Request for Records Disposition Authority

(See Instructions on reverse)

To National Archives and Records Administration (NIR)
Washington, DC 20408

1 From (Agency or establishment)

Department of Housing & Urban Development (HUD)

2 Major Subdivision

Assistant Secretary for Housing

3 Minor Subdivision

Office of Single Family Housing

4 Name of Person with whom to confer

Pauline Grant, Mgmt. Analyst

5 Telephone (include area code)

(202) 402-7297

Leave Blank (NARA Use Only)

Job Number

N/-207-09-1

Date Received

11/17/2008

Notification to Agency

In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

12 oct 10

Archivist of the United States

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6 Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies

[XX] is not required   [ ] is attached   [ ] has been requested

Signature of Agency Representative

Title

Departmental Records Officer

Date (mm/dd/yyyy)

11/6/08

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7 Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	RECORDS DISPOSITION SCHEDULE № 17		
	OFFICE OF SINGLE FAMILY HOUSING		
	APPROVAL & RECERTIFICATION, REVIEW TRACKING		
	SYSTEM (ARRTS)		
	The Department of Housing and Urban Development (HUD) is adding Schedule 68, Office of Single Family Housing Approval & Recertification, Review Tracking System (ARRTS), to HUD handbook, 2225.6, HUD Records Disposition Schedules. The proposed new items will provide descriptions of records and disposition instructions for the Approval & Recertification, Review Tracking System, (ARRTS).	Rachel Dupree 11/5/08 OFFICE OF SINGLE FAMILY HOUSING	
	These files are not used for financial matters related to HUD activities, therefore, GAO concurrence is not required.	OFFICE OF THE INSPECTOR GENERAL, (OIG)	
	See the attached Description of Records and Disposition Instructions for the electronic records of the Approval & Recertification, Review Tracking System, (ARRTS).	OFFICE OF THE GENERAL COUNSEL, (OGC)	

RECORDS DISPOSITION SCHEDULE 27

OFFICE OF SINGLEFAMILY HOUSING

APPROVAL & RECERTIFICATION, REVIEW TRACKING SYSTEM (ARRTS)

System Name: Approval & Recertification, Review Tracking System (ARRTS)

System Code: F51A

System Description: ARRTS performs workload tracking, management, and reporting of incoming application and recertification packages by mortgagees/lenders in conjunction with three (3) additional systems called the Institution Master File (IMF), Geocoding Service Center (GSC), and Single Family Neighborhood Watch (SFNW). The system also provides tracking for lender monitoring reviews.

The ARRTS application is web-based and maintains information on applications for mortgagees seeking approval for participation in the FHA Single Family and Multifamily programs as well as their annual recertification. The information is retained per HUD regulations and the HUD IT Team maintains all necessary programs and backups to resume operation of the system in an emergency situation. All of the source code for the system is stored in the PVCS. ARRTS is a menu-driven, user-friendly, multi-user application, specifically designed to minimize the number of keystrokes required to use any of its functions.

Part 202 of the Code of Federal Regulations Title 24 (24 CFR) establishes the minimum standards and requirements for approval of lenders and mortgagees to participate in the Federal Housing Administration's (FHA) Title I and Title II programs.

ARRTS is crucial to the risk management approach used by the OLAPC to safeguard the long-term financial stability of FHA's insurance funds. ARRTS is used to track incoming application and recertification packages from mortgagees seeking FHA branch approval and to monitor the status of compliance reviews conducted on those institutions that are already approved to participate in FHA programs. The system is an important part of the gate keeping, monitoring, and enforcement components of FHA's risk management approach, as it allows for thorough documentation of each stage in the approval and re-authorization of lenders for participation in FHA's programs as well as for tracking each step taken to remedy FHA program violations.

RECORDS DISPOSITION SCHEDULE 27

OFFICE OF SINGLE FAMILY HOUSING

APPROVAL & RECERTIFICATION, REVIEW TRACKING SYSTEM, (ARRTS)

Via a single integrated application, users in the OLAPC are able to input and edit information on applications for mortgagees seeking approval for participation in FHA's Single Family programs, as well as those institutions that are applying for renewal of their branch approval. Quality Assurance Division users located both at HUD Headquarters and the regional Homeownership Centers (HOCs) are able to update one centralized database with information on lenders involved in OIG audits, monitoring reviews, Credit Watch termination decisions and other compliance related actions. ARRTS thus benefits FHA's entire risk management approach in that it consolidates approval, recertification, and review data into one application, enabling improved oversight capability through automatic cross-referencing of lender applications for approval or recertification against the list of lenders under review for violations of FHA program requirements. Long-term risk to FHA's insurance funds and homeowners is therefore limited by ensuring that comprehensive information on program participants is shared among all staff involved in risk management.

ARRTS is utilized by the OLAPC to receive, collect and assess financial information for determining viability of a lender's application meeting requirements for approval to participate in FHA programs. Nearly 4,000 institutions apply for approval to participate in FHA programs each year. Approximately 10,000 institutions submit annual reports required to retain their FHA approval. These applications and renewal (recertification) packages and appeals of denials represent a substantial workload and generate numerous phone calls and correspondence. Controlling the workload and enabling timely responses to inquiries concerning that workload are the central needs met by F51A/ARRTS. The lender approval and recertification process is performed in a centralized location in Washington, DC at HUD Headquarters.

RECORDS DISPOSITION SCHEDULE 27

OFFICE OF SINGLEFAMILY HOUSING

APPROVAL & RECERTIFICATION, REVIEW TRACKING SYSTEM (ARRTS)

Item No.	Description of Records	Disposition
	Input Data. F51A/ARRTS allows users to input and edit information on applications for mortgagees/lenders seeking approval for participation in the FHA Single Family and Multifamily programs as well as their annual recertification. This allows for accurate tracking and reporting of the status of all applications. Similarly, users are able to input and edit information on reviews, which allows for accurate tracking and reporting of the status of reviews. Users located both at HUD Headquarters and the regional Homeownership Centers (HOC) update a centralized database. By providing a central repository that consolidates approval, recertification, and review data, F51A/ARRTS improves oversight capability through automatic cross-referencing of lender applications for approval and recertification against the list of lenders under review for violations.	**Temporary.** The ARRTS application does not execute a special batch job to delete or Archive data. Since it is a web based HUD intranet application an audit trail of all records that are added, modified or deleted is maintained. *GRS 20 Item 2*

2	**Stored Data.** The total space allocated for the ARRTS transaction database is 400 MB of data space and 150 MB of log file space. The Computer Services Group (CSG) is responsible for all database administrative functions including storage requirements.	**Temporary.** All data is maintained in the HUD database. An anticipated 5% growth per year of the clients is estimated, it is anticipated to allocate (if the frequency remains the same) at about 180Mbytes more of storage. **Cut off files annually following updates to recertification. Destroy when 3 years old.**
3	**Outputs.** Reports produced online are for monitoring, evaluating, approval, recertifications, and quality assurance purposes.	**Temporary.** Destroy when superseded, obsolete, or no longer needed. GRS 20 #5
4.	**System Documentation.** All documentation is maintained and delivered in HUD's Delivery Management Module (DMM).	**Temporary.** Destroy when superseded, obsolete, or no longer needed. GRS 20 Item 11