



Office of Housing Counseling

OHC Basics Series:

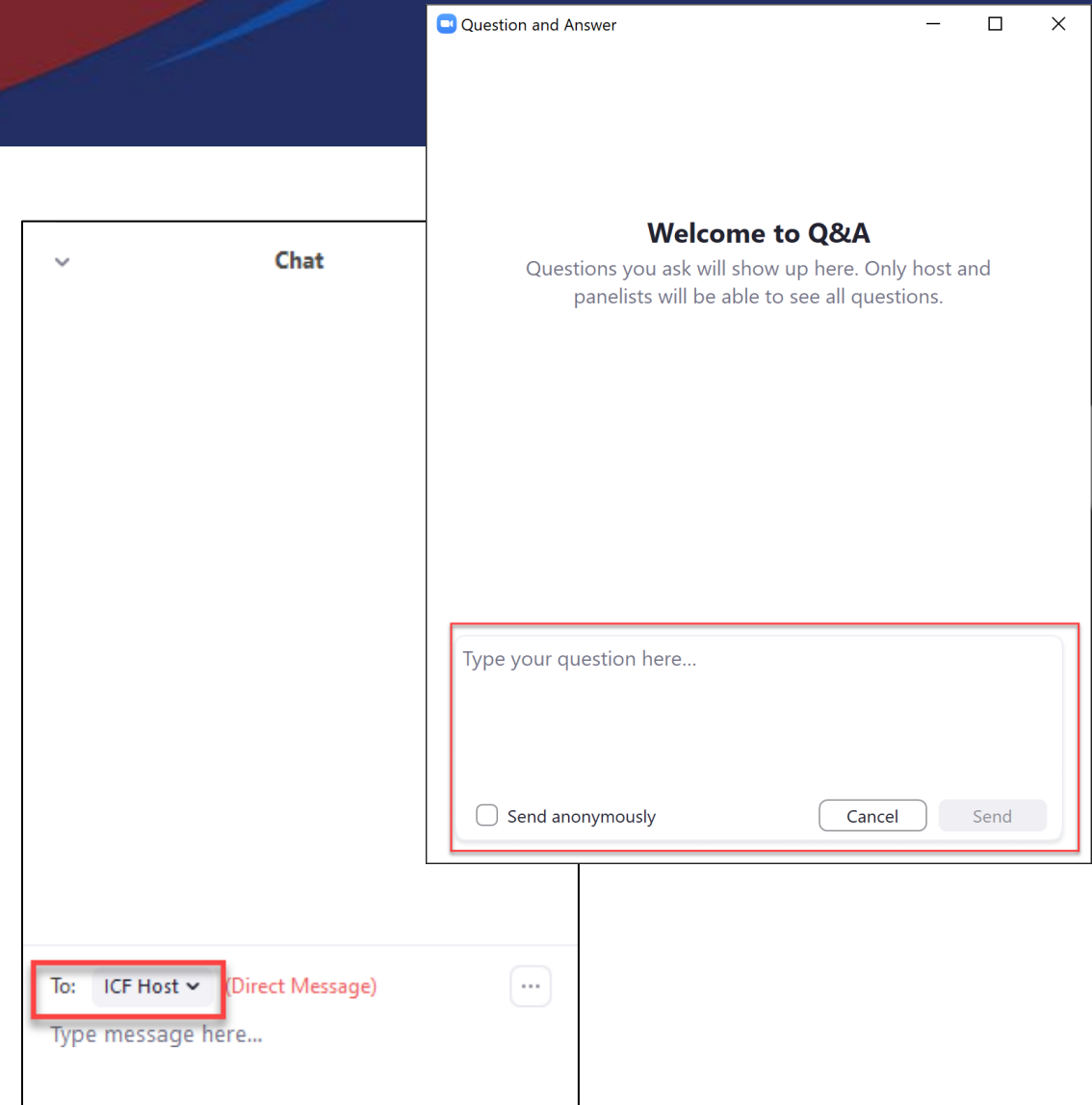
Recordkeeping and File Maintenance

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

February 1, 2023

Questions?

- Participants are in listen only mode
- Chat
 - Submit any technical issues via the Chat box
 - Send the message to the Host
- Q&A
 - Submit any content related questions via the Q&A box
 - Send to Host, Presenter and Panelists



Materials

- The PowerPoint has been posted for this session. We will provide the link in the Chat box.
- Webinar materials are posted on the HUD Exchange in the [Webinar Archive](#) 7-14 days after the live webinar
 - Find by date or by topic

Housing Counseling Webinar Archives

Page Description

This page contains links to the archived versions of previously recorded webinars presented by the Office of Housing Counseling. In order to listen to the archived webinar, you will need call the 800 # listed and enter the access code. Any course materials, including the PowerPoint Presentations are also posted. You should have the presentations available when you listen to the webinar. If you have any questions regarding the webinars archived on this site, please contact [Virginia Holman](#).

Training Archive – Audio Replay and Transcript:

- Audio replay numbers are only available for 12 months after the date of the webinar
- Transcripts are available for webinars from February 2016 going forward

Get Credit for Training Sessions

If you have attended or completed any of the training sessions below, select the "Get Credit" button on the training page in order to get credit and add the course to your transcript. You must have a HUD Exchange account in order to get credit for training sessions.

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Want to view webinars by topic?

The Office of Housing Counseling has a new page where webinars are organized by topic instead of date.

[Filter by Topic](#)

Click on the title to view webinar materials, and get credit for viewing the webinar.

Webinar Title and Link	Description	Date
Fringe Benefit Costs	This webinar discussed the Office of Management and Budget's (OMB's) cost principles related to fringe benefits and how to properly document and calculate fringe benefits.	February 15, 2022
Training NOFO Grant Execution	This webinar was recommended for all grantees awarded funding under the 2021 Housing Counseling Training NOFO (TNOFO).	February 8, 2022

Webinar Certificate

- Webinar attendance will be marked following the live webinar.
- Once attendance is marked you can print a Webinar Certificate by logging into your account and going to your [Learning Transcript](#).
- Select the Course Name and click “Print Certificate”. *Not all HUD Exchange training offer Webinar Certificates.*

Housing Counseling Webinar: 9902 Form and Toolkit - Revision Highlights, Tips, and Tools

Close Record

Progress: Completed **Status:** Enrolled **Required:** Yes **Duration:** 1 hour

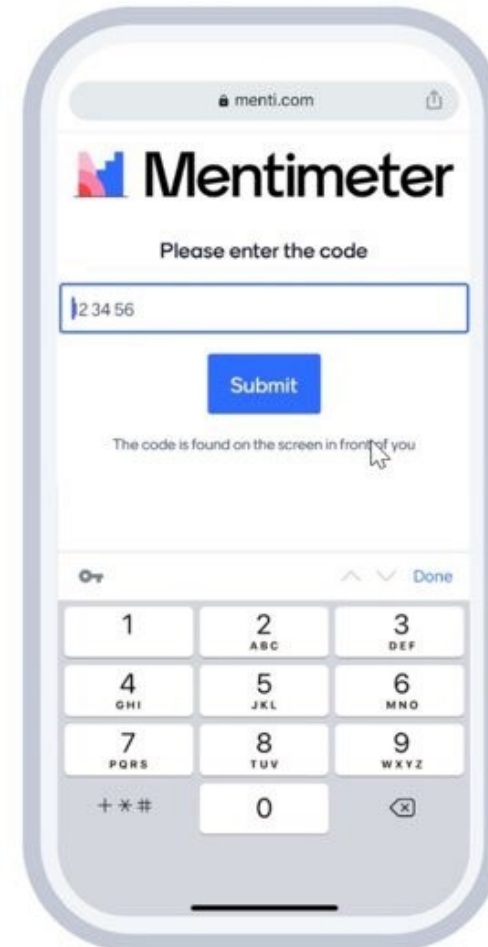
Print Certificate

— Activities

Class Sessions

Audience Quizzes

- There will be Mentimeter quiz questions to check your knowledge throughout this presentation.
- When prompted by the icon to the right, please respond to questions at www.menti.com using your computer or smart phone.



**Time for
Mentimeter!**



Presenters

- **William Moore and Clair Weatherby**, ICF, Technical Assistance Providers
- **Kim Jakeway and Bernadette Hutnick**, HUD's Office of Housing Counseling, Office of Oversight and Accountability

Agenda

- HUD Welcome
- Recordkeeping
- Client File Maintenance
- Tips for Success
- Tools and Resources
- Q&A



Tracy C. Fields

Senior Housing
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Office of Oversight and Accountability

HUD's Office of Housing Counseling

OHC Basics Series Introduction



- Provides training for newer staff of housing counseling agencies (HCAs)
- Highlights best practices for HUD Housing Counseling Program compliance, as well as common missteps
- Equips attendees with tools and resources to implement the information and advice shared in the series

Check Out All the Sessions

[Financial Management and HUD Grant Administration](#) (recording available)

- Key grant agreement terms
- Eligible expenses and budgeting for the HUD Grant
- Grant reporting and use of eLOCCS



February 15, 2023: [Tips and Tricks for Using Your CMS and HCS](#)

- Role of CMSs in a successful housing counseling operation
- Data input and CMS system selection and troubleshooting
- Use of HUD's Housing Counseling System (HCS)
- Tips for accurate and complete 9902 Form reporting



Recordkeeping

Why is Recordkeeping Important?

- Sets agency up for success in case of HUD Performance Review
- Empowers agency to tell the story of the reach and impact of counseling
- Allows HUD to share the work of the housing counseling program with Congress and other stakeholders
- Supports mandatory housing counseling program data reporting

Recordkeeping Requirements

- The [HUD Housing Counseling Handbook 7610.1 REV-5](#) (the “Handbook”) requires:
 - *Each participating agency must maintain a recordkeeping system so that client files, electronic or a combination of electronic and paper, can be reviewed and annual activity data for the agency can be verified, reported and analyzed. The system must permit HUD to easily access all information needed for a performance review.*
 - *The Housing Counseling Agency must maintain a separate confidential file documenting each unique, distinct provision of counseling services provided to a client.*
- Client files must be kept for 3 years from date file was terminated
 - If agency receives a HUD Housing Counseling Grant, must be retained for 3 years following final grant invoice payment date

Systems Management and 9902 Quarterly Reporting

- All agencies are required to use a Client Management System (CMS) that interfaces with HUD's Housing Counseling System (HCS) for the collection and reporting of agency and client-level data ([Handbook, Chapter 5](#))
- Recordkeeping and client file requirements are related to your agency's [HUD 9902 Activity Form \(9902\)](#) reporting
- 9902 reporting corresponds to the services outlined in your agency's work plan
 - Grant recipients report their 9902 activity under the HUD-Funded Activity column
- [OHC Basics Series: Tips and Tricks for Using Your CMS and HCS](#) will offer advice on successful 9902 reporting

**Time for
Mentimeter!**





Client File Maintenance

General Requirements

- Client files must be kept securely (both physical and electronic) to protect confidentiality
- Every client reported on the 9902 must have a complete client file
- Client file elements outlined in [HUD Housing Counseling Handbook](#), Chapter 5

Supervisory Reviews

- Agencies must perform supervisory monitoring (or regular review) of client files (per [Handbook, Section 5-7](#))
- Create and maintain internal policy on reviewing files
- Supervisory reviews ensure quality counseling
- Lack of supervisory reviews (or lack of documentation) is a common Performance Review finding

Client File Requirements

- ✓ File Number
- ✓ Financial Analysis
- ✓ Activity Log
- ✓ Action Plan
- ✓ Follow Up
- ✓ Termination
- ✓ Counseling Results
- ✓ Disclosure
- ✓ Funding Source
- ✓ Client Authorization
- ✓ Privacy Statement

Individual Client File Checklist

- Sample Individual Client File Checklist

**Time for
Mentimeter!**





File Monitoring and Tips for Success

File Maintenance and Recordkeeping Tips

- Use the Client File Checklist to ensure the file has all the required components
- Create and maintain internal supervisory monitoring policy on reviewing files
- Ensure that all files for one-on-one clients reported on the [9902](#) include all HUD file components

Tips for Success – File Maintenance

- Assign a unique client file number to every file
- Include a complete budget and financial analysis in every file
- Activity Log:
 - Include duration of time for each task
 - Document all activity, including follow up
- Action Plan:
 - Should be specific, not generic
 - Must be present and complete
 - List all tasks for the client and counselor, as well as the time frame to complete each task

Tips for Success – File Maintenance (contd)

- Document reason for termination of counseling
- Close files following termination
- Include a complete Client Disclosure that:
 - Explicitly describes the various types of services provided by the agency
 - Describes any exclusive, financial, or other relationships between the agency and other industry partners
 - States that the client is not obligated to receive, purchase or utilize any other services offered by the organization, or its exclusive partners, in order to receive housing counseling services

Tips for Success – Homeownership Counseling

- Under [2 CFR Part 214](#) all homeownership counseling shall address the entire process of homeownership and document it in the file:
 - Decision to purchase
 - Selection and purchase
 - Issues arising during homeownership (including financing, refinancing, default, foreclosure and other financial decisions)
 - Sale or other disposition of a home

Tips for Success – Other Common Counseling Services

- Post-purchase non-default and mortgage default
 - Discuss options
 - Determine reason for foreclosure
 - Follow-up procedures are key
- Homeless counseling
 - Proof of homelessness, income, disability
 - Emphasis on case management notes and follow up
- Rental
 - Record housing search efforts, fair housing and tenant rights education
 - Connect to other resources

**Time for
Mentimeter!**





Tools and Resources

Tools and Resources

- Resources:
 - [Housing Counseling Program Guidance - HUD Exchange](#)
 - [Housing Counseling Recordkeeping FAQs - HUD Exchange](#)
 - [HUD Housing Counseling Handbook 7610.1 REV-5 - HUD Exchange](#)
 - [eCFR :: 24 CFR Part 214 -- Housing Counseling Program](#)
 - [Housing Counseling Intermediary Toolkit: Quality Control - HUD Exchange](#)
 - [Supervisory Monitoring for Housing Counseling Agencies \(hudexchange.info\)](#)

Tools and Resources (contd)

- Trainings:
 - [Housing Counseling Basics Webinar Series: Financial Management and Grant Administration - HUD Exchange](#)
 - Self-paced training: Housing Counseling Standards for Program Content, Service Delivery, and Recordkeeping – [Part 1](#) and [Part 2](#)
 - [Housing Counseling Webinar: Counseling in the Digital Age: Moving Away From Paper Files - HUD Exchange](#)



Questions and Answers



Housing Counseling Training Digest

- Visit the [Training Digest](#) on the HUD Exchange
- Upcoming trainings:

OHC Basics Series

[Tips for Using your CMS and HCS](#)

February 15, 2023

Energy Efficiency Essentials Series

[Incentives and Resources to Make Energy Efficiency a Reality](#)

February 9, 2023


Housing Services for Persons Impacted by Domestic Violence and Sexual Assault Series

[How to Identify Persons Impacted by Domestic Violence and Sexual Assault](#)

February 23, 2023

[Housing Protections for Persons Impacted by Domestic Violence and Sexual Assault](#)

March 9, 2023



Housing Counseling Weekly Training Digest

View and register for upcoming Housing Counseling trainings hosted by HUD and HUD's partners.
Content current as of April 18, 2022

Home > Programs > Housing Counseling > Training Digest

Overview

The Housing Counseling Training Digest is updated weekly to reflect training sessions hosted by:


- HUD Office of Housing Counseling (OHC)
- OHC funded training partners
- Other partners that host training sessions of interest to housing counselors

Please email housing.counseling@hud.gov to notify HUD about upcoming training and events for housing counselors.

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Upcoming Training Calendar

View upcoming training sessions for Housing Counseling and other HUD funded programs.



Webinar Archive

View past webinars hosted by the Office of Housing Counseling and access related materials.



Online Training

Access self-paced online training modules, such as Introduction to Housing Counseling.

Office of Housing Counseling



- Find us on the [HUD Exchange Housing Counseling Page](#)
- Email us at: Housing.counseling@hud.gov
- Search for [HUD Approved Housing Counseling Agencies](#)



Office of Housing Counseling

Thank You For Attending

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U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT