

RECORDS DISPOSITION SCHEDULE 1

FIELD OFFICE RECORDS

This schedule covers mostly Title I and multifamily records in Field Offices.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
A. MULTIFAMILY (PROJECT) MORTGAGE INSURANCE PROGRAM FILES		
1-3.	RESERVED.	
4.	Washington Docket File (Multifamily Mortgage Insured Case File). This file includes such basic material as application; project income analysis and appraisal; commitment for insurance; financial requirements for closing; building loan agreement; architect's agreement; construction contract; building permits; bond or completion assurance agreement or indemnity agreement; off-site bond or escrow agreements, if any; title evidence; certified survey of property and final survey and certification; zoning ordinances; mortgage bond or note; mortgage or deed of trust; mortgagor's and mortgagee's certificates; property insurance requirements; chattel mortgage or incorporation of mortgagee's attorney; certificate of incorporation of mortgagor; regulatory agreement; bylaws of mortgagor-corporation; stock subscription agreements; minutes of meetings of directors and shareholders of mortgagor; mortgagor's oath; approved management contract; approved rental schedule; and other such significant material.	Transfer to Headquarters after final endorsement for insurance. See HUD Schedule 10 for disposal. (NARA Job NN-167-116, item 4)
5.	Drawings and Specifications (Multifamily Program).	
a.	Master drawings, specifications, plans, and copies of construction changes.	Retire to Federal Records Center 1 year after final endorsement. Destroy 6 years after final endorsement. (NARA Job NC1-207-84-2, item 1)

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b.	As-built drawings and specifications. This file includes copies of construction changes.	Destroy 2 years after date of substantial completion. (NARA Job NN-167-116, item 5(b))
6.	Field Office Docket (Multifamily Program). This file includes the residual or remaining copies of papers after the Washington Project Docket has been prepared.	Retire to Federal Records Center 3 years after final endorsement for insurance. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the transaction. (NARA Job NN-167-116, item 6)

Prior to the transfer of the Field Office Docket to the Federal Records Center, prepare Project Mortgage Servicing Folder. The Mortgage Servicing Folder will be maintained in the Field Office for Project Mortgage Servicing.

6-1. Project Mortgage Servicing Folder and Financial Analysis Subfolder.

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| a. | Project Mortgage Servicing Folder consists of separate folders for each Secretary-held project mortgage. The folders are established by transferring immediately after final endorsement of the mortgage for insurance, all required material from the Field Office Docket and adding the records accumulated as a result of servicing operations during the life of the mortgage. The folder contains duplicate copies of correspondence, underwriting and processing forms received or prepared in the course of processing a closed approved insured case; material accumulated during mortgage servicing; such as rental schedules, default notices, modification agreements and other material not filed in the Washington Docket File or other file. | Retire to Federal Records Center 3 years after the Secretary ceases to have any liability and/or interest in the transaction. Destroy 6 years after the Secretary ceases to have any liability and/or interest in the transaction. (NARA Job NN-167-116, item 6-1(a)) |
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b.	Financial Statements on Rental Housing Projects--Financial Analysis Subfolder. This folder is filed with the Project Mortgage Servicing Folder and contains annual financial statements and reports of onsite audits made by HUD, correspondence pertaining solely to financial statements and analyses, and statements pertaining to operations of mortgagors having mortgages insured by HUD in amounts ranging from \$50,000 to \$5,000,000 under various project mortgage insurance programs where provisions of the charter or regulatory agreement provide for the submission of such statements to HUD.	Retire to Federal Records Center 2 years after receipt of the current fiscal financial statement. Destroy 5 years after receipt of the current fiscal financial statements. (NARA Job NN-167-116, item 6-1(b))
7.	Delinquency Mortgage Service File. These are reference files, used during the delinquency of the mortgage. They contain delinquency notices; records of payments on delinquent mortgages; forbearance agreements; repayment schedules; reports on interviews, in person or by telephone; and other material on servicing delinquent accounts.	Destroy from Field Office 1 year after the property has been foreclosed or sold to a third party or the delinquency has been cured. (NARA Job NN-167-116, item 7)
8.	Noninsured Docket File. This file includes closed cases representing applications withdrawn or rejected and applications on which the commitment has expired, projects which were never built or projects financed without FHA insurance, and refunds, if any.	Destroy from Field Office 2 years after close of fiscal year in which closed as non-insured. File must be maintained for the full 2 year period to cover the probability of internal audit and the General Accounting Office audit. (NARA Job NN-167-116, item 8)

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9.	General Contractor Certified Copies of Weekly Payrolls. These are general contractor payroll records submitted weekly to HUD pursuant to regulations of the Secretary of Labor and provisions of the Anti-Kickback Act. These payroll records bear the name and address of each laborer, mechanic, helper, apprentice, or other workman employed in construction of the project, the workman's classification, rate of pay, daily and weekly number of hours worked, deductions made and actual wages paid.	Retire to Federal Records Center after final endorsement. Destroy 3 years after date of completion of contract. (NARA Job NN-167-116, item 9)

10-17. RESERVED.

B. CASE CONTROL FILE

18.	Official Receipt Control File. This file is a special accounting control for blank receipt forms charged out to typists.	Destroy 1 year after satisfactory accounting for each box of official receipts. (NARA Job NN-167-116, item 18)
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19-23. RESERVED.

C. REFERENCE FILES

24.	Land Planning Files. These are the land planning case files of FHA projects including site inspection reports and special studies.	Destroy after 5 years or after a new survey is made on the case. (NARA Job NN-171-125, item 24)
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25-26. RESERVED.

D. TITLE I LIQUIDATION FILES

The account cards and claims files, while in Field Offices, are official documents. When accounts are closed, a copy of the justification for closing will be kept in the Field Office in an alphabetical file.

27.	Title I Liquidation Account Cards.	Transfer to Headquarters after account is closed. (NARA Job NN-167-116, item 27)
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28.	Account Folder Files, Accounts Paid in Full.	Transfer to Headquarters after account is closed. (NARA Job NN-167-116, item 28)
29.	Claim Binder Files. File consists of defaulted Title I improvement loans, including correspondence, reports and photostats of documents accumulated in process of collecting money owed, or of attempting to do so.	Transfer to Headquarters after account is closed. (NARA Job NN-167-116, item 29)
30-36.	RESERVED.	

E. PROPERTY MANAGEMENT FILES

37.	Narrative Report File contains copies of reports to Headquarters regarding defaulted Title I, Class 1 and 2 cases maintained to enable a determination to be made as to whether a suit by the Department of Justice is feasible. Also includes photographs and a copy of single-line floor plans.	Destroy after 2 years, except for those reports covering property acquired or in process of being acquired by the Secretary. (NARA Job NN-167-116, item 37)
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F. CORRESPONDENCE AND ADMINISTRATIVE ISSUANCES

38.	Correspondence, General and Land Planning.	Retain correspondence relating to any specific project or to continuing technical matters, and to correspondence necessary to supplement the insured case file. Destroy after 1 year general and land planning correspondence not specified above in the retention provision. (NARA Job NN-167-116, item 38)
39.	RESERVED.	

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40.	Incoming and Outgoing correspondence with Headquarters, Nonrecord.	Destroy after 2 years. (NARA Job NN-167-116, item 40)
41.	Chronological File of Miscellaneous Outgoing Correspondence, Nonrecord.	Destroy after 6 months. (NARA Job NN-167-116, item 41)
42.	Field Office Circular Letters are letters of instruction to HUD employees, mortgagees, builders, and others doing business with HUD. They keep the addressees fully informed of the policies, requirements, and procedures covering official HUD operations.	Retire 1 copy of each Field Office circular letter to the Federal Records Center 2 years after close of calendar year involved. Destroy 5 years after close of calendar year involved. (NARA Job NN-169-112, item 42)
43.	Issuances (Handbooks, Guides, Circulars, Notices, Mortgagee Letters, and FHA Manual Systems).	Maintain one complete set of all issuances and manuals in the Administrative Office. Also maintain the superseded or canceled portions of the manual and other issuances as a library copy for 3 years. Destroy obsolete or superseded material after 3 years. (NARA Job NN-169-107, item 43)
44-47.	RESERVED.	

G. REPORTS

48.	Annual Inventory of Project Cases On Hand (Copies). This is FHA Form 2087-P Report, a project inventory for insurance authorization, fiscal, and statistical control purposes. Nonrecord.	Destroy after 1 year. (NARA Job NN-167-116, item 48)
49.	Report of Default Status (Copies). These reports summarize the default status of FHA insured mortgages, both home and multifamily project. They are nonrecord copies.	Destroy both (a) and (b) after 3 years. (NARA Job NN-169-126, item 49)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(a) Monthly Report of Default Status-- Projects (FHA Form 2680).	
	(b) Annual Report of Default Status-- Home Mortgages (FHA Form 2068) and Report of Current Home Mortgage Status (FHA Form 2068-S).	
50.	Notice of Default Status (Home Mortgage, FHA Form No. 2068). This card file contains nonrecord copies of Notice of Default Status (Form 2068) on Home Mortgages only.	Destroy when (a) property is conveyed; (b) insurance contract is terminated; or (c) the account is reinstated. (NARA Job NN-167-116, item 50)
51.	Default Status Correspondence. This file contains correspondence pertaining solely to FHA Form No. 2068 reports, filed in case number sequence and chronologically within each case folder, latest date on top.	Destroy when (a) property is conveyed; (b) insurance contract is terminated; or (c) the account is reinstated. (NARA Job NN-167-116, item 51)
52.	Individual Cooperator Applications under Sections 213 and 221(d)(3). These are copies of applications for individual cooperators where the property is fully occupied and finally endorsed for insurance.	Retire to Federal Records Center 6 months after final endorsement for insurance. Destroy 5 years after final endorsement for insurance. (NARA Job NN-167-116, item 52)
53.	Mortgage Credit Files--Individual Cooperators under Sections 213 and 221(d)(3). These files contain application, credit report, verification of employment and bank account, and related correspondence.	Retire to Federal Records Center 2 years after final endorsement for insurance. Destroy 5 years after final endorsement for insurance. (NARA Job NN-167-116, item 53)
54-74. RESERVED.		

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H. PERSONNEL RECORDS		
75.	Applicant Supply System. File consists of employment applications, recruiting lists, etc.	Use General Records Schedule 1, item 15.
Note: After a Civil Service Commission inspection audit has been received, certain of these records may be destroyed. If an office has not been inspected for more than 2 years, certain records may be destroyed upon prior approval of the Civil Service Commission.		
76.	Unofficial Service Record Control File. File consists of position identification strips, SF-70 and Service Record Cards, SF-7.	Use General Records Schedule 1, items 2 and 11.
77.	Unofficial Personnel Folders.	Use General Records Schedule 1, item 18.
78.	Position Description File.	Use General Records Schedule 1, item 7.
79.	Personnel Reference File. These files include any HUD Personnel Manual, Federal Personnel Manual, Departmental Circulars, Civil Service X Handbooks, etc.	Destroy when superseded or obsolete. (NARA Job NN-167-116, item 79)
80.	Personnel Inspection and Evaluation Reports File. File includes pertinent correspondence.	Use General Records Schedule 1, item 3.
81.	RESERVED.	
82.	Reemployment Priority Lists.	Use General Records Schedule 1, item 17b.
83-90.	RESERVED.	
I. FISCAL RECORDS (Other than those under Item 18 above)		
91.	Refund Pending File. This item is nonrecord.	Destroy after preparation of voucher. (NARA Job NN-167-116, item 91)

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92.	Field Expense and Time Distribution Reports. File consists of work sheets and supporting data, such as Form 2089b and carbon copies of what is designated as the Form 2395 series of reports.	Destroy after 1 year. (NARA Job NN-167-116, item 92)
93.	Field Office Copies of Schedules of Collections, Certificates of Deposits, Official Receipts, Field Office Inventory Controls, and Transmittal Schedules (Opening and/or Closing).	Destroy 1 year after close of calendar year in which prepared. (NARA Job NN-167-116, item 93)
94.	Vouchers--Procurement, Travel, etc. Nonrecord.	Destroy after 1 year. (NARA Job NN-167-116, item 94)
95-99.	RESERVED.	
100.	Property Record Card File consists of a card index for each piece of non-expendable equipment.	Destroy when superseded or obsolete. (NARA Job NN-167-116, item 100)
101-110.	RESERVED.	

J. ADDITIONAL RECORDS

111.	Advice of Application Disposition (Nonrecord Copies of Form FH-5 or Equivalent). File contains records of conditions, if any, covering recommendations for acceptance or rejection of Title I, Class 1 or Class 2 loans in excess of \$5,000. Includes Report of Mortgage Credit Examiner work sheets (nonrecord copies of FHA Form No. 2016g or equivalent), the eligibility review and analysis of the credit risk of the borrower which serves as a basis for determining the conditions or recommendations of the loan. Also includes any related correspondence.	Destroy 1 year after close of calendar year in which prepared. (NARA Job NN-167-116, item 111)
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