

## CHAPTER 1. GENERAL

- 1-1. PURPOSE. This Handbook establishes policies and procedures for the submission, receipt, maintenance, retrieval, transfer, and administrative control of Single Family Mortgage Insurance (SFMI) Case Binders (commonly referred to as Single Family Case Binders (SFCB's)).
- 1-2. SCOPE. The provisions of this Handbook apply to Field Offices as well as Headquarters components.
- 1-3. AUTHORITY. The policies and procedures outlined in this Handbook were developed in accordance with responsibilities assigned to the Assistant Secretary for Housing-Federal Housing Commissioner by HUD Handbook 1100.3 REV 5, Departmental Organization.
- 1-4. DEFINITIONS. The following definitions apply to terms used in this Handbook:
- a. Single Family Mortgage Insurance (SFMI) Case Binders and Single Family Case Binders (SFCB's) refer to numbered case binders containing documents covering an approved and endorsed application for FHA mortgage insurance under a single family mortgage insurance program.
  - b. Non-record Material includes (1) extra copies of documents preserved only for convenience of reference, (2) extra copies of printed or processed materials of which official copies have been retained for purposes of record, (3) stocks of publications and processed documents preserved for supply purposes, (4) drafts, worksheets, and notes that do not represent significant steps in the preparation of record copies of documents, and (5) forms which serve no useful purpose after processing by the users of the forms.
  - c. Follow-up documents refer to those forms which generally are processed after the home mortgage insurance has been approved and endorsed and the case binder has been shipped to the Records Section at Headquarters.
  - d. Single Family Correspondence refers to important letters and legal documents, especially those so designated by the Office of General Counsel, which must be filed in the case binders.

- e. "Prime User" refers to those offices whose performance of duties require considerable use of SFMI case binders or forms. Generally, Housing, the Office of Finance and Accounting (OFA) and the Office of General Counsel (OGC) are considered prime users. However, in some cases, the Office of Inspector General (OIG) (especially the Regional Inspector General (RIG)) may be included among the prime users, and in certain situations, the Department of Justice may be referred to as a prime user.
- f. Separate File refers to the filing method by which follow-up documents will be maintained at Headquarters in lieu of interfiling with the original case binder.
- g. The Inventory Control/Charge-Out system refers to the automated accountability system which controls the inventory and whereabouts of SFMI case binders.
- h. Liaison person or the phrase "person responsible for Single Family Mortgage Insurance case binders" refer to the primary contact between the Single Family Records Section and a particular office. The liaison person in the Regional Offices is normally the Director, Administrative Services Division or Administrative and Management Services Division; in Field Offices, the Administrative Officer; and in Headquarters components, the person(s) designated to be responsible for case binder control.
- i. Unauthorized persons (individuals) refers to HUD employees or contractors and consultants employed by HUD who have no official need for case binders in the performance of their duties; employees of other Federal agencies or contractors and consultants employed by other Federal agencies who have not received clearance to review particular case binders from the Freedom of Information Officer or legal officials- and private citizens or organizations requesting particular case binders or other documents under the Freedom of Information Act but who have not received clearance for the receipt of particular case binders or other information from the Freedom of Information Officer or HUD legal officials.

- j. Authorized persons (individuals) refers to HUD employees engaged in the retrieval and retention of case binders (e.g., Records Section personnel,

liaison persons, records management personnel in Field Offices); HUD employees or contractors and consultants employed by HUD who have official need for particular case binders in the performance of their duties (e.g., Office of Housing, OFA, OIG, OGC and the Office of Policy Development and Research (PD&R); employees from other Federal agencies or contractors and consultants employed by other Federal agencies who have proper clearance to review case binders and private citizens or organizations requesting case binders or other information under the Freedom of Information Act who have received clearance to review particular case binders or documents from the Freedom of Information Officer or HUD legal officials.