑payment of rent or other charges

 Repeated late payment;

 Failure to pay utility bills;

 Fraud, misrepresentation of family income, assets or composition;

 Failure to supply information needed for recertification or interim adjustment;

 Serious or repeated damage or creating a physical hazard to the dwelling unit, common areas, grounds or parking areas of any Authority site;

 Criminal activity by resident, household members, or guests;

 Offensive weapons or illegal drugs seized in the leased premises by a law enforcement officer;

 Any fire caused by carelessness or unattended cooking;

 Breach of the pet policy.

 14 day lease termination letters for non‑payment of rent;

 30 day lease termination letters for late payment or non‑payment of charges in addition to rent;

 Court costs or legal fees awarded by court;

**1.70 Data on Maintenance Charges**

This part of the file contains a complete record of all maintenance charges levied against the resident. This information can be recorded on a log or ledger, or copies of the work orders covering work that was charged to the resident can be used.

 Amount, date charged and type of charge;

 Date paid;

 Warning letters or lease violation notices related to damage to or neglect of premises;

 Charges at move-out levied against the security deposit;

**1.80 Positive Information related to Resident**

 Awards, commendations, certificates or other recognition to resident for lease compliance, care of unit or yard;

 Participation in supportive services to the site or other residents:

 Scouts

 Boys or Girls Club

 Resident Council Officer

# Grounds or Building Captain

 Headstart or daycare

 School Aide, Room parent, Officer in PTO

 Participation by resident or household members in adult basic education, skills training, vocational training, job corps, college or other education program;

 Employment or promotion by adult members of household;

Many of these types of participation will qualify as Community Service.

**1.90 Grievance Procedure History (if any)**

If the resident has ever filed a grievance, the summary of the way the grievance was settled will be filed here. In addition, there will be a separate Grievance File that contains all the specifics of the case.

**2.00 Unit Files**

The Unit Files are, essentially, maintenance files. There is one unit file for each unit at the site, whether used as a dwelling unit or not. Just as the Resident Files track the history of the families living at the site, the unit files track the history of the physical plant .

**2.10 Inspection Records**

All the inspection records for the unit will be filed chronologically. These will include the following:

 Move‑in inspections with copies of work orders completed to resolve any deficiencies revealed by the move‑in inspections;

 Annual HQS inspections with copies of work orders completed and referrals to modernization to resolve any deficiencies revealed by the inspections;

 Move‑out inspections and the vacant unit turnaround work order(s) to prepare the unit for re‑occupancy;

**2.20 Unit Preventive Maintenance Records**

Information on preventive maintenance to the unit’s structure, systems or equipment will be filed chronologically in this section of the Unit File.

 PM at Annual HQS inspection: Any work performed during the annual inspection will be noted as a part of the inspection record.

 Scheduled PM: Work orders or records of seasonal or cyclic work such as servicing furnaces, replacing filters, checking burner efficiency, turning on or turning off gas, draining oil tanks, seasonal switching of screens for storm windows, draining and checking water heaters, flushing out soil lines, checking and servicing valves and gauges in individual boiler or hot water heating systems, etc.

**2.30 Work Request Records**

This is the largest part of most unit files. It contains copies, filed chronologically by completion date, of all the work requests, either from residents or from management or maintenance staff.

 Emergency Work Orders: These work orders respond to immediate threats to resident’s life, health or safety. Such work orders should be completed in 24 hours or less, or the family should be relocated until the work is completed. The term “emergency” should be interpreted quite narrowly, but it would include, for example, gas leaks, water leaks, no heat (in winter), no water, or a stopped up commode;

 Non‑emergency Work Orders: All other unit work requests are non‑emergency work orders. This would include items ranging from replacing cracked or broken window glass, through tightening a hand‑rail on a stair, to replacing a heating element in a water heater.

* 1. **Capitalized Property Records:**

Each unit file will contain the unique serial numbers **of** the refrigerator and range in the unit. Any other capitalized equipment in the unit will also have its serial numbers in the unit file. Individual water heaters (as opposed to those that provide hot water for several units) are not capitalized. They are simply considered to be part of a unit’s equipment.

**2.50 Warranties**:

There are two acceptable ways to file warranties. One school of thought believes that warranties belong in unit files. The competing school believes in keeping a separate warranty file. Either method is acceptable, but the site staff must decide on one approach or the other.

**3.00 Site Files**

These files relate to the physical structures and equipment that are common to the site, rather than unique to individual units. These documents will probably require a set of map/plan files.

**3.10 Original plans and specifications for Buildings:**
It is unlikely that the original plans and specifications will be located at the development, but a copy should be kept at the site.

**3.20 Betterments and Additions:**
Copies of plans and specifications for any changes in the buildings, systems or site layout that were made prior to modernization should be located at the site.

**3.30 Landscaping Plans:**
Copies of the most recent landscaping plans and, if applicable, a topographical site map should be located in the site files.

**3.40 System Inspection Records**:
These are the system inspections annually required by PHMAP. Systems inspections are more likely to be required for high-rise buildings than other types, but any systems that relate to more than one unit must be inspected. This includes but is not limited to:

 Building envelope (roof, fascia, soffits, roof drains or downspouts and gutters, walls, canopies, porches, porticoes, balconies, windows, doors, foundation) ;

 Building systems (central HVAC, chimneys, water distribution and wastewater disposal, electrical distribution, elevators, automatic doors, compactors and trash disposal, fire safety, and security systems)

 Non‑dwelling spaces: halls, stairways, lobby, mailroom, communal kitchen and dining area, management office, laundry room, maintenance shop and storage area, garage, community room, Resident Council offices, day care center, and all other non‑dwelling space;

 Streets, roads, alleys, retaining walls, curbs, gutters, storm drains, sidewalks, parking lots, parking areas and all paved areas not dedicated for local government maintenance

 Utility distribution systems: Underground or overhead electrical distribution, gas lines, oil tanks, water distribution, wastewater disposal, and checkmeters.

 Outdoor recreation space and equipment: Playgrounds, tot lots, basketball, shuffleboard, and tennis courts, baseball diamonds, football, soccer or hockey fields, ice hockey and figure skating rinks, swimming pools, site lighting, trash receptacles, benches, bleachers and street furniture;

The inspection forms for each applicable structure or system should be designed specifically to respond to the features of the Authority’s physical plant. Any deficiencies revealed by the systems inspections should be either cleared by work orders or by referring needed work to an open, funded modernization program. Copies of the work orders or referrals to mod should be attached to the inspection forms noting deficiencies.

**3.50 Vehicle Records:**
All vehicles owned or leased by the site or under the exclusive control of site staff should have files at the site. Vehicles include cars, trucks, vans, trailers, cherry pickers, and any other motorized or towed rolling stock. These files should contain the following information:

 Copies of purchase or lease documents (but not original titles);

 Insurance policies;

 Owners’ manuals and maintenance schedules;

 Maintenance records;

 Accident records;

 Registration information

**3.60 Other Capitalized Equipment Records:**
Typically, the capitalized equipment at sites other than vehicles includes expensive furniture, computers and related equipment, and large or valuable maintenance equipment (motorized snakes, water ram machines, bench saws, drill presses, etc.). The files for these items should contain the following:

 Copies of purchase or lease documents;

 Owners’ manuals and maintenance schedules, if any;

 Master list of all the property accountability numbers and equipment locations for the annual inventory of capitalized equipment.

Additionally, the Site Files for capitalized equipment should contain a master list of the property accountability numbers and locations for all the ranges and refrigerators in units or the site storage facility for the annual inventory.

**3.70 Modernization plans:**
One copy of all site specific plans, including HUD submissions, and internal agency documents should be maintained at the site:

 Bid packages (plans, specifications, general and specific conditions), budgets and budget revisions, contracts (copies are sufficient, original signatures are needed only if the site staff is administering the contract),

Notices to Proceed and Stop Work Orders, change orders, and

 performance and evaluation reports

**3.80 Modernization records**:
When modernization work is completed, the capital improvements staff will provide the site with

 as-built plans,

 applicable warranties

 product specifications,

 preventive maintenance recommendations and

 all other information provided by the modernization contractor who completed the work.