

## Request for Records Disposition Authority

Records Schedule Number           DAA-0029-2013-0001  
 Schedule Status                    Modified Approved Version

Agency or Establishment           Bureau of the Census  
 Record Group / Scheduling Group   Records of the Bureau of the Census  
 Records Schedule applies to       Major Subdivision  
 Major Subdivision                 Social, Economic and Housing Statistics Division (SEHSD)  
 Minor Subdivision                 Financial & Market Characteristics Branch (FMCB)  
 Schedule Subject                 Housing Vacancy Survey (HVS), Survey of Market Absorption (SOMA) and the New York City Housing & Vacancy Survey (NYCHVS) Records.

Internal agency concurrences will be provided   No

Background Information           The following supersedes Items 163, Housing Vacancy Survey (HVS), 165, Survey of Market Absorption (SOMA), and 166 New York City Housing Vacancy Survey (NYCHVS) of Record Schedule NC1-29-79-7.

Please note that Items 161 (Five City Housing Survey), 162 (Quarterly Housing Survey), 164 (Annual Housing Survey), 167 (Residential Finance Survey), and 168 (Components of Inventory Change Survey) have been discontinued and can be deleted.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	3	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0029-2013-0001

Sequence Number	
1	Housing Vacancy Survey (HVS) - Public Documentation Disposition Authority Number: DAA-0029-2013-0001-0001
2	Housing Vacancy Survey (HVS) - Non-Public Documentation Disposition Authority Number: DAA-0029-2013-0001-0002
3	Survey of Market Absorption (SOMA) - Public Documentation Disposition Authority Number: DAA-0029-2013-0001-0003
4	Survey of Market Absorption (SOMA) - Non-Public Documentation Disposition Authority Number: DAA-0029-2013-0001-0004
5	New York City Housing & Vacancy Survey (NYCHVS) - Public Documentation Disposition Authority Number: DAA-0029-2013-0001-0005
6	New York City Housing and Vacancy Survey (NYCHVS) - Non Public Documentati on Disposition Authority Number: DAA-0029-2013-0001-0006

## Records Schedule Items

Sequence Number	
1	<p data-bbox="358 406 1127 449"><b>Housing Vacancy Survey (HVS) - Public Documentation</b></p> <p data-bbox="358 459 1141 502">Disposition Authority Number      DAA-0029-2013-0001-0001</p> <p data-bbox="358 512 1498 1853">Introduction The Housing Vacancies and Homeownership provides current information on the rental and homeowner vacancy rates, and characteristics of units available for occupancy. These data are used extensively by public and private sector organizations to evaluate the need for new housing programs and initiatives. In addition, the rental vacancy rate is a component of the index of leading economic indicators and is thereby used by the Federal Government and economic forecasters to gauge the current economic climate. Rental and homeowner vacancy rates and homeownership rates are available for the U.S., regions, states, and for the 75 largest Metropolitan Statistical Areas (MSAs). Data for all geographies are available both quarterly and annually. Homeownership rates are also tabulated by age of householder and by family status for the U.S. and regions and by race/ethnicity of householder and by median family income for the U.S. In addition, estimates of the total housing inventory and percent distributions of vacant for-rent and for-sale-only units are available for the U.S. and regions. 2011 HVS Sample and Methodology The Current Population Survey/Housing Vacancy Survey is administered by the Census Bureau using a probability selected sample of about 72,000 housing units, both occupied and vacant. The fieldwork is conducted during the calendar week that includes the 19th of the month. The questions refer to activities during the prior week; that is, the week that includes the 12th of the month. Households from all 50 states and the District of Columbia are in the survey for 4 consecutive months, out for 8, and then return for another 4 months before leaving the sample permanently. This design ensures a high degree of continuity from one month to the next (as well as over the year). The 4-8-4 sampling scheme has the added benefit of allowing the constant replenishment of the sample without excessive burden to respondents. The CPS/HVS questionnaire is a completely computerized document that is administered by Census Bureau field representatives across the country through both personal and telephone interviews. Transferred public documentation is set to include: 1. Survey Materials: List of questions from survey instrument, Survey Advance Letter 2. Technical Documentation: Interview Manual, and Design and Methodology Technical Paper 3. General Documentation: Source and Accuracy Statement, Definitions and Explanations, Overview, and Frequently Asked Questions 4. Data Tables: Detailed Tables, Historical Tables, Quarterly Vacancy and Homeownership Rates by State and MSA, and Annual Statistics Disposition of Public Use Files – Permanent: All HVS-related Public Use Files materials will be transferred to NARA electronically each April after the annual statistics for the previous year are released.</p> <p data-bbox="358 1864 919 1906">Final Disposition                                      Permanent</p>

	<b>Item Status</b>	Active
	Is this item media neutral?	No
	Explanation of limitation	Public Documentation.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-29-79-7, Item 163 (HVS),
	<b>Disposition Instruction</b>	
	Transfer to the National Archives for Accessioning	Transferred public documentation is set to include: 1. Survey Materials: List of questions from survey instrument, Survey Advance Letter 2. Technical Documentation: Interview Manual, and Design and Methodology Technical Paper 3. General Documentation: Source and Accuracy Statement, Definitions and Explanations, Overview, and Frequently Asked Questions 4. Data Tables: Detailed Tables, Historical Tables, Quarterly Vacancy and Homeownership Rates by State and MSA, and Annual Statistics Disposition of Public Use Files – Permanent: All HVS-related Public Use Files materials will be transferred to NARA electronically each April after the annual statistics for the previous year are released.
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown The records will be transferred April after the annual statistics for the previous year are released.
	How frequently will your agency transfer these records to the National Archives?	Every 12 Months
2	<b>Housing Vacancy Survey (HVS) - Non-Public Documentation</b>	
	Disposition Authority Number	DAA-0029-2013-0001-0002
	Retain non-public documentation is set to include.	1. Survey Training Materials: a. Initial Training: CPS CAPI 270A, 271, and 277 b. CPS Interviewing

Manual: CPS 250 c. Listing and Coverage Manual: Form 11-8 2. Technical Documentation: Survey-related memoranda, meeting notes, e-mail exchanges, mail correspondence, SAS programs, etc. 3. Data: Occupied and Vacant Records Disposition of non-public documentation: All non-public HVS-related materials will be retained until no longer needed.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Retention Period Destroy when no longer needed

Additional Information

GAO Approval Not Required

Survey of Market Absorption (SOMA) - Public Documentation

Disposition Authority Number DAA-0029-2013-0001-0003

Survey of Market Absorption (SOMA) - Public Documentation Introduction  
The Survey of Market Absorption (SOMA), sponsored by the Department of Housing and Urban Development (HUD), uses the Census Bureau's Survey of Construction (SOC) as its sampling base. Each month, a sample of residential buildings containing five or more units is selected for SOMA. The initial 3-month interview collects information on amenities, rent or sales price levels, number of units, type of building, and the number of units taken off the market (absorbed). Field representatives conduct subsequent interviews, if necessary, at 6, 9, and 12 months after completion. Beginning in 2002, the survey started collecting information on "Senior Housing". Quarterly reports, including basic tabulations, are published and released on the Internet. These quarterly reports are generally available the first week of March, June, September, and December. Additionally, data on absorption rates for selected metropolitan areas are also released on the Internet at the same time. Pre-publication data, detailing information for regular rental units and condominiums is published approximately one month earlier. There are also two annual publications released on the internet, the H-130 Annual which provides 12-month absorption data for the previous year and is released the first week April and the H-131 Characteristics of Apartments Report which provides annual 3-month absorption rates - released the first week of July. 2011 SOMA Sample U.S. Census Bureau designed the survey to provide data concerning the

3

rate at which privately financed, nonsubsidized, unfurnished units in buildings with five or more units are rented or sold (absorbed). In addition, the survey collects data on characteristics such as number of bedrooms, asking rent, and asking price. Buildings for this survey come from those included in the Census Bureau's Survey of Construction (SOC). NOTE: The Survey of Construction includes two parts: the Survey of Use of Permits (SUP), which estimates the amount of new construction in areas that require a building permit, and the Non-Permit Survey (NP), which estimates the amount of new construction in areas that do not require a building permit. Less than 2 percent of all new construction takes place in non-permit areas.) Data from both parts of SOC are collected by Census field representatives. For SUP, they visit a sample of permit offices and select a sample of permits issued for new housing. For the SOC, the United States is first divided into primary sampling units (PSUs), which are stratified based on population and building permits. The PSUs to be used for the survey are then randomly selected from each stratum. Next, a sample of geographic locations that issue permits is chosen within each of the selected PSUs. All newly constructed buildings with five units or more within sampled places and a subsample of buildings with one to four units are included in the SOC. For the SOMA, the Census Bureau selects, each quarter, a sample of buildings with five or more units that have been reported in the SOC sample as having been completed during that quarter. The SOMA does not include buildings completed in areas that do not issue permits. In each of the subsequent four quarters, the proportion of units in the quarterly sample that are sold or rented (absorbed) are recorded, providing data for absorption rates 3, 6, 9, and 12 months after completion. An annual SOMA report is produced at the end of the first quarter of every year and details absorption information for all privately financed, nonsubsidized, unfurnished units in buildings with five or more units from the previous year. Additionally, every five years a comprehensive report is produced that includes ten (10) additional tables that provide historical data as restricted to privately financed, nonsubsidized, unfurnished rental apartments and condominium/cooperative units. Transferred public documentation is set to include: 1. Survey Materials: Questionnaire, Survey Advance Letter 2. General Documentation: Glossary, Definitions, and Frequently Asked Questions 3. Technical Documentation: Annual Analytical Text, Quarterly Reports 4. Data Tables: Annual Absorptions Tables, Annual and Historical Charts and Graphs, Annual Standard Errors Tables, Annual Senior Housing Table, Quarterly Pre-Publication Tables, Quarterly Metropolitan Area Absorption Rate Tables, Characteristics of Apartments Completed Tables.

Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Public Documentation
Do any of the records covered by this item currently exist in	Yes

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-29-79-7, Item 165

**Disposition Instruction**

Transfer to the National Archives for Accessioning Disposition of Public Use Files – Permanent: All SOMA-related Public Use Files will be transferred to NARA each August after the annual statistics for the previous two years are released. The data and technical documentation will be transferred to NARA electronically.

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? Unknown  
All SOMA-related Public Use Files will be transferred to NARA each August after the annual statistics for the previous two years are released. The data and technical documentation will be transferred to NARA electronically.

How frequently will your agency transfer these records to the National Archives? Every 12 Months

4

**Survey of Market Absorption (SOMA) - Non-Public Documentation**

Disposition Authority Number DAA-0029-2013-0001-0004

Retained non-public documentation is set to include: 1. Survey Training Materials: Field Representative's Manual (Form SOMA-3) 2. Technical Documentation: Survey-related memoranda, meeting notes, e-mail exchanges, mail correspondence, SAS programs, flowcharts, re-codes, etc. Disposition of non-public documentation: All non-public SOMA-related materials will be retained until no longer needed.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? **Yes**

**Disposition Instruction**

Retention Period **Destroy when no longer needed**

**Additional Information**

GAO Approval **Not Required**

**New York City Housing & Vacancy Survey (NYCHVS) - Public Documentation**

Disposition Authority Number **DAA-0029-2013-0001-0005**

Introduction The New York City Housing and Vacancy Survey (NYCHVS), sponsored by the New York City Department of Housing Preservation and Development, is conducted every 3 years to comply with New York state and New York City's rent regulation laws. The Census Bureau has conducted the survey for the City since 1965. The 2011 NYCHVS is the 15th such survey. Detailed data from the survey cover many characteristics of the City's housing market, including characteristics of the City's population, households, housing stock, and neighborhoods. The rental vacancy rate is the primary focus of the survey, because that value is crucial to the current rent regulation laws. Other important survey data on housing include rent regulatory and homeownership status, structural conditions, unit maintenance and neighborhood conditions; crowding, rents, utility costs, type of heating fuel, rent/income ratios; owner purchase price and estimated value, mortgage status and interest rate; number of stories and units in building, cooperative/condominium status, wheelchair accessibility, and much more about housing and households in New York City. In addition to housing data, extensive information on characteristics of the population and households occupying housing units is collected, such as age, sex, race, ethnicity, education, household composition, birth region, when/why household moved, income, employment, and labor force status. Data from the NYCHVS can be useful for planning, program development, policy analysis, research and public information. 2011 NYCHVS Sample Sample units for the 2011 NYCHVS came from two primary sources: 1) the 2010 Decennial Census, and 2) a file of addresses listing all residential units, citywide, issued Certificates of Occupancy for new construction from April 1, 2010 through November 30, 2010. A sample of alterations and conversions covering the period from April 1, 2010 through November 30, 2010, was also added. Additional sample units were drawn from a list of housing units located in structures owned by the city because the owner failed to pay taxes or other charges on the property (in rem units). Refer to the Source and Accuracy Statement for more detail. Approximately 19,000 units throughout the city were selected as a representative sample of the housing in the five boroughs of New York City. Each sample unit represents approximately 170 similar housing units. The Census Bureau attempts to obtain an interview at each sample unit. In the 2011 NYCHVS, the interview rate was 98%. Transferred

5



public documentation is set to include: 1. Survey Materials: Questionnaire, Survey Fact Sheet, Survey Advance Letter, and Respondent Flash Card 2. Technical Documentation: Record Layouts, Industry Codes, Occupational Codes, Top Codes, Source and Accuracy Statement, Sub-borough Area Definitions, and Sub-borough Area Maps 3. General Documentation: Glossary, Definitions of Rent Regulation Status, Abstract, Overview, and Frequently Asked Questions 4. Data Tables: Series IA - Renter-Occupied Housing Units, Series IB - All Other Occupied Housing Units, Series IIA - Vacant-for-Rent Housing Units, Series IIB - All Other Vacant Housing Units, Series VIIA - Population in Households/Renter-Occupied Units, Series VIIB - Population in Households/All Occupied Units, and Standard Errors of the Estimates. 5. Data Files: Occupied Records, Person Records, and Vacant Records Disposition of Public Use Files – Permanent: All NYCHVS-related Public Use Files will be transferred to NARA by the end of each survey contract cycle (approximately every three years), which is usually by the end of the second year after the survey has taken place (December 2013 for the 2011 survey). The data and technical documentation will be transferred to NARA electronically.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Public Documentation

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-29-79-7, Item 166

**Disposition Instruction**

Transfer to the National Archives for Accessioning Disposition of Public Use Files – Permanent: All NYCHVS-related Public Use Files will be transferred to NARA by the end of each survey contract cycle (approximately every three years), which is usually by the end of the second year after the survey has taken place (December 2013 for the 2011 survey). The data and technical documentation will be transferred to NARA electronically.

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? Unknown  
All NYCHVS-related Public Use Files will be transferred to NARA by the end of each survey

How frequently will your agency transfer these records to the National Archives?

contract cycle (approximately every three years), which is usually by the end of the second year after the survey has taken place (December 2013 for the 2011 survey). The data and technical documentation will be transferred to NARA electronically.

Unknown  
All NYCHVS-related Public Use Files will be transferred to NARA by the end of each survey contract cycle (approximately every three years), which is usually by the end of the second year after the survey has taken place (December 2013 for the 2011 survey). The data and technical documentation will be transferred to NARA electronically.

6 **New York City Housing and Vacancy Survey (NYCHVS) - Non Public Documentation**

Disposition Authority Number **DAA-0029-2013-0001-0006**

Retained non-public documentation is set to include: 1. Survey Training Materials: Field Representative's Manual (Form H-104), Field Representative's Pre-Classroom Training Curriculum Plan (Form H-900), Guide for Training Field Representatives (Form H-106), Self-Study for Field Representatives (Form 106.1), Answer Key for Self-Study Interviews (Form H-106.2), Question 3 Job-Aid (Form H-106.4), Field Representative's Class room Training Workbook (Form H-106.5), Field Representative's Training Practice Interview Booklet (Form H-106.6), Wheelchair Accessibility Guide (Form H-106.7), Crew Leader's Manual (Form H-107), Crew Leader's Training Guide (Form H-210), Crew Leader's Classroom Workbook (Form H-210.1), Regional Office Manual (Form H-114). 2. Technical Documentation: Survey-related memoranda, meeting notes, e-mail exchanges, mail correspondence, SAS programs, flowcharts, re-codes, maps, etc. Disposition of non-public documentation: All non-public NYCHVS-related materials will be retained until no longer needed.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation	NC1-29-79-7, Item 166
Disposition Instruction	
Retention Period	Destroy when no longer needed
Additional Information	
GAO Approval	Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
01/16/2013	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
01/17/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
01/31/2013	Submit For Certification	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
01/31/2013	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
03/19/2013	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
03/22/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/22/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/26/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist