

## RECORDS DISPOSITION SCHEDULE 20

## SINGLE FAMILY HOME MORTGAGE INSURANCE PROGRAM RECORDS

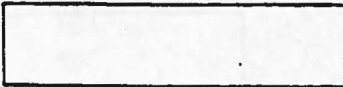
This schedule provides disposition instructions for the Single Family Home Mortgage Insurance Program records accumulating in Headquarters and Field Offices. Some of the records have been previously scheduled in HUD Records Schedule 1, Area and Insuring Office Records; Schedule 17, Management Division Records; and Schedule 20, Single Family Home Mortgage Insurance Records. Disposition instructions for general administrative records are found in the Administrative Records Schedule.

<u>Item No.</u>	<u>Description of Record</u>	<u>Disposition</u>
1.	Single Family Home Mortgage Insured Case Files--All Programs.	
	a. Case files endorsed prior to 1968.	
	(1) Cases related to Distributive Shares and identified for retention by OFA.	Screen and segregate in accordance with lists provided by OFA. Maintain until HUD's financial obligations are terminated or cases are otherwise closed, then destroy under authority of General Records Schedule 6, item 1a. (NARA Job N1-207-88-1, item 1a(1))
	(2) All remaining case files.	Destroy immediately. (NARA Job N1-207-88-1, item 1a(2))
	b. Case files endorsed from 1968 through 1986.	
	(1) Cases related to Distributive Shares and identified for retention by OFA.	Screen and segregate in accordance with lists provided by OFA. Maintain until HUD's financial obligations are terminated or cases are otherwise closed, then destroy under authority of General Records Schedule 6, item 1a. (NARA Job N1-207-88-1, item 1b(1))

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	(2) Section 235 cases currently maintained in the Federal Records Center will be screened and segregated according to lists provided by HUD's Office of Housing.	Destroy 6 years after mortgage insurance is terminated. (NARA Job N1-207-88-1, item 1b(2))
	(3) All remaining case files.	Destroy 12 years after close of calendar year in which endorsed. (NARA Job N1-207-88-1, item 1b(3))
c.	Case files endorsed beginning in 1987.	
	(1) Section 235 case files endorsed beginning in 1987 will be screened and maintained in originating Field Office. Do not send such Section 235 cases to HUD Headquarters.	Destroy 6 years after mortgage insurance is terminated. (NARA Job N1-207-88-1, item 1c(1))
	(2) All other single family case files.	Send to HUD Headquarters in strict accordance with instructions issued by the Office of Housing. Headquarters will retire to Federal Records Center storage. Destroy 12 years after close of the calendar year in which endorsed. (NARA Job N1-207-88-1, item 1c(2))



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d.	Field Office Single Family Case Binders endorsed between January 1, 1972, and December 31, 1976. These so-called "split files" were transferred directly from HUD Field Offices to NARA's nationwide system of records centers.	Destroy 36 years after the close of the calendar year in which endorsed. (NARA Job NC1-207-84-5, item 1b)
2.	* Field Office Case Files (Proposed Construction Plans, Description of Material, and Inspection Reports). These files were created before October 1, 1987, to include documents not filed in the insured case binder. The files were kept in the Field Office or transferred to Federal Records Center for disposal after 6 years, to meet the conditions of the warranty and Section 518. Beginning on October 1, 1987, the documents are interfiled in the insured case binder (see item 1 above) and a separate Field Office Case File is no longer created.	Transfer to Federal Records Center after final endorsement, or anytime after final endorsement that volume warrants. Destroy 6 years after final endorsement. (NARA Job N1-207-89-3, item 1)
3.	Non-insured cases. Include both proposed and existing construction.	
a.	Where Valuation rejects application for conditional commitment.	Destroy 3 months after rejection of application. (NARA Job N1-207-89-3, item 2a)
b.	Where conditional commitment expires (or is cancelled) and file does not contain a Mortgage Credit rejection.	Destroy 3 months after conditional commitment expires (or is cancelled). (NARA Job N1-207-89-3, item 2b)
c.	Where conditional commitment expires (or is cancelled) and file contains a Mortgage Credit rejection.	Mark file as Mortgage Credit rejection and transfer to Mortgage Credit. Destroy 26 months after Mortgage Credit rejection. (NARA Job N1-207-89-3, item 2c) *

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<u>Item No.</u>	<u>Description of Record</u>	<u>Disposition</u>
4.	Borrower's Complaint File. This is a confidential file of borrower's or other individual's complaint correspondence regarding construction deficiencies.	Transfer to Federal Records Center 1 year after settlement of complaint or when volume warrants. Destroy 6 years after settlement of complaint. (NARA Job NC1-207-79-8, item 4)
5.	Unjustifiable Complaints, No Action. This file contains copies of complaints (originals are sent to builders) and correspondence between HUD and complainant.	Destroy from office when 1 year old. (NARA Job NC1-207-79-8, item 5)
6.	Construction Complaint Case History Card File is a record of action taken or pending on complaints from individuals purchasing homes subject to HUD insured mortgages.	Destroy from Field Office 5 years after date of last action. (NARA Job NC1-207-79-8, item 6)
7.	Reconsideration Status Record Cards. These cards show processing action in reconsidered cases.	Destroy 3 months after processing actions are complete. (NARA Job NC1-207-79-8, item 7)
8.	Case Routing Card Record File (Compliance Inspection Register Card) is a card index serving (1) as a current inventory of all cases in process in a unit, (2) as a tickler control for compliance inspection operations.	Destroy after rejection of case, completion of compliance inspection operations, or closing of the case. (NARA Job NC1-207-79-8, item 8)
9.	Docket Transfer Records. File contains records of each transfer, to the closing officer, of documents executed by the commissioner in advance of the actual settlement and to be delivered to the buyer of acquired property in exchange for cash payment. File includes card index and copies of letters of transmittal in connection with the deliveries of such instruments.	Destroy 1 year after delivery has been made and reported. (NARA Job NC1-207-79-8, item 9)

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10.	Closed Case Card Record File consists of insured case record cards, FHA Form 9100.3, Mortgage Insurance Certificate, and FHA Form 2086B, Non-Insured Case Card.	Destroy 2 years after closing either by insurance or non-insurance. (NARA Job NC1-207-79-8, item 10)
11.	Subdivision Reports File. This case file is used for reference and includes Regional land planning subdivision file, or information to facilitate evaluation of applications involving properties in particular subdivisions. Includes pertinent information on each processed subdivision including sewage disposal methods, established ratings of particular properties, mortgage insurance requirements, engineering plans, off-site escrows, related correspondence, etc. Includes, also, general land planning data for the file as a whole, such as HUD requirements for community water and sewage systems, neighborhood cost data on utilities, streets, and publications on principles of planning.	Destroy when subdivision covered by the report has been fully developed but after first removing the following items and placing them in the tract data information file which is a part of item 13b(9), Misc. Valuation Data File: Exhibits relating to sewage disposal and water supply when other than public systems are source of service; and information on flood areas. (NARA Job NC1-207-79-8, item 11)
12.	Housing Market Report. File includes copies of survey reports, sent to Headquarters, of economic survey of housing needs and markets.	Destroy when 5 years old, or after a new survey is made. (NARA Job NC1-207-79-8, item 12)

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13.	Technical and Miscellaneous Reference Files. Maintained to facilitate processing and appraisal of applications by providing relevant available technical, economic, architectural, legal and participant information. Included are such files as:	
	a. <u>Participant Files:</u>	Destroy when superseded or obsolete. (NARA Job NC1-207-79-8, item 13a)
	(1) Credit Control Binders. Case Files of credit data on selected operative builder mortgagors.	
	(2) Quality Adjustment Records. Card records of ratings given individual building contractors.	
	(3) Approved Mortgagee Card File. Index of Headquarters approved institutions and their authorized local agents.	
	b. <u>Economic Files:</u>	Destroy when superseded or obsolete. (NARA Job NC1-207-79-8, item 13b)
	(1) Construction Cost Data Files.	
	(2) Periodic Cost Report Files. Copies of monthly reports to Headquarters covering current construction costs in the Field Office area.	
	(3) Real Estate Market Market and Expense Data by Community.	
	(4) Real Estate Capitalization Data File.	
	(5) Schedule of Values of Easily Removable Real Estate Items.	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(6) General Mortgage Credit Data File.	
	(7) Population Housing Statistics by Areas.	
	(8) General Economic Background File for special areas.	
	(9) Miscellaneous Valuation Data File.	
c.	<u>Legal and Economic Files:</u>	Destroy when superseded or obsolete. (NARA Job NC1-207-79-8, item 13c)
	(1) Land Use Regulations, Taxation, and Assessment Policies File.	
d.	<u>Technical Files:</u>	Destroy when superseded or obsolete. (NARA Job NC1-207-79-8, item 13d)
	(1) Map and Plat Book File.	
	(2) Construction Material and Equipment Data.	
	(3) Bulletins on Special Methods of Construction.	
	(4) Established Construction Requirements and Standards File.	
e.	<u>Architectural Files:</u>	Transfer to Federal Records Center 1 year following date of last commitment. Destroy 5 years following date of last commitment. (NARA Job NC1-207-79-8, item 13e)
	Established Architectural Report Files (2014d). This file includes plans, specifications and other relevant data on typical dwelling structures for which a number of applications are expected to be submitted.	

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Item No.	<u>Description of Record</u>	<u>Disposition</u>
14.	Investigating Files of Accidents Occurring on Secretary-Held 1 to 4 Family Properties Involving Personal Injury and/or Property Damage (Excluding Multifamily and Home Mortgage Properties Operated as Rental Projects). A file will be opened for each accident and will contain detailed reports on the nature and cause of each accident occurring on Secretary-held properties in which personal injury and/or property damage are involved; the extent of damage or injuries; the names and addresses of all witnesses (including signed statements, if available); reports of police, fire department or other municipal inspectors, if appropriate; a report by the management broker; and any other information which will aid in the determination as to whether HUD may be liable and the extent of damages.	<p>a. Destroy when 6 years old if no claim is submitted. Transfer both file and claim to the Regional Counsel immediately upon submission of claim. (NARA Job NC1-207-79-8, item 14a)</p> <p>b. In case of claim submission, destroy 6 years after case is closed. (NARA Job NC1-207-79-8, item 14b)</p>
15.	Monthly Reports of Field Office Operations and Subsidiary Reports (Copies). These are nonrecord copies of various recurring reports summarizing the data on Field Office activity posted to the Daily Work Sheet, and inventory reports on projects.	Destroy 1 year after annual inventory of cases. (NARA Job NC1-207-79-8, item 15)
16.	Weekly Report of Field Office Operations (Copy). This nonrecord report provides data on processing activities in more detail and at more frequent intervals than the Monthly Reports of Operations under item 15.	Destroy after preparation of the monthly report of operations. (NARA Job NC1-207-79-8, item 16)
17.	Daily Work Sheet or Equivalent. File includes the recapitulation of Daily Work Sheet summarizing the basic actions posted to the Status Record Cards. These nonrecord controls are used in preparing recurring monthly reports.	Destroy after 6 months. (NARA Job NC1-207-79-8, item 17)



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<u>Item No.</u>	<u>Description of Record</u>	<u>Disposition</u>
18.	Supplementary Binder of Substitute Mortgagor, Form FHA 2210 Procedure. These files contain Form FHA 2900 Applications with the required exhibits and signed or certified copies of purchase agreements which are required submissions for consideration of a substitute mortgagor. These are the papers remaining after Form FHA 2210 on an acceptable new borrower has been returned to the mortgagor.	Transfer to Federal Records Center immediately after the Form FHA 2210 has been sent to the mortgagor. Destroy when 3 years old. (NARA Job NCl-207-79-8, item 18)
19.	Structural Defects Case File (Section 518(a), (b), and (d)). This file is established to accommodate the processing of applications for financial assistance to repair or reimburse expenditures for defects in a property.	
	(a) Section 518(a).	Transfer to Federal Records Center 1 year after completion of repairs. Destroy 6 years after completion of repairs. (NARA Job NCl-207-79-8, item 19(a))
	(b) Section 518(b) and (d).	Transfer to Federal Records Center 1 year after all reviews by the American Institute of Architects (AIA), or any time after completion of AIA review that volume warrants. Destroy 6 years after completion of AIA review. (NARA Job NCl-207-79-8, item 19(b))
20.	Monthly and Quarterly Reports. File includes monthly and quarterly reports used for informational and reference purposes.	Keep 3 latest reports and destroy previous reports. (NARA Job NCl-207-79-8, item 20)

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Item No.	<u>Description of Record</u>	<u>Disposition</u>
*	21. Lenders' File. This file contains correspondence regarding servicing by approved lenders, audit reports, mortgagee review reports, indemnification agreements, and copies of correspondence related to specific mortgagees.	Destroy when 5 years old. (NARA Job N1-207-93-1, item 21)
		*
22.	Assignment Request Case File. This file relates to requests from financially distressed mortgagors requesting assistance to avoid foreclosure on their homes. Includes all documents received from the mortgagee and mortgagor, all correspondence on the case, documentation of all telephone calls and conferences, Assignment Requests Case History Sheet (Form HUD 92210), and correspondence relating to the administration of the Home Mortgage Assignment Program.	Transfer to Federal Records Center 1 year after final decision is announced to the mortgagee and mortgagor and case is closed. Destroy 3 years after final decision has been announced to the mortgagee and mortgagor and case is closed. (NARA Job N1-207-79-8, item 22)
23.	Assignment Processing Control Log, Form HUD 92205. Log is maintained by each Field Office to insure that workload is closely maintained and assignments processed promptly. The assignments and processing actions are recorded daily. The log is used to prepare the Monthly Assignment Processing Report, Form HUD 92211, and other special reports as needed.	Maintain on an annual basis (i.e., a separate log for each fiscal year). Destroy when 3 years old. (NARA Job N1-207-79-8, item 23)
24.	Monthly Assignment Processing Report, Form HUD 92111. This workload report consolidates information appearing on the Assignment Processing Control Log, Form HUD 92205. Includes requests for assignments and completed processing actions from mortgagors and mortgagees.	
	a. Consolidated and individual reports.	Destroy 3 years after completion of all legal and administrative actions. (NARA Job N1-207-79-8, item 24a)

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<u>Item No.</u>	<u>Description of Record</u>	<u>Disposition</u>
25.	Accountability Reports. This report identifies HUD Field Offices and individuals charged with Home Mortgage Insurance case binders current and those held for over 30 days.	Keep 3 latest reports and destroy previous reports. (NARA Job NC1-207-79-8, item 25)
26.	Requests, transmittals and records of telephone requests for Single Family Home Mortgage Insurance case binders.	Destroy when 6 months old. (NARA Job NC1-207-79-8, item 26)
27.	Receipts for Certified Mail.	Use General Records Schedule 12, Item 5a.
28.	Assistant Secretary for Housing-- Federal Housing Commissioner machine-readable records and the related documentation required to service them.	
	a. Operational systems with long term fiscal, legal, and administrative requirements.	
	1. <u>HOUSING PROGRAMS SYSTEM (F39).</u>	
	(a) Documentation File.	Retire to Federal Records Center 1 year after system is eliminated from inventory of active systems. Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-8, item 28a1(a))
	(b) Input Documents.	
	(1) Copies of forms and reports intended to serve solely as inputs to the system.	Destroy after data has been entered into system and verified. (NARA Job NC1-207-79-8, item 28a1(b)(1))

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	(2) Documents that are part of official record files covered elsewhere in this schedule.	Destroy in accordance with relevant instructions in this schedule. (NARA Job NC1-207-79-8, item 28a1(b)(2))
	(c) Processing Files.	Scratch after fourth update cycle. (NARA Job NC1-207-79-8, item 28a1(c))
	(d) Master File.	
	(1) Operational systems in a processing mode.	Scratch 10 years after date of processing. (NARA Job NC1-207-79-8, item 28a1(d)(1))
	(2) Systems eliminated from HUD's inventory of active systems.	Retire to Federal Records Center 1 year after system's elimination from inventory of active systems. Destroy 3 years after system's elimination from inventory of active systems. (NARA Job NC1-207-79-8, item 28a1(d)(2))
	(e) Printouts and other output reports.	Destroy when superseded or obsolete, or when no longer needed for administrative reference purposes. (NARA Job NC1-207-79-8, item 28a1(e))
2.	<u>HOUSING PROGRAMS SYSTEMS (F69).</u>	
	(a) Documentation File.	Retire to Federal Records Center 1 year after system is eliminated from inventory of active systems. Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-8, item 28a2(a))