

Records Related to the Office of Healthcare Programs

Schedule 24

This Schedule provides disposition instructions for records located in the Field and Headquarters produced as a result of HUD'S subsidized and unsubsidized Healthcare Programs.

Item No.	Description of Records	Retention Instructions	Disposition Authority
1.	Records pertaining to the administration and management of the Office of Hospital Facilities' underwriting division.	Temporary. Filed by fiscal year and by topic (if applicable). Destroy 3 years after date of last entry.	NARA Job No. NC1-207-78-12, Item 1
2.	Records relating to pre-applications and applications where no long-term obligation of the FHA is created (withdrawals or denials).	Temporary. Filed by hospital and fiscal year. Destroy 6 years after date of last entry.	NARA Job No. NC1-207-78-12, Item 4B
3.	Records pertaining to the administration and management of the Office of Hospital Facilities' asset management and servicing division.	Temporary. Filed by fiscal year and by project (if applicable). Destroy 3 years after data of last entry.	NARA Job No. NC1-207-78-12, Item 5
4.	Project Mortgage Origination File , where a long-term obligation of the FHA is created. Records used to develop and document an underwriting decision.	Temporary. Filed by hospital and fiscal year. Maintain for the life of the loan (a maximum of 25 years). Destroy 6 years after FHA exposure ceases.	NARA Job No. NC1-207-78-12, Item 7
5.	Project Mortgage Servicing File (Legal Records) – Legal records generated after final or initial/final endorsement through the life of the loan.	Temporary. Filed by hospital. Maintain for the life of the loan (a maximum of 25 years). Destroy 6 years after FHA exposure ceases.	NARA Job No. NC1-207-78-12, Item 8
6.	Legal records pertaining to an application, endorsement (initial final, and initial/final).	Temporary. Filed by hospital. Maintain for the life of the loan (a maximum of 25 years). Destroy 6 years after FHA exposure ceases.	NARA Job No. NC1-207-78-12, Item 8
7.	Program records pertaining to an application endorsement (initial, final, and initial/final).	Temporary. Filed by hospital and fiscal year. Maintain for the life of the loan (a maximum of 25 years).	NARA Job No. NC1-207-78-12, Item 8

		Destroy 6 years after FHA exposure ceases.	
8.	Project Mortgage Servicing File (Program) – Records generated after initial or initial/final endorsement through the life of the loan. Includes non-legal records related to the day-to-day oversight of portfolio hospitals.	Temporary. Filed by hospital. Maintain for the life of the loan (a maximum of 25 years). Destroy 6 years after FHA exposure ceases.	NARA Job No. NC1-207-78-12, Item 7
9.	General administrative reference files	Temporary.	See GRS 5.1 Common Office Records
10.	General Subject/Chronological Correspondence. Official Record Copies of outgoing correspondence, original incoming correspondence, copies of HUD issuances, notices, directives, and related documents.	Temporary. Break files annually. Destroy 3 years after file break, but longer retention is authorized if required for business use.	NARA Job No. N1-207-86-3, Item 1
11.	General Correspondence – Correspondence from individuals, public or private organizations and responses from program office.	Temporary. Cut off at end of calendar or fiscal year, as appropriate. Destroy 3 years after cutoff, but longer retention is authorized if required for business use.	NARA Job No. N1-207-04-3, Item 6
12.	Construction Management documents , documents related to Construction Site Plans (Project Files) that HUD Inspector (Contractors) send to HUD staff at the beginning and end of the Production process	Temporary. Make file enactive at the close of fiscal year in which the Secretary ceases to have liability and or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the project	NARA Job No. NC1-207-78-12, Item 7
13.	Correspondence and Reports relating to specific projects. Materials include and pertain to applications, project selection, processing, and mortgage servicing activities.	Temporary. Make file enactive at the close of fiscal year in which the Secretary ceases to have liability and or interest in the project. Destroy 6 years after the Secretary ceases to	NARA Job No. NC1-207-78-12, Item 7

	a. Where a long term obligation of the Government is created by endorsement, contract or otherwise	have any liability and/or interest in the project	
	b. Where no long term obligation of the Government is created to require servicing as when an application is withdrawn or commitment denied	Temporary. Destroy 6 years after date of last entry.	NARA Job No. NC1-207-78-12, item 4b
14.	Correspondence regarding Underwriting and Closing , staff correspondence regarding underwriting and closing 232 applications	Temporary. Make file enactive at the close of fiscal year in which the Secretary ceases to have liability and or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the project	NARA Job No. NC1-207-78-12, Item 7
15.	Drawings and Specifications , plans and copies of construction changes	Temporary. Make file enactive after 1 year after final endorsement. Destroy 6 years after final endorsement	NARA Job No. NC1-207-84-2, Item 1
	a. Master drawings, specifications, plans and copies of construction changes		
	b. As-built drawings and specification. This file includes copies of construction changes	Temporary. Destroy 2 years after date of substantial completion	NARA Job No. NN-167-116, Item 5b
16.	Facility designs, engineering and construction records , Architectural and engineering drawings and other designs and construction record of buildings and structures not critical to agency mission	Temporary.	See GRS 5.4 Facility, Equipment, Vehicle, Property, and Supply Records, Item 50
	a. Drafts, preliminary, intermediate, working and contract negotiation drawings		
	b. Final and as built drawings, plans and designs; and all other records	Temporary.	See GRS 5.4 Facility, Equipment, Vehicle, Property, and Supply Records, Item 51

17.	Rejection Letters , HUD form 9332-ORCF "Certification of Exigent Health & Safety Issues"	Temporary.	See GRS 5.2 Transitory and Intermediary Records
18.	Risk Data Analysis , Risk Data Analysis for the 232 and 242 Programs	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
19.	Management Files , Files used by OHP Management related to HUD protocols, monthly meetings, staff communication and OHP business elements	Permanent. Break files annually. Retire to Federal Records Center 3 years after file break, or one year after incumbent leaves office, whichever is sooner. Transfer to National Archives 5 years after file break	NARA Job No. N1-207-95-1, Item 1a
20.	Management and Statistical Reports 232 Production Activity , Data is derived from 232 SharePoint site and then re-formatted into several reports on a monthly and weekly basis. 232 staff and leadership utilize the reports as reference materials.	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
21.	Contract File , Procuring goods and services is the acquisition of physical goods, products, personal property, capital assets, infrastructure services. a. Original files	Temporary.	See GRS 1.1 Financial Management and Reporting Record, Item 10
	b. Copies	Temporary.	See GRS 1.1 Financial Management and Reporting Record, Item 11
22.	Standard Operating Procedures (SOP)	Temporary. Destroy when superseded or obsolete	NARA Job No. NC1-207-78-1

23.	Acceptance Letter Send Out , Corporate Credit Review	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
24.	Underwriting and Closing Applications and closing documents	Temporary. Make files inactive at close of fiscal year in which the Secretary ceases to have any liability and/or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the project.	NARA Job No. NC1-207-78-12, Item 7
25.	Handbook 4232.1 REV-1 , Section 232 Program guidance	Permanent. Cut off when issuance or directive is closed, rescinded, superseded, or obsolete. Transfer custody to the National Archives 15 years after cutoff.	NARA Job NC1-207-80-5
26.	Amendments to existing Section 232 Regulations	Temporary. Destroy when superseded or obsolete	NARA Job No. NC1-207-78-1
27.	Environmental Reviews , reviews for underwriting 232 applications	Temporary. Make file enactive at the close of the fiscal year in which the Secretary ceases to have liability and/or interest in the project. Destroy 6 years after the Secretary ceases to have any liability and or interest in the project	NARA Job No. NC1-207-7812, Item 7
28.	Office Notice of Office of Residential Care Facilities , document's existence, specifies the legal authority of the agency to issue the document and gives the document evidentiary status	Temporary. Destroy when superseded or obsolete	NARA Job No. NC1-207-78-1
29.	Federal Register Notices	Temporary.	See GRS 5.7 Agency Accountability Records, Item 70

30.	Mortgagee Letters	Permanent. Cut off when issuance or directive is closed, rescinded, superseded, or obsolete. Transfer custody to the National Archives 15 years after cutoff.	NARA Job NC1-207-80-5
31.	Email Blast , Program announcements and clarification for industry partners	Temporary.	See GRS 5.1 Common Office Records, Item 10
32.	Section 232 Program Transaction forms	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
33.	Section 242 Program Transactions forms	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
34.	Section 242 Final Closing of Project memorandum , Memorandum listing the items reviewed that are included in the final closing packages.	Temporary.	See GRS 5.2 Transitory and Intermediary Records, Item 20
35.	Desk reference files	Temporary.	See GRS 5.1 Common Office Records, Item 10
36.	Delegation of Authority	Temporary.	See GRS 5.7 Agency Accountability Records, Item 70
37.	Audit Files a. Reports	Temporary	See GRS 5.7 Agency Accountability Records, Item 10
	b. Corrective Action	Temporary.	See GRS 5.7 Agency Accountability Records, Item 20

	c. Compiled reports	Temporary.	See GRS 1.1 Financial Management and Reporting Records, Item 20
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