

CHAPTER 10. FIELD OFFICE RECORDING-KEEPING AND REPORTING REQUIREMENTS

- 10-1 Importance of accurate records. If an applicant does not qualify for the Assignment Program the borrower might lose his or her home. HUD must be able to defend any assignment decision, positive or negative, at any time. The federal courts, members of Congress, the General Accounting Office and HUD's Inspector General have all reviewed program decisions in the past. They will continue to do so. Thus, it is important that HUD staff document all actions and decisions in processing an assignment request, by date stamping all documents. The file MUST reflect not only WHAT has happened, but also WHY and WHEN it happened.
- 10-2 Workload controls. Management must know the number of cases in each stage of processing and must readily identify problems in the processing stream.
- A. To ensure close monitoring of the workload and prompt processing of assignment requests, each Field Office must maintain the Automated Assignment Processing System.
- B. Management should review the System regularly, and redistribute resources (either clerical or professional staff) to expedite processing.
- 10-3 Organization of case file. In order to efficiently review case files, it is suggested that Field Offices use the following method of organizing assignment request case files. (See Chapters 4, 5, and 6 for guidance on the letters and forms which must be in the case file).
- A. Right side (from bottom to top)
1. All correspondence prepared or received by Field Office (such as letters from borrowers, housing counseling agencies, or employers). Any documentation submitted directly to the Field Office by the borrower for use in evaluating the request. Put the oldest correspondence on the bottom and the newest on top, including any special mailing procedures and envelopes if any.
  2. All forms prepared by the Field Office or prepared by the borrower which are used to evaluate the request.
  3. All correspondence prepared or received by the Field Office after assignment acceptance. This would include such information as the Application for Claims Benefits, title approval letters, forbearance agreements, hazard insurance policies, etc.
- B. Left side (from bottom to top)
1. All correspondence prepared or received by the lender (such as letters to the borrower, housing counseling agencies,

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employer). Any documentation requested by the lender to evaluate the request.

2. All forms prepared by the lender or prepared by the borrower which are used by the lender to evaluate the request.

10-4 Reporting Requirements. The Assignment Processing Report, form HUD-92211, reflects activity of the Assignment Program. The Automated Assignment Processing System software prepares this report on command. Field Offices must prepare the report monthly and send one copy to the Single Family Servicing Division, Secretary-held Mortgages Branch in Headquarters. Field Offices MUST ensure that Headquarters receives the report by the fifth working day of each month.

10-5 File Retention. Files must be retained as specified below:

A. Assignment case files. Assignment case files must be retained for three years following the date of the final decision.

1. One year in the Field Office.

2. Two years in the Records Center.

B. Maintenance of legal files. The responsibility of securing these files rests with the Field Office's administrative officer. For further information, refer to HUD Handbook 2225.6 REV.1, Schedule 20, page 10, item 22, HUD Records Disposition Schedule.

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