

Office of Housing Counseling (OHC)

File Plan

This file plan provides records disposition instructions for files created, received, and maintained in the Office of Housing Counseling (OHC) for Headquarters and Field Offices records relating to Housing Counseling Service. The records created are generated from OHC’s program, General and administrative office functions and responsibilities pursuant to section 106 of the Housing and Urban Development Act of 1968 (12 U.S.C 1701x) (1968 Act), 24 CFR 214 and HUD’s Housing Counseling Handbook 7610.1-Rev5. OHC is responsible for the administration and oversight of the Department’s Housing Counseling Program. OHC approves qualified organizations to participate in the Housing Counseling Program, provides training to participating agencies and awards competitive grant funds to support housing counseling activities. Files include records and applications of local public and private nonprofit agencies, local, county, city and State governments that apply to participate in the Housing Counseling Program.

HUD awards housing counseling grants on a competitive basis to its approved agencies when Congress appropriates funds for this purpose. The objective of the counseling is to help homebuyers, homeowners, and tenants to improve their housing conditions and meet their responsibilities.

Series Number	Description of Records	Disposition
1	Budget Files. OHC's budget and includes both internal budget documents such as budget requests and external budget documents such as summaries of funding dispersed to HUD-Certified Housing Counseling Agencies. Also consists of budget data submitted to the Office of Budget.	Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use. (GRS 1.3; item 10; DAA-GRS-2015-0006-0001)
2	General Correspondence – Correspondence from individuals, public or private organizations and responses from program office.	Temporary. Cut off at end of calendar or fiscal year, as appropriate. Destroy three years after cutoff, but longer retention is authorized if required for business use. (NARA Job No. NI-207-04-3, item 6).
3	General Subject/Chronological Correspondence. Official Record Copies (Forms HUD-713 or equivalent) of outgoing correspondence, original incoming correspondence, copies of HUD issuances, notices, directives, and related documents.	Temporary. Break files annually. Destroy 3 years after file break, but longer retention is authorized if required for business use. (N1-207-86-3, Item 1)

4	<p>Disapproved and Withdrawn Competitive Grant Applications. Headquarters and Field Office copies of disapproved and withdrawn competitive grant applications for which no contract was executed, and applications received after the deadline.</p>	<p>Temporary. Destroy 5 years plus 30 days after grant award, but longer retention is authorized if required for business use. (N1-207-93-4, Item 17-3a)</p>
5	<p>Cancelled, Suspended or Terminated Competitive Grant Case Files. Headquarters and Field Office copies of cancelled, suspended, or terminated competitive applications for grants for which a contract was executed.</p>	<p>Temporary. Cut off and place in an inactive file after final audit and settlement of account. Destroy 6 years after final audit and settlement of account, but longer retention is authorized if required for business use. (NARA N1-207-96-2, Item 3)</p>
6	<p>Competitive Grant Case Files. Headquarters and/or Field Office copies of approved competitive grant case files. Includes grantee application, review, approval, and performance documentation files.</p>	<p>Temporary. Cut off and place in inactive file after grant closeout. Destroy 20 years after grant closeout, but longer retention is authorized if required for business use. (NARA N1-207-96-2)</p>
7	<p>Agency's Files. Work plan, Performance reviews conducted by HUD staff, financial reports, financial audits, other required reports, re-approval and recertification letters, correspondence from agency regarding staff changes, and other program changes related to meeting program requirements.</p>	<p>Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Destroy six years after cutoff, but longer retention is authorized if required for business use. (NARA N1-207-04-3; item 5a)</p>
8	<p>Audit Files – Copies of GAO, OIG, or other program audits. Includes management decision memorandum, and documentation of responses to close out audits.</p>	<p>Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (GRS 5.7; item 10; DAA-GRS-2017-0008-0001)</p>
9	<p>Selection Process Records. Contains selection process related records such as routine operational subject or case files that may include notice of funding availability, plans and annual applications, award and funding decisions, correspondence, and other related records regardless of media (electronic, textual, etc.). Selection Process records that become part of a Master File (Item 3b of Appendix 8),</p>	<p>Temporary. Cut off at end of calendar year or fiscal year in which selection and renewal process is concluded, as appropriate. Retire two years after cutoff. Destroy six years after cutoff, but longer retention is authorized if required for business use. (NARA Job No. NI-207-04-3, item 2a)</p>

	<p>because of a renewal or continuation action, will follow the disposition instructions for the Master Files. (NOTE: Program related publications and posters must be transferred to NARA for permanent retention.)</p> <p>a. Awards that are not Mandatory or Formula Based Process Records.</p>	
	<p>b. Formula-Based Allocation and notification process.</p>	<p>Temporary. Cut off at end of calendar year, program year or fiscal year in which program allocations are made and awarded, as appropriate. Retire two years after cutoff. Destroy seven years after cutoff, but longer retention is authorized if required for business use. (NARA Job No. NI-207-04-3, item 2b)</p>
10	<p>All Staff Meeting-OHC staff from across the country attend the meeting in person every year and discuss OHC's goals, mission, and activities for the year.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
11	<p>Calendars- displaying key deadlines, activities, and scheduled staff leave for each OHC program office. Other calendars display HUD-wide training and events as well as the yearly pay period.</p>	<p>Temporary. Destroy when business use ceases. (GRS 5.1; item 10; DAA-GRS-2016-0016-0001)</p>
12	<p>Clearance Procedures- documents related to the procedures governing the publication of Housing Directives. OPGA has a Subject Matter Expert staff member dedicated to overseeing the clearance procedures and the documents related to them. These documents range from archived trainings to process flows and legislative timelines depicting the clearance process.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
13	<p>Communication- provide communications guidance across OHC program offices. This series includes templates for correspondence with Housing Counseling Agencies, guidance on a variety of housing counseling policies, and media-related documents like talking points and press releases.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>

14	<p>Correspondence- Deputy Assistant Secretary for Housing Counseling and the protocols that govern said communications. The DAS communicates with a wide range of stakeholders, both internal (i.e. HUD and OHC) and external (i.e. Congress, Housing Counseling Agencies, and Federal Agencies). This correspondence can take a wide array of forms, from training requests, to Congressional testimonies, to "thank you" letters.</p>	<p>Permanent. Break files annually. Transfer in electronic format to the Federal Records Center with appropriate metadata, in accordance with NARA regulations and transfer guidance three (3) years after the file break. Transfer to National Archives five (5) years after the file break (NARA Job-N1-207-95-1)</p>
15	<p>Counselor Certification- reference materials for the housing counselor certification process. These documents include best practices and frequently asked questions related to the certification of new housing counselors. These documents range from policies to fact sheets and archived trainings.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
16	<p>Cross-Divisional Team Files- These files belong to teams that are not primarily composed of members of one OHC program office (thus, they are considered Cross-Divisional teams). These teams include the 9902 (Agency Activity Report) Team, the Housing Counseling Federal Advisory Committee (HCFAC), Intermediary Performance Review Team, and Point of Contact (POC) Team. These files include meeting minutes and teamwork products.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
17	<p>External Training- documents include both OHC's External Training Plan and archived documents from trainings delivered to and provided by external parties. These trainings cover topics from the final rule on housing counseling certification to social media best practices and HUD software platforms. There are also documents in this series that provide guidance on how to access archived external trainings and reports of attendees from various external trainings. OHC's Office of Outreach and Capacity Building</p>	<p>Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business. (GRS 2.6; item 10; DAA-GRS-2016-0014-0001)</p>

	(OCB) has primary responsibility for conducting these external trainings.	
18	Freedom of Information Act (FOIA) - includes all documents related to the Freedom of Information Act (FOIA). These documents are either reference documents providing guidance on how to correspond with parties submitting FOIA requests (e.g. examples of responses) or the FOIA requests themselves.	Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use. (GRS 4.2; item 20; DAA-GRS-2016-0002-0001)
19	Grant Expenditure Monitoring - documents related to the monitoring of housing counseling grant expenditures. These grants are given to Housing Counseling Agencies by OHC and are primarily monitored by OHC's Office of Oversight and Accountability. These documents include both extensions and recaptures.	Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff to meet program business needs. Destroy when no longer needed for reference, or six years after cutoff, whichever is sooner. (NARA Job-N1-207-04-3; item 5a)
20	HCA Approval -reference materials for the process by which Housing Counseling Agencies obtain HUD certification. The agency approval process is primarily overseen by OHC's Office of Outreach and Capacity Building (OCB). These documents include a tracker for agency applications as well as an overview of the application process and guidance around agency eligibility requirements.	Temporary. Cut off at end of calendar year in which financial assistance award case is closed out. Destroy when no longer needed for reference or six years after cutoff, whichever is sooner, but longer retention is authorized if required for business use. (NARA Job No. N1207-04-3, item 5a)
21	HCA Monitoring -documents related to the monitoring of Housing Counseling Agencies. These monitoring activities are primarily conducted by OHC's Office of Oversight and Accountability (OOA). This series includes documents related to the Point of Contact (POC) Toolkit, Quarterly Reporting Checklist, and Records Retention.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
22	HCA Performance Reviews - This series includes documents related to the Housing Counseling Agency Performance Review process. OHC conducts performance reviews to monitor the efficacy and operations of HUD-approved Housing Counseling	Temporary. Cut off at end of calendar year in which financial assistance award case is closed out. Destroy when no longer needed for reference or six years after cutoff, whichever is sooner, but longer retention is authorized if required for business use. (NARA Job No. N1207-04-3, item 5a)

	<p>Agencies. Doing so helps ensure that OHC funds dispersed to agencies are being utilized effectively (i.e. in a manner that serves potential homeowners). These documents are not agency-specific but include documents to track performance reviews and guidance documents on how to correspond with agencies throughout the performance review process.</p>	
23	<p>HECM Counselor Approval Process-reference materials for the Home Equity Conversion Mortgage (HECM) counselor certification process. OHC's Office of Policy and Grant Administration (OPGA) primarily oversees activities related to Home Equity Conversion Mortgages. These documents include frequently asked questions, policies, and protocols, and HECM counselor application information. OHC considers the HECM counselor certification process to be different from the general HUD-approved housing counselor process.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
24	<p>Housing Counseling Toolkit for Agencies- housing counseling guidance and best practices that are currently on the HUD Exchange. These documents are intended for external users (i.e. Housing Counseling Agencies) and cannot be found on OHC's current internal knowledge repository (i.e. SharePoint). These toolkits cover the following topics: budget tracking, disaster recovery, technology guidance, fair housing, Form HUD-9902 (Agency Activity Report), Consumer Protection, Housing Counseling Capacity Building, Housing Counseling Outreach, and National Industry Standards for Housing Counseling.</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>
25	<p>Housing Counseling Research-includes research into best practices to promote financial literacy and homeownership. OHC's Office of Outreach and Capacity Building (OCB) is primarily responsible</p>	<p>Temporary. Break files annually. Destroy when three (3) years old, but longer retention is authorized if required for business use. (NARA Job-NC1-207-78-6; item 1)</p>

	for collecting and reviewing this research. This research primarily takes the form of peer-reviewed articles by housing-focused academic sources.	
26	Housing Notices - full archived collection of published, finalized HUD Housing Notices as well as a link to the archive on the HUD Exchange. Housing Notices are announcements of changes/updates to existing housing policies.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
27	Human Resources -includes internal OHC documents related to Human Resources. These documents are primarily in the purview of OHC's Office of the Deputy Assistant Secretary (DAS) and include topics such as questions for interviewing OHC applicants, OHC's Continuity of Operations Plan (COOP), guidance for new OHC employees, performance management materials for OHC staff, position descriptions, organization charts, union materials, and staff agreements. a. Interview Records	Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later. (GRS 2.1; item 90; DAA GRS-2014-0002-0008)
	b. COOP-Emergency Planning Files	Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (GRS 5.3; item 10; DAA-GRS-2016-0004-0001)
	c. COOP-Employee emergency contact information	Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee. (GRS 5.3; item 20; DAA-GRS-2016-0004-0002)
	d. Performance Management Materials	Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use. (GRS 2.2; item 70; DAA-GRS-2017-0007-0008)
	e. Position Descriptions	Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use. (GRS-2.1; item 20; DAA-GRS-2014-0002-0002)
	f. Organization Chart	Temporary. Place inactive file when organizational change is completed. Destroy when the (10) years old, but longer retention is

		authorized if required for business use. (NARA Job NC1-207-80-5; item 42a)
	g. Union Materials	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
28	Internal Training -documents related to trainings intended for internal OHC staff. These documents include archived training materials, OHC mentoring materials, and the OHC Training Needs Assessments. Archived trainings cover topics including the 9902 (Agency Activity Report), Housing Counseling Agency Eligibility Tool, Disaster Recovery, Housing Counselor Certification, Grant Reporting, Housing Counseling System (HCS), HUD Reform Act, OMB Grant Guidance, Line of Credit Control System (LOCCS), New Application Processing, Microsoft OneDrive, Performance Reviews, Reading Financial Statements, Point of Contact (POC) Work, and more. OHC's Office of Outreach and Capacity Building (OCB) is primarily responsible for internal training documents.	Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use. (GRS 2.6; item 10; DAA-GRS-2016-0014-0001)
29	IT Guidance - documents that provide training/guidance on how to access and use HUD's various software platforms. These software platforms include but are not limited to the Client Management System (CMS), Housing Counseling System (HCS), HUD Exchange, Line of Credit Control System (LOCCS), Microsoft Office, and SharePoint. These documents are used by OHC staff across program offices.	Temporary. Destroy when superseded or obsolete or when no longer needed. Review annually. (NARA Job NC10207-78-1; item 12)
30	Knowledge Management (Documentation) -include finalized materials related to OHC's updated Knowledge Management structure (i.e. the way OHC's documents are organized, naming convention, and metadata). This series also include excel spreadsheets displaying the Knowledge Management structure as	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0000PGA3-0002)

	well as reference guides on how to navigate through it.	
31	Management Tracking -documents related to OHC's high-level strategic plans and goals. Major documents within this series include the HUD Strategic Plan, OHC Strategic Plan, Transition Documents, Milestone Tracking, and the DAS Weekly Report. This series is primarily overseen by the Office of the Deputy Assistant Secretary for Housing Counseling.	Permanent. Break files annually. Transfer in electronic format to the Federal Records Center with appropriate metadata, in accordance with NARA regulations and transfer guidance three (3) years after file break or one year after the incumbent leaves' office, whichever is sooner. Transfer to National Archives five (5) years or three (3) years after incumbent leaves office, whichever is sooner. (NARA Job N1-207-95-1; item 1a)
32	Notice of Funding Availability (NOFA) Grant Management - documents related to the awarding of housing counseling grants. Each year, OHC announces the availability of housing counseling grants, and agencies apply to win what are known as Notice of Funding Availability (NOFA) grant awards, which they then apply to their housing counseling services for the public. To win this grant funding, agencies must submit a detailed, comprehensive application package. Each agency's application package and agency-specific grant materials are in the Agency Files. This series, however, contains all reference documents and working documents not related to an agency, but to the NOFA process overall. This series is primarily overseen by OHC's Office of Policy and Grant Administration (OPGA) and contains a wide range of documents including but not limited to scoring sheets, frequently asked questions, application instructions for agencies, and grant criteria.	Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to Federal Record Center sufficient time after cutoff to meet program business needs. Destroy six years after cutoff, but longer retention is authorized if required for business use. (NARA Job-N1-207-04-3; item 3a)
	a. Award Files	
	b. Master File -Contains documents under which award selections and decisions are made (1) <u>Competitive and Non-Formula Awards</u>	Temporary. Cut off at end of fiscal or calendar year in which all Master File elements are closed out. Retire to Federal Record Center sufficient time after cutoff as appropriate to meet program business needs. Destroy six years (6) years after cutoff, but longer retention is authorized if required for business use. (NARA Job-N1-207-04-3; item 3b1)

	<u>(2) Formula Awards</u>	Temporary. Cut off at end of fiscal or calendar year in which all Master File elements are closed out. Retire to Federal Record Center sufficient time after cutoff as appropriate to meet program business needs. Destroy seven years (7) years after cutoff, but longer retention is authorized if required for business use. (NARA Job-N1-207-04-3; item 3b2)
	c. Unsuccessful Applications	Temporary. Cut off at end of calendar year in which final announcement of selections are made for competitive programs or after decisions are made not to fund potential mandatory program recipients, as appropriate. Retire to Federal Record Center one year after cutoff. Destroy six (6) years after cutoff, but longer retention is authorized if required for business use. (NARA Job N1-207-04-3, item 3c)
	d. Financial Award Deliverables- Consist of studies, reports, standards, inventions (description), and other related materials. (NOTE: Inventions shall be registered in iEdsion Archive)	Permanent. Cut off at end of calendar year in which HUD receives and accepts deliverable and place in an inactive file. Transfer in electronic format to the Federal Records Center with appropriate metadata, in accordance with NARA regulations and transfer guidance. Transfer oldest five (5) year block of inactive files to the National Archives every six (6) years. (NARA Job N1-207-04-3; item 3d)
33	OCB Administrative- contains miscellaneous administrative documents belonging to OHC's Office of Outreach and Capacity Building (OCB). These documents include but are not limited to OCB Reports, Strategic Plans, Telework Agreements, and Teleconference Guidance.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
34	OCB Team Files- composed of members of OHC's Office of Outreach and Capacity Building (OCB). These teams include the Disaster Assistance Recovery Team (DART), Housing Counselor Certification Team, New Streamline Application Team, and Travel Consultation Team. These files include meeting minutes and teamwork products.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
35	OHC Photos- photos taken by OHC staff from various events both OHC-related (e.g. from conferences and staff holiday	Temporary. Destroy when 2 years old but longer retention is authorized if required for

	parties) and personal (e.g. staff members' children or weddings).	business use. (GRS 6.4; item 50; DAA-GRS-2016-0005-0006)
36	OOA Administrative -miscellaneous administrative documents belonging to OHC's Office of Oversight and Accountability (OOA). These documents include but are not limited to OOA Staff Photos, Telework Agreements, and Teleconference Guidance.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
37	OPGA Administrative -miscellaneous administrative documents belonging to OHC's Office of Policy and Grant Administration (OPGA). These documents include but are not limited to OPGA Staff Photos, Telework Agreements, and Teleconference Guidance.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
38	OPGA Team Files -primarily composed of members of OHC's Office of Policy and Grant Administration (OPGA). These teams include the Frequently Asked Questions (FAQ) Team. These files include meeting minutes and teamwork products.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
39	Outreach and Visibility -includes materials used to promote housing counseling services. These documents are primarily overseen by OHC's Office of Outreach and Capacity Building (OCB) and include promotional materials like flyers and fact sheets related to a range of topics including but not limited to financial literacy, homeownership best practices, and disaster recovery. The series also includes blog posts, graphic templates, and promotional videos.	Temporary. Destroy when no longer needed for business use. (GRS 6.4; item 30; DAA-GRS-2016-0005-0003)
40	Paperwork Reduction Act -documents related to the Paperwork Reduction Act (PRA). The Office of Policy and Grant Administration (OPGA) has a Subject Matter Expert staff member dedicated to overseeing the application of the Paperwork Reduction Act and the documents related to it. These documents range from a change	Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (GRS 5.7; item 10; DAA-GRS-2017-0008-0001)

	worksheet to an internal presentation and a submissions timeline.	
41	Policy Development Committee (PDC) - contains agendas, summaries, minutes, and other supporting materials related to OHC's Policy Development Committee (PDC). The PDC meets to review and approve or deny any new initiative or activity that could impact OHC. These documents are primarily overseen by the Office of Policy and Grant Administration (OPGA) and cover any topic that OHC could come across, from the NOFA process to performance reviews to the All-Staff Meeting.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
42	Policy Guidance - contains federal policy documents along with reference materials to help OHC staff navigate the guidelines therein. These documents are utilized by OHC staff across all program offices. Policies in this series include the Housing Counseling Handbook, National Industry Standards for Ethics, 24 CFR 214, OMB A-122, OMB A-123, OMB A-133, and the HUD Act.	Permanent. Break files annually. Transfer in electronic format to the Federal Records Center with appropriate metadata, in accordance with NARA regulations and transfer guidance three (3) years after file break or one year after the incumbent leaves' office, whichever is sooner. Transfer to National Archives five (5) years or three (3) years after incumbent leaves office, whichever is sooner, but longer retention is authorized if required for business use. (NARA Job N1-207-95-1; item 1a)
43	Policy/Programmatic Initiatives - contains documents relating to various policy and programmatic initiatives led by OHC's Deputy Assistant Secretary (DAS) for Housing Counseling. These initiatives include FHA programs, HUD mission programs, activities related to the NeighborWorks board, and miscellaneous policy collaborations with Housing Counseling Agencies and other stakeholders.	Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)
44	Procurement -documents related to OHC's procurement of contractor services as well as invoices for the performance of that contract work. This series also includes contract monitoring reports created by HUD Contracting Officer Representatives (CORs), Government Technical Representatives (GTRs), and Government Technical Monitors (GTM). OHC's procurement is primarily	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1; item 10; DAA-GRS-2016-0013-0001)

	<p>overseen by its Office of the Deputy Assistant Secretary (DAS).</p> <p>a. Financial transactions records related to procuring goods and services, paying bills, collecting debts and accounting.</p>	
	<p>b. Procuring goods and services</p>	<p>Temporary. Destroy when business use ceases (GRS1.1; item 11; DAA-GRS-2013-0003-002)</p>
45	<p>Quality Control (Grantee Voucher Documentation)-contains reference documents related to the quality control process for Housing Counseling Agencies to which OHC disburses grant funding. Documents pertaining to a specific agency would belong to the Agency Files series. The Quality Control (Grantee Voucher Documentation) series, however, contains general guidance documents, such as an Internal Quality Control Checklist, that can be applied to all agencies for which OHC seeks to perform quality control activities. The quality control function is primarily performed by OHC's Office of Oversight and Accountability (OOA).</p>	<p>Temporary. Cut off at end of calendar year in which financial assistance award case is closed out. Retire to Federal Record Center in sufficient time after cutoff as appropriate to meet program business needs. Destroy when no longer needed for reference, or 6 years after cutoff whichever sooner, but longer retention is authorized if required for business use. (NARA Job N1-207-04-3; item 5a)</p>
46	<p>Reports-all reports generated by program offices within the Office of Housing Counseling. Reports range from agency data reports to program office monthly reports to reports concerning other housing counseling-related subjects.</p>	<p>Temporary. Keep 3 latest reports and destroy previous reports, but longer retention is authorized if required for business use. (NARA Job NC1-207-79-8; item 20)</p>
47	<p>Risk Matrix-documents related to the risk matrix belonging to OHC's Office of Oversight and Accountability (OOA). OOA utilizes its risk matrix to effectively measure and assess levels of risk assumed by its Housing Counseling Agency counterparts.</p>	<p>Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (GRS 5.7 DAA-GRS-2017-0008-0001)</p>
48	<p>Stakeholder Meetings-contains archived reports, slide presentations, agendas, and participant evaluations from Stakeholder Meetings that OHC conducts with various external counterparts. Counterparts in this series include Faith Based Organizations, the Housing Counseling</p>	<p>Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (GRS 5.2; item 20; DAA-GRS-2017-0003-0002)</p>

	Stakeholders' Forum, HUD Intermediaries, and Tribal Consultation and Rural Housing groups. These meetings primarily fall under the purview of OHC's Office of Outreach and Capacity Building (OCB).	
49	Standard Operating Procedures (SOPs) - finalized Standard Operating Procedures (SOPs) and visual process flows for a wide range of topics related to housing counseling. These topics include the publication of new policies, topics on HUD Exchange, press releases, and social media posts. There are also reference documents related to housing and the Notice of Funding Availability (NOFA) process. OHC's Office of the Deputy Assistant Secretary (DAS) primarily oversees the development of these Standard Operating Procedures.	Permanent. Break files annually. Transfer in electronic format to the Federal Records Center with appropriate metadata, in accordance with NARA regulations and transfer guidance three (3) years after file break or one year after the incumbent leaves' office, whichever is sooner. Transfer to National Archives five (5) years or three (3) years after incumbent leaves office, whichever is sooner, but longer retention is authorized if required for business use. (NARA Job N1-207-95-1; item 1a)
50	The Bridge Newsletter -materials related to the development and publication of OHC's monthly newsletter, "The Bridge." This series contains a link to the archive of finalized issues of "The Bridge" dating back to 2012 as well as a template for its creation and a flow chart depicting the publication process. Moreover, the series contains a collection of independent submissions for articles to be included in the newsletter dating back to 2017. OHC's Office of Outreach and Capacity Building (OCB) is primarily responsible for the monthly production and dissemination of "The Bridge."	Temporary. Destroy when no longer needed for business use. (GRS 6.4; item 30; DAA-GRS-2016-0005-0003)
51	Agency Data (Housing Counseling System - F11) Agency data is collected to include: agency name, agency primary address, type of services provided, contact information, counselor/client data, agency ID, agency status and agency type.	Temporary – Destroy 3 years after final action is taken on file, but longer retention is authorized. (GRS 1.2 Grant and Cooperative Agreement Records; item 10) (DAA-GRS-2013-0008-0007)
52	Counselors Certification Data (HUD Housing Certified Housing Counseling and Counseling Database) Reports are pulled to verify certification for all	Temporary – Destroy 3 years after final action is taken on file, but longer retention is authorized. (GRS 1.2 Grant and Cooperative

	counselors who have completed the required exam to administer the program. The database collects counselors name, agency employed, SS# and whether pass or fail exam. The PII in this database is collected under approval from OMB through the PRA process and data collected in FHAC is also covered by CHUMS/FHAC SORN.	Agreement Records; item 10) (DAA-GRS-2013-0008-0007)
53	Data Extraction (Agency Reporting Module - F11M) Data is received for all Housing Counseling Agencies to include agency profile, 9902 reports, performance reports, counselor, and client reports.	Temporary – Destroy 3 years after final action is taken on file, but longer retention is authorized. (GRS 1.2 Grant and Cooperative Agreement Records; item 10) (DAA-GRS-2013-0008-0007)
54	Exam Results (Housing Counseling Training and Certification System) Data needed for Housing Counseling Training and Certification System is pulled by the contractor Bixal and provided to HUD for counselors' certification exam results.	Temporary – Destroy 3 years after final action is taken on file, but longer retention is authorized. (GRS 1.2 Grant and Cooperative Agreement Records; item 10) (DAA-GRS-2013-0008-0007)
55	HECM Exam Reports (HECM Exam Support Services and Registration) Reports are generated weekly and monthly to track HECM exam reports and overall usage.	Temporary – Destroy upon verification of successful creation of final document or file, but longer retention is authorized for business use. (GRS 5.2 Transitory and Intermediary Records; item 20) (DAA-GRS-2017-0003-0002)
56	Usage Reports/Exam Results Reports (HECM Loan Comparison and Underwriting Tool) Covers monthly usage reports for individual counselor activity, activity by agency, and answers to counselors required questions. It also covers weekly exam results report. It provides HECM counselors with loan printouts, amortization schedules, and total annual loan cost analyses.	Temporary – Destroy 3 years after final action is taken on file, but longer retention is authorized. (GRS 1.2 Grant and Cooperative Agreement Records; item 10) (DAA-GRS-2013-0008-0007)