

N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

N.C. HOUSING FINANCE AGENCY

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

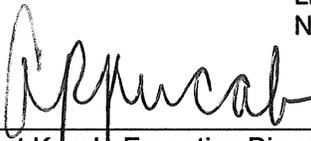
N.C. HOUSING FINANCE AGENCY

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

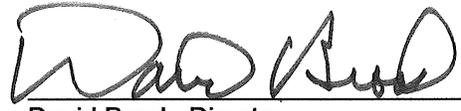
APPROVAL RECOMMENDED



Lisa White, Chief Records Officer
N.C. Housing Finance Agency

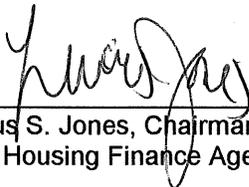


A. Robert Kucab, Executive Director
N.C. Housing Finance Agency

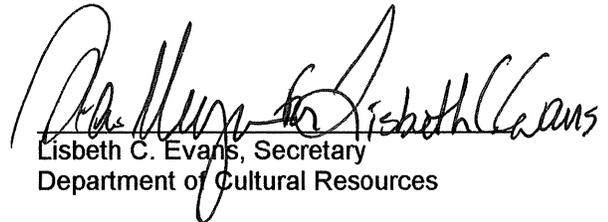


David Brook, Director
Division of Historical Resources

APPROVED



Lucius S. Jones, Chairman
N.C. Housing Finance Agency Board



Lisbeth C. Evans, Secretary
Department of Cultural Resources

October 23, 2008

AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

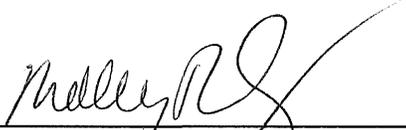
**HOUSING FINANCE AGENCY BOARD
HOUSING FINANCE AGENCY
FINANCE SECTION
SERVICING**

Amend the program records retention and disposition schedule approved October 23, 2008 by adding item 49300 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Paulette Cutts, Chief Records Officer
N.C. Housing Finance Agency



Molly Rodgers, Director
Human Resources and Administration
N.C. Housing Finance Agency



David Brook, Director
Division of Historical Resources

APPROVED



A. Robert Kucab, Executive Director
N.C. Housing Finance Agency



Linda A. Carlisle, Secretary
Department of Cultural Resources

October 19, 2010

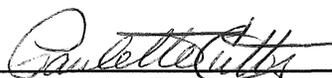
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PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION, SERVICING AND STRATEGIC INVESTMENT SECTION**

Amend the program records retention and disposition schedule approved October 23, 2008 and amendment October 19, 2010 by adding item 49381, 49382, 49265 and amending 3315, 47894, 47895, 47896, 47897, 47899, as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Paulette Cutts, Chief Records Officer
N.C. Housing Finance Agency



Molly Rodgers, Director
Human Resources and Administration
N.C. Housing Finance Agency

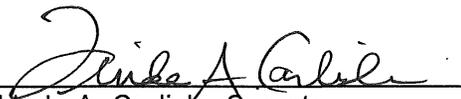


David Brook, Director
Division of Historical Resources

APPROVED



A. Robert Kucab, Executive Director
N.C. Housing and Finance Agency



Linda A. Carlisle, Secretary
Department of Cultural Resources

January 23, 2011

PDI

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
SERVICING**

Amend the program records retention and disposition schedule approved October 23, 2008 and amendments October 19, 2010 and January 23, 2011 by adding item 49379 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Paulette Cutts, Chief Records Officer
N.C. Housing Finance Agency

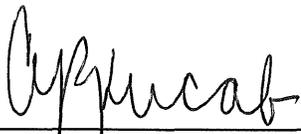


Molly Rodgers, Director
Human Resources and Administration
N.C. Housing Finance Agency

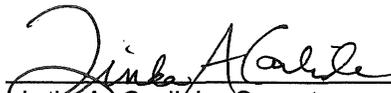


David Brook, Director
Division of Historical Resources

APPROVED



A. Robert Kudab, Executive Director
N.C. Housing and Finance Agency



Linda A. Carlisle, Secretary
Department of Cultural Resources

January 24, 2011

PDI

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
COMMUNICATIONS**

ITEM 19655. ADVERTISEMENTS FILE

Records concerning advertisements appearing in trade journals regarding special programs for the agency. File includes correspondence, results of marketing research, surveys, contracts, billing information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office contracts 5 years after expiration. Destroy in office billing information and other fiscal records when released from all audits. Destroy in office remaining records when administrative value ends.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
DIRECTOR'S OFFICE**

ITEM 3894. N.C. HOUSING FINANCE AGENCY BOARD MINUTES FILE

Minutes of the board and signed resolutions.

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Transfer original minutes to the State Records Center after 1 year. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy duplicate copy of official signed minutes when administrative value ends.

ITEM 19596. DIVISION CORRESPONDENCE FILE

Director's and Administrative Director's correspondence, memorandums, and other records in paper and electronic form relating to the organization and daily operation of the N.C. Housing Finance Agency.

DISPOSITION INSTRUCTIONS: Print and interfile electronic records with related paper records. Destroy electronic records once they have been printed and interfiled. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency for 5 additional years and then transferred to the custody of the Archives.

ITEM 19597. N.C. HOUSING FINANCE AGENCY BOARD OF DIRECTORS FILE

Memorandums concerning meetings of the Board of Directors of the N.C. Housing Finance Agency, as well as other information concerning members of the N.C. Housing Finance Agency Board.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 19601. AGENCIES FILE

Records in paper and electronic form concerning correspondence between the Director's Office and other agencies, departments, and businesses concerning agency-related subjects.

DISPOSITION INSTRUCTIONS: Print and interfile electronic records with related paper records. Destroy electronic records once they have been printed and interfiled. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 47984. LOBBYING ACT FILE

Records in paper and electronic formats concerning the requirements of the Lobbying Act. File includes filings, appropriate forms, and information and supporting documentation related to Lobbying Act requirements.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
ACCOUNTING**

ITEM 3447. GENERAL FISCAL RECORDS FILE

Operational records concerning cash management, accounts payable, State Interface, and budgeting. File includes invoices, vouchers, and other related records. (File does not include grant financial records.) (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 3448. LEDGER REPORTS FILE

Reports concerning all month-end general ledgers, trial balances, general journals, and mortgage loan subledgers by program. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 13 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 3450. GENERAL LEDGER AND JOURNAL ENTRIES FILE

Monthly journal entries and support documentation. File includes or concerns investment accounts, statements, cancelled checks, quarter-end entries and computations, and other related records. Data is entered into the Agency Cash Flow Analyses Database (Electronic) File (Item 28098) and the General Ledger Financial Database (Electronic) File (Item 28100). (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 13 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 3492. TRUSTEE REPORTS FILE

Monthly reports from the Trustees concerning activity and month-end asset balances by fund program. Data is entered into General Ledger Financial Database (Electronic) File (Item 28100). (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 13 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 19652. SECTION EIGHT/APPALACHIAN REGIONAL COMMISSION FILE

Records in paper and electronic formats concerning monthly and year-end reports of the commission. File includes year-end spread sheets, ledgers, and other related records. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 13 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 19669. SECTION EIGHT EXPENDITURE FILE

Computer printouts concerning expenditures for federally-funded Multi-Family Housing Program (Section Eight) for existing housing, new construction, and rehabilitation programs. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after the program has been closed and audited.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
ACCOUNTING**

ITEM 19670. SECTION EIGHT CHECK FILE

Checks disbursed as payments for federally-funded Multi-Family Housing Program (Section Eight) for existing housing, new construction, and rehabilitation programs. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after the program has been closed and audited.

ITEM 28098. AGENCY CASH FLOW ANALYSES DATABASE (ELECTRONIC) FILE

Electronic records concerning details of investments, loans, and bonds for each agency bond issued so that cash flow analyses can be generated. Data is entered into this database from the General Ledger and Journal Entries File (Item 3450). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when approval is obtained by the Finance Section of the N.C. Housing Finance Agency.

ITEM 28100. GENERAL LEDGER FINANCIAL DATABASE (ELECTRONIC) FILE

Electronic records concerning individual entries to all agency accounts, account balances, and loan sub-ledger activities and balances. Data is reference copy of information from the General Ledger and Journal Entries File (Item 3450) and the Trustee Reports File (Item 3492). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.) (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 4 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 28105. AGENCY CASH FLOW ANALYSES BOND DATABASE (ELECTRONIC) FILE

Electronic records concerning details of investments, loans, and bonds for each agency bond issued so that cash flow analyses can be generated. (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Records transferred to Agency Cash Flow Analyses Database (Electronic) File (Item 28098).

ITEM 28106. AGENCY CASH FLOW ANALYSES UPDATE FILE

Updated information concerning details of agency investments, loans, and bonds. File includes current cash flow analyses. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 28108. GENERAL LEDGER FINANCIAL DATABASE (ELECTRONIC) FILE

Electronic records concerning individual entries to all agency accounts, account balances, and loan sub-ledger activities and balances. (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.) (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to General Ledger Financial Database (Electronic) File (Item 28100).

ITEM 47409. AGENCY CASH FLOW ANALYSES (PRINTOUT) FILE

Printouts generated from Agency Cash Flow Analyses Database (Electronic) File (Item 28105). (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office when administrative value ends.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
ACCOUNTING**

ITEM 47604. GRANTS FILE

Records concerning grants given by N.C. Housing Finance Agency to various recipients. File includes grant documentation and check requests. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 15 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
BONDS**

ITEM 19654. MORTGAGE PURCHASE SCHEDULES AND REQUISITIONS FILE

Records concerning loans purchased by servicers and date of purchase. Records dated after 1992 transferred to the Home Ownership Section, Mortgage Revenue Bond (MRB) Database (Electronic) File (Item 28156). (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office when the life of the applicable bond expires.

ITEM 19661. BOND DOCUMENTS FILE

Records concerning bonds not included in the closing proceedings and actions of the agency subsequent to the closing proceedings related to bonds issued by the agency. File includes call notifications, cash flow analyses, cash flow certificates, officers' certificates, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 28107. BONDS CLOSING DOCUMENTS FILE

Records concerning the closing proceedings for bonds issued by the agency. File includes documents executed at closing and initial cash flow analyses.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
SERVICING**

ITEM 3315. DELINQUENCY AND FORECLOSURE (DFF) FILE

Records in paper and electronic formats, including e-mail, concerning delinquent mortgage payments by individuals participating in the Mortgage Revenue Bonds (MRB) or any other loan type including the Home Protection Program (HPP). File includes delinquency reports, reports of default, loans in foreclosure, records of mortgages actually foreclosed, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.) (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records, including e-mail, after 15 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 3317. SERVICERS' REPORT FILE

Monthly reports received from lending institutions servicing individual mortgages for Single Family Mortgage Purchase Program. Information includes statements of payments; trial balances; escrow, interest, and principal amounts; delinquency summaries; and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Service Reports File (Item 3449).

ITEM 3449. SERVICE REPORTS FILE

Monthly reports received from lending institutions servicing individual mortgages for Single Family Mortgage Purchase Program and North Carolina Housing Finance Agency foreclosure files. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.) (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 19667. SINGLE FAMILY FORWARD PURCHASE AND LOAN SERVICING AGREEMENTS FILE

Agreements executed by the lenders to originate and service loans on each bond issue. File includes or concerns forward agreement, servicing agreement, forward agreement's opinion of counsel, and servicing agreement's opinion of counsel. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 31 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 28124. DEEDS OF TRUST AND NOTES FILE

Deeds of trust and promissory notes for Housing Trust Fund programs and Home programs. File also includes loan records.

DISPOSITION INSTRUCTIONS: Destroy in office 16 years after loan term ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 47605. MORTGAGE REVENUE BONDS (MRB) PAYOFFS AND FORECLOSURES FILE

Records concerning lien satisfactions and foreclosures from 2000 to 2005 categorized by bond series. (Check with Finance Management prior to destruction of records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
SERVICING**

ITEM 47892. PAID IN FULL (PIF) LOANS FILE

Records concerning the recorded satisfaction of liens. File includes copies of loan documents and correspondence. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47893. MORTGAGE REVENUE BOND (MRB) CANCELLATION FILE

Records concerning cancelled loans that verify the loans are paid in full and timeline for cancellations. File includes copies of original loan documents.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47894. HOME PROTECTION PROGRAM INELIGIBLE (HPPI) FILE

Records in paper and electronic formats, including e-mail, concerning the loan underwriting process that determines causes for ineligible loans. File includes financial information, employment histories, credit information, correspondence, and other related records. (Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 7 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47895. HOME PROTECTION PROGRAM DENIED (HPPD) FILE

Records in paper and electronic formats, including e-mail, concerning applications for loans under the Home Protection Program (HPP) that were denied. File also includes credit bureau reports, financial information, correspondence, and other related records. (Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 7 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47896. HOME PROTECTION PILOT PROGRAM (HPPP) INCOMPLETE APPLICATIONS FILE

Applications received by the N.C. Housing Finance Agency that are incomplete. (Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Home Protection Program Withdrawn / Incomplete / (HPPWDNINC) File, (Item 47897).

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCE SECTION
SERVICING**

ITEM 47897. HOME PROTECTION PROGRAM WITHDRAWN / INCOMPLETE (HPPWDNINC) FILE

Records in paper and electronic formats, including e-mail, concerning applications received by the N.C. Housing Finance Agency that are incomplete or loan applications received from Housing and Urban Development (HUD) counseling partners that were withdrawn. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 7 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 49300. HOME PROTECTION PROGRAM (HPP) FILE

Records concerning active files for the Housing Protection Program (HPP) that assists workers in changing economic conditions by providing loans to apply toward the payment of mortgages. File may include bank statements, correspondence, deeds, tax files and other underwriting materials. (Comply with applicable provisions of 5 USC Sec. 552a and G.S. 132.1-10 regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after loan is repaid.

ITEM 49379. MORTGAGE PAYMENT PROGRAM (MPP) FILE

Records in paper and electronic formats concerning active, denied, ineligible, rejected or withdrawn loans being processed under the Mortgage Payment Program. File includes applications, underwriting materials, closing, servicing and monitoring documents from which certain data is entered into the Mortgage Payment Program (MPP) Database included in this item. (Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records maintained on individuals.) (Database and documents will be destroyed on December 31, 2030.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 13 years after program ends, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 49381. NATIONAL FORECLOSURE MITIGATION COUNSELING GRANT FILE

Records in paper and electronic formats, including e-mail concerning grants issued by the NeighborWorks America organization, a nonprofit organization, for the provision of intervention and loss mitigation counseling to eligible clients at different levels of reimbursements. File includes financial records, statistical records and other related records. (Comply with applicable provisions of 5 U.S.C. 552a and G.S. 132.1-10 regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records 7 years after the date of submission of the final expenditure report.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
FINANCIAL SERVICES
SERVICING**

ITEM 49382. NATIONAL FORECLOSURE MITIGATION COUNSELING GRANT (DATABASE) FILE

Records concerning the grants issued by the NeighborWorks America organization, a nonprofit organization, for the provision of intervention and loss mitigation counseling to eligible clients at different levels of reimbursements. Fields include client's name, loan number, loan balance, social security numbers, home address, field officer's name, server's name and tax value. (Comply with applicable provisions of 5 U.S.C. 552a and G.S. 132.1-10 regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
HOME OWNERSHIP SECTION**

ITEM 3312. SINGLE FAMILY MORTGAGE PURCHASE PROGRAM FILE

Records concerning loans for the purchase of houses. File includes borrowers' credit histories, property data, deeds of trust, seller affidavits, house notes, federal acquisition limits, Market Opportunity Research Enterprises (MORE) data, and other related records. Data is entered into Mortgage Revenue Bond Database (Electronic) File (Item 28156). (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office when the life of the applicable bond expires.

ITEM 3893. HOME IMPROVEMENT LOAN PROGRAM LOAN FILE

Records concerning each borrower's loan application. File includes verifications, credit reports, certificates of income, value determination forms, appraisals, property improvement, instant insurability guidelines, work write-ups, deeds of trust, notes, deeds of assignment, notices of right to cancel, truth in lending disclosure statements, certificates of mortgage insurance, mortgagors' affidavits, lenders' affidavits, escrow agreements, construction contract title opinions, hazard insurance policies, and certificates of completion. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office when the life of the applicable bond expires.

ITEM 19663. LENDER CORRESPONDENCE FILE

Correspondence between the agency and lending institutions throughout the state that participate in the Single-Family Mortgage Purchase Program.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 19666. MORTGAGE CREDIT CERTIFICATE PROGRAM FILE

Records concerning individual borrowers. File includes mortgage credit certificates and close-out notebook, legal affidavits, and other related records. Data is entered into Mortgage Credit Certificates Database (Electronic) File (Item 28155). (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 19678. HOME IMPROVEMENT LOAN PROGRAM GENERAL CORRESPONDENCE FILE

Correspondence between participating cities and lenders and other organizations involved in the loan process.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 19679. HOME IMPROVEMENT LOAN PROGRAM SERVICING FILE

Correspondence and monthly reports received from the servicing individual mortgage companies concerning the Home Improvement Loan Program.

DISPOSITION INSTRUCTIONS: Destroy in office when the life of the applicable bond expires.

ITEM 28155. MORTGAGE CREDIT CERTIFICATES DATABASE (ELECTRONIC) FILE

Electronic records concerning individual borrowers receiving mortgage credit certificates. File includes information regarding borrowers, properties, and applicable mortgage credit certificates origination guides. Data is entered into database from the Mortgage Credit Certificate Program File (Item 19666). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.) (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 30 years after date of loan closing.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
HOME OWNERSHIP SECTION**

ITEM 28156. MORTGAGE REVENUE BOND DATABASE (ELECTRONIC) FILE

Electronic records concerning single family mortgages. File includes borrower information, property information, loan information, delinquency and foreclosure information, paid-in-full information, and mortgage revenue bond (MRB) origination guides. Data is entered into database from Single Family Mortgage Purchase Program File (Item 3312). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.) (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when the life of the applicable bond expires.

ITEM 47543. HOUSING REPLACEMENT GRANT (HRG) FILE

Records concerning loans for flood victims. File includes individual borrower records. (Comply with applicable provisions of 5 USC 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 30 years.

ITEM 47544. HOME OWNERSHIP CHALLENGE FUND (HOCF) FILE

Records concerning special subordinate mortgage financing in conjunction with Mortgage Revenue Bond (MRB) loans and local units of government. File includes bond allocations, downtown residential loan agreements, and employer assisted housing program records.

DISPOSITION INSTRUCTIONS: Destroy in office when the life of the applicable bond expires if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47978. EARLY TERM DEFAULT QUALITY CONTROL AUDIT FILE

Records concerning reviews of mortgage revenue bond loans that have over a 90-day delinquency within the first 12 months of payments. File includes summary audit reports, summary memoranda to management, early term default (ETD) reports, collection comments, and loan histories.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 47979. EXTERNAL QUALITY CONTROL AUDIT FILE

Records in paper and electronic formats concerning audit findings of lender records as compared to agency underwriting records. File includes lender correspondence, summary reports, and selection reports.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

ITEM 47980. INTERNAL QUALITY CONTROL AUDIT FILE

Reports concerning monthly audits of files underwritten by agency staff. File includes summary reports, individual audit worksheets, and summary memoranda to management.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 47981. HOUSING REPLACEMENT GRANT (HRG) FILE

Records concerning loans to flood victims. File includes information on individual borrowers. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals and the Financial Privacy Act.) (Program responsibilities were transferred to the North Carolina Division of Community Assistance in 2001.)

DISPOSITION INSTRUCTIONS: Destroy in office after 30 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
HOME OWNERSHIP SECTION**

ITEM 47983. SPECIAL PURPOSE GRANT FILE

Records concerning the Down Payment Assistance Program for mortgage credit certificate borrowers from 1993-1995. File includes records for denied loans. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
HUMAN RESOURCES**

ITEM 19631. PERSONNEL FILE

Official individual personnel file for each agency employee. File includes applications, position descriptions, personnel action forms, payroll deduction information, medical information, and other personnel records concerning the service history of each employee. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center 25 additional years and then destroyed. Destroy records currently held in the State Records Center 30 years from date of record.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
POLICY, PLANNING, AND TECHNOLOGY**

ITEM 19642. HOUSING POLICY REPORT FILE

Records concerning the development of the state housing policy report. File includes correspondence and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer to the State Records Center immediately. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 19644. HOUSING PARTNERSHIP BOARD POLICIES FILE

Official policies adopted by the Housing Partnership board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 19645. MINUTES FILE

Official minutes of the North Carolina Housing Partnership Board.

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Transfer original minutes to the State Records Center after 1 year. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office duplicate copy of official signed minutes when administrative value ends.

ITEM 19646. HOUSING TRUST FUND FILE

Records concerning Housing Trust Fund expenditures by program area and for administrative expenses. File includes monthly state budget reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records in office after completion of action and resolution of issues involved.

ITEM 28116. BYLAWS FILE

Bylaws adopted by the North Carolina Housing Partnership board.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 28118. COMMITTEES FILE

Records in paper and electronic formats concerning North Carolina Housing Partnership Board committee. File includes correspondence, lists of committee members, and materials submitted to committees for review.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

ITEM 28125. ECONOMIC AND DEMOGRAPHIC DATA FILE

Records concerning economic and demographic interpretations, regarding housing issues on the state and national level.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 28136. LEGISLATION FILE

Legislative bills and other legislative information concerning the agency. File includes proposed legislation related to housing.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
POLICY, PLANNING, AND TECHNOLOGY**

ITEM 28149. RULE CHANGES FILE

Records concerning agency rule changes. File includes drafts, forms, notices, public hearing minutes, and board resolutions.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 47399. COMMUNITY HOUSING DEVELOPMENT ORGANIZATIONS (CHDO) FILE

Records concerning U.S. Department of Housing and Urban Development (US HUD) and Community Housing Development Organization (CHDO) requirements. File includes agency-approved applications for CHDO certification.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47400. CONSOLIDATED PLANS AND CAPERS FILE

U.S. Department of Housing and Urban Development (US HUD) approved Consolidated Plans and Comprehensive Performance and Evaluation Reports (CAPER) submitted by the state.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
RENTAL INVESTMENT PROGRAMS**

ITEM 3318. MULTI-FAMILY MORTGAGE PURCHASE FILE

Records concerning Multi-Family Mortgage Loan packages. File includes pertinent Federal Housing Administration (FHA) closing documents, legal opinions, as-built surveys, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 41 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 3505. DAVIS-BACON FILE

Records in paper and electronic formats concerning the monitoring of wages paid on state-funded multi-family housing. File includes payrolls, contracts, Section Eight proposals, and correspondence with housing developers, contractors, and sub-contractors.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after close of contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 3843. APPALACHIAN REGIONAL COMMISSION (ARC) PROJECT FILE

Requests for federal assistance for low-income housing-related projects within ARC boundaries in North Carolina. File includes correspondence, grant information, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer to the State Records Center immediately for immediate transfer to the custody of the Archives.

ITEM 19671. NON-PERFORMANCE BASED SECTION 8 CONTRACT ADMINISTRATION PROGRAM FILE

Records in paper and electronic formats concerning the routine administration of the Non-Performance Contract Administration Section. File includes original Annual Contributions Contract (ACC) records, correspondence, memorandums, directives, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after Contract Administration has ended.

ITEM 19672. FEDERAL LOW-INCOME HOUSING TAX CREDITS APPLICATIONS FILE

Records concerning the allocation of low-income housing tax credits. File includes awarded applications, rejected applications, market studies, reservations, carryover agreements, federal tax credit allocation forms, reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 25 additional years and then destroyed.

ITEM 19673. NON-PROFIT AND CATALYST LOANS PROGRAMS FILE

Records in paper and electronic formats concerning loans to non-profit corporations. File includes records concerning administrative organization of corporations, correspondence, applications for loans, contracts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 15 years.

ITEM 19674. RENTAL REHABILITATION PROGRAM FILE

Records in paper and electronic formats concerning the U.S. Department of Housing and Urban Development (US HUD) Rental Rehabilitation Program. File includes US HUD documents, agency contracts, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
RENTAL INVESTMENT PROGRAMS**

ITEM 19675. 80/20 NONSUBSIDIZED PROGRAM FILE

Records concerning tenant income and occupancy of nonsubsidized multi-family projects financed by the N.C. Housing Finance Agency. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 19676. GOVERNOR'S FARMERS HOME ELDERLY RENT SUBSIDY PROGRAM FILE

Records concerning tenant income and occupancy records. File includes subsidy payments for projects subsidized with state funds. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 19680. INTER-DEPARTMENTAL CORRESPONDENCE FILE

Paper copies of inter-departmental correspondence with the Department of State Treasurer and the Division of Policy and Planning in the Department of Administration concerning the Appalachian Regional Commission.

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer records to the State Records Center immediately for immediate transfer to the custody of the Archives.

ITEM 19682. APPALACHIAN REGIONAL COMMISSION (ARC) ADMINISTRATION BUDGET AND PROJECT BUDGET FILE

Federal payments for Appalachian Regional Commission (ARC) projects and operation of programs. File includes vouchers, cash receipts, forms, cash transfer forms, project log sheets, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office when administrative value ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 19683. TECHNICAL ASSISTANCE GRANT FILE

Grant contracts used to employ housing specialists on a yearly basis. Records are sent from six local development districts and include budgetary information, quarterly work reports, and correspondence.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 19684. RENTAL INVESTMENT ASSET MANAGEMENT CORRESPONDENCE FILE

Asset management correspondence between the agency and owners/managing agents and partners of properties under asset management regarding all aspects of compliance issues.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 28099. FEDERAL LOW-INCOME HOUSING TAX CREDITS DATABASE (ELECTRONIC) FILE

Electronic records concerning allocations of low-income housing tax credits. Electronic file includes tax credit allocation information, reservation dates as they relate to the processing procedures, and other related records. Data is transferred into this database from the Federal Low-Income Housing Tax Database (Electronic) Credits File (Item 28109). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 15 years.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
RENTAL INVESTMENT PROGRAMS**

ITEM 28109. FEDERAL LOW-INCOME HOUSING TAX DATABASE (ELECTRONIC) CREDITS FILE

Electronic records concerning allocations of low-income housing tax credits. Electronic file includes tax credits allocation information, reservation dates as they related to the processing procedures, and other related records. Data is entered into this database electronically by housing developers and by office staff from signed original applications submitted by housing developers. (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Transfer paper input records to the Federal Low-Income Housing Tax Credits Applications File (Item 19672) after data is entered into database. Transfer electronic records to the Federal Low-Income Housing Tax Credits Database (Electronic) File (Item 28099) after tax credit award date.

ITEM 47713. FEDERAL LOW INCOME HOUSING TAX CREDIT ASSET MANAGEMENT FILE

Records concerning agency's responsibilities in administering Section 42 regulations. File includes monitoring information, correspondence, copies of Land Use Restrictions Agreement (LURA), applications, Qualified Allocation Plan (QAP), annual reports, certifications, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after compliance reporting period ends. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 47714. FEDERAL LOW INCOME HOUSING TAX CREDIT
WITHDRAWN/REVOKED/TERMINATED ASSET MANAGEMENT FILE**

Records concerning tax credit asset management that has had its participation in the tax credit program withdrawn, revoked, or terminated. File includes historical monitoring information, correspondence, copies of Land Use Restrictions Agreement (LURA), applications, Qualified Allocation Plan (QAP), annual reports, certifications, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after participation ends. Records will be held for agency in the State Records Center 9 additional years and then destroyed.

**ITEM 47715. FEDERAL LOW INCOME TAX CREDIT AND RENTAL PRODUCTION PROGRAM
ASSET MANAGEMENT FILE**

Records concerning the administration of Section 42 regulations and Rental Production Program (RPP) loan requirements. File includes monitoring documents, tax credit and state credit Land Use Restrictions Agreements (LURA'S), applications, Qualified Allocation Plan (QAP), annual reports, certifications, RPP loan documents, rent increases, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after longest compliance period has ended. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 47716. FEDERAL LOW INCOME TAX CREDIT (8823) FILE

Copies of Form 8823 filed with the Internal Revenue Service annually.

DISPOSITION INSTRUCTIONS: Destroy in office after 21 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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RENTAL INVESTMENT PROGRAMS**

ITEM 47717. RENTAL PRODUCTION PROGRAM ASSET MANAGEMENT FILE

Records in paper and electronic formats concerning loan requirements for properties with Rental Production Program funds with no tax credits. File includes monitoring documents, correspondence, loan documents, rent increases, reserve releases, annual reports, certifications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after compliance period ends.

ITEM 47718. TENANT BASED RENTAL ASSISTANCE FILE

Records concerning the administration of emergency funds for Tenant Based Rental Assistance program. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after rental assistance ends.

ITEM 47719. 80/20 NONSUBSIDIZED ASSET MANAGEMENT FILE

Records in paper and electronic formats concerning 80/20 Nonsubsidized Asset Management program. File includes monitoring reviews, correspondence, and financial statements.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 3 years after bonds are no longer outstanding if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy records after completion of action and resolution of issues involved.

ITEM 47720. MULTIFAMILY RENTAL SUBSIDY PROGRAM FILE

Records concerning tenant income and occupancy information. File includes subsidy payments for projects financed by the N.C. Housing Finance Agency with tax exempt bonds. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47722. PRESERVATION LOAN PROGRAM DEVELOPMENT FILE

Records concerning the allocation of funds for the development of multi-family low-income housing using HOME, Housing Trust, or HOME Match money. File includes loan documentation, due diligence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 25 additional years and then destroyed.

ITEM 47723. RENTAL PRODUCTION PROGRAM DEVELOPMENT FILE

Records concerning the allocation of funds for the development of multi-family low-income housing using HOME, Housing Trust, or HOME Match money. File includes loan documentation, due diligence, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 25 additional years and then destroyed.

ITEM 47724. STATE LOW-INCOME HOUSING TAX CREDITS DEVELOPMENT FILE

Records concerning the allocation of state low-income housing tax credits. File includes state tax credit allocation forms, loan documentation, due diligence, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 25 additional years and then destroyed.

**N.C. HOUSING FINANCE AGENCY BOARD
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RENTAL INVESTMENT PROGRAMS**

ITEM 47725. KEY PROGRAM FILE

Records concerning payment requisitions and tenant information. File includes payments and property records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after all rental assistance ends.

ITEM 47726. KEY PAYMENT FILE

Monthly payment requisitions by property and year.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after all rental assistance ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47728. KEY PROPERTY FILE

Records in paper and electronic formats concerning tenants renting property. File includes moving information, agreements with landlords, electronic funds transfer agreements, and correspondence. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after termination of rental assistance.

ITEM 47729. 501C BOND ASSET MANAGEMENT FILE

Records in paper and electronic formats concerning 501C bonds. File includes monitoring documents, correspondence, and copies of 501C bonds.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after bonds are no longer outstanding if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47730. SUPPORTIVE HOUSING ASSET MANAGEMENT FILE

Records concerning Supportive Housing loan requirements. File includes monitoring documents, correspondence, loan documents, financial statements, annual reports, certifications, rent rolls, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after compliance period has ended if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47731. AFFORDABLE HOUSING DISPOSITION PROGRAM (RTC) ASSET MANAGEMENT FILE

Records in paper and electronic formats concerning the administration of the Affordable Housing Disposition Program. File includes monitoring documents, correspondence, annual reports, certifications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

ITEM 47732. AFFORDABLE HOUSING DISPOSITION PROGRAM (RTC) SOLD OR RETURNED TO FDIC FILE

Records concerning turning property back over to the Federal Deposit Insurance Corporation (FDIC) for non-compliance. File includes information related to a sale of a qualified unit and non-compliance.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

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RENTAL INVESTMENT PROGRAMS**

ITEM 47733. PRESERVATION LOAN PROGRAM ASSET MANAGEMENT FILE

Records concerning Preservation Loan Program (PLP) loan requirements. File includes monitoring documents, correspondence, loan records, rent increases, reserve releases, financial statements, annual reports, certifications, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after termination of compliance period. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 47734. NON-PERFORMANCE CONTRACT ADMINISTRATION SECTION 8 CONTRACT FILE

Records concerning management of contract for each property. File includes contracts, rent schedules, 9250 forms, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after contract administration has ended if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47735. NON-PERFORMANCE CONTRACT ADMINISTRATION SECTION 8 MANAGEMENT FILE

Records in paper and electronic formats concerning the administration of each property. File includes management reviews, correspondence, copies of rent schedules, and reserve for replacement.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 47736. NON-PERFORMANCE CONTRACT ADMINISTRATION SECTION 8 FINANCIAL FILE

Records concerning the financial management of each property. File includes financial statements and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after contract administration has ended if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47737. NON-PERFORMANCE CONTRACT ADMINISTRATION SECTION 8 PAYMENTS FILE

Records concerning payments per property. File includes Housing Assistance Payment (HAP) vouchers, special claims, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47738. NON-PERFORMANCE CONTRACT ADMINISTRATION SECTION 8 RESERVE FOR REPLACEMENT FILE

Records in paper and electronic formats concerning Reserve for Replacement (R4R) requests. File includes supporting documentation and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

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RENTAL INVESTMENT PROGRAMS**

ITEM 47739. PERFORMANCE BASED CONTRACT ADMINISTRATION SECTION 8 PROGRAM FILE

Records in paper and electronic formats concerning the administration of the Non-Performance Section 8 contract with Quadel, which is a company that specializes in training, consulting, and outsourced management services. File includes proposals, correspondence, directives, annual contributions contract (ACC) documents, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after contract administration has ended if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47740. PERFORMANCE BASED CONTRACT ADMINISTRATION SECTION 8 ANNUAL COMPLIANCE REVIEW FILE

Records in paper and electronic formats concerning annual Housing and Urban Development (HUD) compliance review. File includes reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 5 years after contract administration has ended.

ITEM 47741. PERFORMANCE BASED CONTRACT ADMINISTRATION SECTION 8 QUALITY CONTROL REPORTS FILE

Records concerning quality control reports. File includes monthly, quarterly, and annual reports submitted to Housing and Urban Development (HUD) from NC Quadel (NCQ) and monthly quality control reports of NCQ submitted by the North Carolina Housing Finance Agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 47742. PERFORMANCE BASED CONTRACT ADMINISTRATION SECTION 8 ANNUAL CONTRIBUTIONS CONTRACT (ACC) AMENDMENTS FILE

Records concerning annual contributions contract (ACC) amendments. File includes monthly ACC amendments from Housing and Urban Development (HUD), annual conflict of interest statements, Equal Employment Opportunity (EEO), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**N.C. HOUSING FINANCE AGENCY BOARD
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STRATEGIC INVESTMENT SECTION**

ITEM 19648. TAX-EXEMPT BOND REPORTING FILE

Records concerning federal tax-exempt bond requirements. File includes reports submitted to the U.S. Internal Revenue Service.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 28101. HOUSING TRUST FUND PROGRAM DATABASE (ELECTRONIC) FILE

Electronic records concerning recipients of the Housing Trust Fund. Data is entered into this database from the Housing Trust Fund Database (Electronic) File (Item 28132). (Data is maintained using the Management Information System for Tracking and Reporting Data (MISTRDATA).) (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when reference value ends.

ITEM 28102. HOUSING RESOURCES DATABASE (ELECTRONIC) FILE

Electronic records concerning housing organizations in North Carolina. Electronic file also includes the Housing Resource Guide. Data is entered into this database from the Housing Resources Guide Database (Electronic) File (Item 28130). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when superseded or obsolete.

ITEM 28126. FUNDING AGREEMENTS FILE

Funding agreements entered into for programs administered by the section.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 28127. FUNDING BY PROGRAM AND COUNTY FILE

Listings of grants and loans allocated from the Housing Trust Fund for specific programs in each county of the state.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 28128. GOALS AND OBJECTIVES FILE

Goals and objectives established for the section and the agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 28130. HOUSING RESOURCES GUIDE DATABASE (ELECTRONIC) FILE

Electronic records concerning housing organizations and assisted rental units in North Carolina. Data is entered into this database by office staff. (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.)

DISPOSITION INSTRUCTIONS: Transfer paper input records to Housing Resource Manual File (Item 28131) after information is transferred electronically to the Housing Resources Database (Electronic) File (Item 28102).

ITEM 28131. HOUSING RESOURCES MANUAL FILE

Records concerning housing organizations and assisted rental units in the state.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
STRATEGIC INVESTMENT SECTION**

ITEM 28132. HOUSING TRUST FUND DATABASE (ELECTRONIC) FILE

Electronic records concerning Housing Trust Fund program recipients. Data is entered into this database from the Emerging Opportunities Program File (Item 47402), Home Ownership of Single Family Homes (Hope 3) Program File (Item 47403), Single Family Rehab (SFR) Program File (Item 47404), Rehab Incentive Program (RIP) File (Item 47405), Urgent Repair Program (URP) File (Item 47406), Self Help Loan Pool File (Item 47407), Displacement Prevention Demonstration Program File (Item 47408), New Homes Loan Pool File (Item 47398), Supportive Housing Development Program (SHDP) File (Item 47898), and Individual Account Program (IDAP) File (Item 47899). (File maintenance and backup procedures are conducted by the Information Technology Section of the N.C. Housing Finance Agency.) (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer electronically to the Housing Trust Fund Program Database (Electronic) File (Item 28101) when all quality control procedures have been completed.

ITEM 28133. HOUSING TRUST FUND PROGRAMS FILE

Records concerning each program funded under the Housing Trust Fund. File includes applications, funding agreements, correspondence, performance reports, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 28134. INDEX FILE

Listings of where specific information can be located.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 28139. OIL OVERCHARGE FUNDS FILE

Records concerning oil overcharge funds. File includes court settlement agreements. (Plans filed with U.S. Department of Energy.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 28141. PLANNING AND DEVELOPMENT FILE

Records concerning the development of new programs for the agency. File includes correspondence and drafts of new programs.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 28144. PREPAYMENT STUDY FILE

Records concerning federally-assisted rental housing in North Carolina.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 28151. SPEECHES FILE

Speeches made by departmental staff members.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 47398. NEW HOMES LOAN POOL FILE

Previously Affordable Home Ownership Program (AHOP), Home Ownership Production (HOP), Home Buyer's Assistance (HBA), and Housing Production Program-Ownership (HPPO). File includes program documents (notice of funding availability, application guidelines, application forms, applications received, loans approved, and other related records) for loan pool.

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**N.C. HOUSING FINANCE AGENCY BOARD
N.C. HOUSING FINANCE AGENCY
STRATEGIC INVESTMENT SECTION**

ITEM 47401. HOUSING COUNSELING GRANT FILE

Applications and funding information for housing counseling grants received by the agency from U.S. Department of Housing and Urban Development (US HUD). (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47402. EMERGING OPPORTUNITIES PROGRAM FILE

Program documents for the Emerging Opportunities Program. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47403. HOME OWNERSHIP OF SINGLE FAMILY HOMES (HOPE 3) PROGRAM FILE

Applications and funding information for the HOPE 3 grant received by the agency from U.S. Department of Housing and Urban Development (US HUD). (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47404. SINGLE FAMILY REHAB (SFR) PROGRAM FILE

Records concerning the Single Family Rehab (SFR) Program. File includes non-funded applications, application guidelines, application forms, applications received, approved grants, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47405. REHAB INCENTIVE PROGRAM (RIP) FILE

Records concerning the Rehab Incentive Program (RIP). File includes non-funded applications, application guidelines, application forms, applications received, approved grants, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 47406. URGENT REPAIR PROGRAM (URP) FILE

Program records concerning the Urgent Repair Program (URP). File includes non-funded applications, application guidelines, application forms, applications received, approved grants, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47407. SELF HELP LOAN POOL FILE

Records concerning the Self Help Loan Program. File includes non-funded applications, application guidelines, application forms, applications received, approved loans, and other related records. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47408. DISPLACEMENT PREVENTION DEMONSTRATION PROGRAM FILE

Applications and funding information for the program. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47898. SUPPORTIVE HOUSING DEVELOPMENT PROGRAM (SHDP) FILE

Records concerning the Supportive Housing Development Program (SHDP). File includes non-funded applications, application guidelines, forms, loans approved, and other related records.

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 47899. INDIVIDUAL DEVELOPMENT ACCOUNTS LOAN POOL (IDALP) PROGRAM FILE

Records concerning the Individual Development Accounts Loan Pool (IDALP) Program. File includes non-funded applications, application guidelines, contact information, approved loans, and other related records.

DISPOSITION INSTRUCTIONS: Transfer loan records to Finance Section, Servicing, Deeds of Trust and Notes File (Item 28124). Destroy in office remaining records 5 years after closeout of loans if no litigation, claim, audit, or other official actions involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 49265. HOME ENERGY LOAN POOL (HELP) FILE

Records in paper and electronic formats, including e-mail, concerning the administration of program funds by Duke Energy Carolinas used for energy-efficiency measures performed in association with the comprehensive rehabilitation of the homes of participating Duke Energy customers. File includes resumes, member applications for HELP pool, and correspondence. (Comply with applicable provisions of 5 USC Sec. 552a and G.S. 132.1-10 regarding confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Retention of electronic e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print e-mail records and interfile with related paper records. Destroy in office remaining paper and electronic records after 5 years.