REQUEST FOR RECORDS DISPOSITION AUTHORITY

	Leave Blank (NARA Use Only)

To National Archives and Records Administration (NIR) Washington DC 20408	Job Number NI-543-00-1

1 From **Office of Federal Housing Enterprise Oversight (OFHEO)** **Record Group 543**	Date Received 10/29/1999

2/3 Major Subdivision **Office of Information Technology**	Notification to Agency

4 Name of Person with Whom to Confer	5 Telephone	In accordance with the provisions of 44 USC 3303a the disposition request including amendments is approved except for items that may be marked disposition not approved or withdrawn in column 10
Alice Gannon, CRM	**202-414-3791**	

Date	Archivist of the United States
12-12-01	John W. Carl

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 ☒ is not required, ☐ is attached, or ☐ has been requested

Date	Signature of Agency Representative **Alice Gannon, CRM**	Title **Records Management Officer**
10/7/99	*Alice Gannon, CRM*	

7 Item No.	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action Taken (NARA Use Only)
	See attached.		

cc: Agency, NWMD, NWME, NWCT

115-109	NSN 7540-00-634-4064 Previous Edition Not Usable	Standard Form 115 (Rev 3-91) Prescribed by NARA 36 CFR 1228

Office of Federal Housing Enterprise Oversight (OFHEO) - Record Group 543   ID: 127

OFHEO Records Management Program: SF115 Data - Electronic Information Systems

Medium - Group:	EIS
Office of Record:	OIT - Office of Information Technology - Records Management Officer
System Popular Name:	**MARTY - Masterlist of Agency Record Types**
NARA Job#:	NI-543-00-01/01
Use and Purpose:	Database documenting the Records Management Inventory of OFHEO electronic information systems and paper file categories for each OFHEO Office Each electronic information system and paper file category is described in terms of its business use and purpose and its lifecycle management, including its retention and disposition

System Software:	Access 97 for Windows 98
System Input:	Data sheets gathered during the records management inventory/interviews
System Data:	Data describing each OFHEO electronic information systems and each paper filing category
System Output/Reports:	SF115s and the full descriptions of each OFHEO EIS and Paper file Additional reports include Office Filing Plans, Vital Records Protection Plans, Privacy Act Systems of Records Lists Paper SF115s will be submitted to NARA for approval
System Documentation:	System-generated documentation

~~Software Dispo Authority:~~	~~SF115~~
Input Disposition Authority:	SF115
Data Disposition Authority:	SF115
~~Output Dispo Authority:~~	~~SF115~~
Doct'n Dispo Authority:	SF115

	~~Software Total Retention:~~	~~Temporary Dispose of software after data is migrated, or when superseded or obsolete~~
/a	**Input Total Retention:**	NI-543-00-01/01a Temporary - Destroy data sheets when data has been verified
/b	**Data Total Retention:**	NI-543-00-01/01b Temporary - Delete with related records when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later
	~~Output Total Retention:~~	~~Temporary Records copies of Office File Plans and Records Retention Schedules and other reports are filed in the Records Management Program File.~~
/c	**Doct'n Total Retention:**	NI-543-00-01/01c Temporary - Destroy or delete when superseded or obsolete , or upon authorized deletion of the related master file or database, or upon destruction of the output of the system, whichever is latest

Medium - Group:	EIS
Office of Record:	OIT - Office of Information Technology - RMO
System Popular Name:	**OSCAR (the Officewide System for Capture and Retrieval)**
NARA Job#:	NI-543-00-01/02
Use and Purpose:	Database, used as a finding aid, which tells what the document is, in which Office's official files it is IOER - CAted, in which file category it is filed, and for which file folder label the user should look to find the document When data entry is completed into OSCAR for each agency record, an OSCAR Sheet prints out and is attached to that record, and filed with that "official record" in order that a requester may validate that this is the record they searched for on OSCAR
System Software:	Microsoft ACCESS 97 for Windows 98
System Input:	Record copies of documents to be filed in the Official files of OFHEO Offices
System Data:	Data about documents and their physical IOER - CAtion
System Output/Reports:	OSCAR Sheets are attached to and filed with the record copies of the documents, thus enabling the requester to verify that they have found the record(s) being requested
System Documentation:	OSCAR Data Dictionary and the system-generated data dictionary
~~Software Dispo Authority:~~	~~SF115~~
Input Disposition Authority:	Record copies of documents to be filed in the Official files of OFHEO Offices are scheduled separately
Data Disposition Authority:	SF115
Output Dispo Authority:	Record copies of documents to be filed in the Official files of OFHEO Offices, including their OSCAR Sheets, are scheduled separately
Doct'n Dispo Authority:	SF115
~~Software Total Retention:~~	~~Temporary - SF115 - Dispose of software after data is migrated, or when superceded or obsolete~~
~~Input Total Retention:~~	~~Temporary - Record copies of documents to be filed in the Official files of OFHEO Offices are scheduled separately~~
2 a **Data Total Retention:**	NI-543-00-01/02a Temporary - SF115 - Delete with related records when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.
~~Output Total Retention:~~	~~Temporary - Record copies of documents to be filed in the Official files of OFHEO Offices, including their OSCAR Sheets, are scheduled separately.~~
2 b **Doct'n Total Retention:**	NI-543-00-01/02b Temporary - SF115 - Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest

Medium - Group:	EIS
Office of Record:	OIT - Office of Information Technology
System Popular Name:	Data Warehouse
NARA Job#.	NI-543-00-01/03
Use and Purpose:	An electronic information system called the Data Warehouse, which includes extensive data on the historical performance of loans purchased by each Enterprise, as well as on the Enterprises' current assets, liabilities, and off-balance sheet obligations. Historical data provides a basis for evaluating how each Enterprise may perform under economic stress. Current and historical data is used to monitor Enterprise financial performance and to establish starting positions for simulations of Enterprise performance The Financial Safety and Soundness Act of 1992 requires that OFHEO's risk-based capital regulation be based upon actual risk exposures of each Enterprise To achieve this, OFHEO needs Enterprise data at a highly-disaggregated level To minimize regulatory reporting requirements, OFHEO collects and processes instrument-level data (e g , data on individual mortgages, debentures, or swaps) as provided by the Enterprises The Enterprises maintain their data in different formats and database structures In order to make the data consistent, OFHEO created this single-format database to normalize the data In addition to the GSE data OFHEO will be receiving data from the HUD Federal Housing Administration (FHA) and MIC (Mortgage Information Corporation) The data is significant because it contains unique financial data about the GSEs, and also because it captures a primary function of OFHEO, that of monitoring the financial safety and soundness of the GSEs and ensuring that the GSEs remain adequately capitalized Data from the 4th quarter financial statements also provide informational value about the financial health of the housing industry, a leading indicator of the overall health of the national economy The data is especially valuable because it is a historical file, one that enables users to analyze change over time in the financial industry regarding housing Researchers can perform a wide range of statistical analyses to study these changes.
System Software:	Languages Perl and SAS Tools Sybase, Informatica Powermart, and Brio Enterprise
System Input:	System Input includes extensive data on the historical performance the Enterprises FHA, and MIC, as well as on the Enterprises' current assets, liabilities, and off-balance sheet obligations Input data, submitted electronically quarterly
System Data:	The system data is extensive, raw, non-normalized, and normalized data on the historical performance of loans purchased by the Enterprises, as well as on the Enterprise's current assets, liabilities, and off-balance sheet obligations.
System Output/Reports:	Credit Risk, Market Risk, and Financial Reporting
System Documentation:	Documentation will be online on the OFHEO Intranet
Software Dispo Authority:	SF115
Input Disposition Authority:	SF115

Data Disposition Authority:	SF115	
Output Dispo Authority:	SF115	
Doct'n Dispo Authority:	SF115	

3ɡ **Software Total Retention:** Temporary - SF115 - Dispose of software after data migration of current and historical data, or when superseded or obsolete

3a **Input Total Retention:** N1-543-00-01/03a Temporary - SF115 - Transfer to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old

3b **Data Total Retention:** N1-543-00-01/03b Permanent - SF115 - When the yearly results of the 4Q financial statement records are finalized each year, transfer the yearly results records to NARA in accordance with 36 CFR 1220.188, or the applicable regulation in force at the time. N1-543-00-01/03c

3c Temporary - SF115 - Transfer the yearly results data from the 1st to the 3rd quarters yearly financial statement records to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old

3d **Output Total Retention:** N1-543-00-01/03d Temporary - SF115 - Transfer output records to offline storage when 10 years old, or when volume warrants, and destroy when most recent records are 20 years old

3e **Doct'n Total Retention:** N1-543-00-01/03e Permanent - SF115 - Transfer the documentation for the yearly 4Q financial statement records when the yearly results of the 4Q financial statement records are transferred N1-543-00-01/03f

3f Temporary - SF115 - Destroy or delete the remaining documentation when superceded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest

Office of Record	OIT - Office of Information Technology - Records Management Officer
Record Series Name	**FOIA File**
Medium - Group	Paper
NARA Job#:	GRS *14, item 15*
File Plan Category Name	FOIA File
Use and Purpose	Document packages which include FOIA request letter, FOIA response letter and attached released documents which may be redacted, copies of the same documents which are unredacted, but annotated, to show what information was redacted, and invoices when applicable
Filing Instructions	File numerically by FOIA Request number
Volume	1-1/4 file drawers
Volume Growth	1 foot/year
Total Retention: Years/Event	Temporary Records For FOIA Request Files, when the requests have been wholly granted, destroy 2 years after date of reply For the FOIA Request Files, when the responses to the requests concern nonexistent records, responses to requesters who provide inadequate descriptions, and responses to requesters who fail to pay agency reproduction fees, if the request is not appealed, destroy 2 years after date of reply For the FOIA Request Files, when the responses to the requests concern nonexistent records, responses to requesters who provide inadequate descriptions, and responses to requesters who fail to pay agency reproduction fees, if the request is appealed, destroy in accordance with GRS 14 12 For the FOIA Request Files, which deny access to all or part of the records requested, if the request is not appealed, destroy 6 years after date of reply For the FOIA Request Files, which deny access to all or part of the records requested, if the request is appealed, destroy in accordance with GRS 14 12 For the Annual FOIA Reports to Congress or to the Attorney General, transfer to offsite storage in 10-year segments when most recent records are 10 years old, or when volume warrants, Destroy in 10-year segments when most recent records are 30 years old Follow OFHEO procedures for transferring applicable electronic copies to the OFHEO website After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision
Disposition Authority	GRS14 11a(1), GRS 14 11a(2)(a)&(b), GRS14 11a(3)(a) &(b), GRS14 12, and GRS14 14
If no Dispo Auth	NA

Office of Record	OIT - Office of Information Technology - Records Management Officer
Record Series Name	**Information Systems Security Program File**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/04
File Plan Category Name	Information Systems Security Program File
Use and Purpose	Documents associated with program management including security awareness training materials and information systems security training records
Filing Instructions	File chronologically by date
Volume	1/2 file drawer
Volume Growth	6" per year
Total Retention: Years/Event	NI-543-00-01-04a Temporary Records Destroy system security plans when they are superseded or obsolete NI-543-00-01-04b Temporary Records Destroy system training records when the general support system or major application is terminated and all system records deleted or migrated to another general support system or major application NI-543-00-01-04c Temporary Records Destroy annual information systems security awareness training and incoming/exit briefings when they are 5 years old NI-543-00-01-04d Temporary Records After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision
Disposition Authority	SF115
If no Dispo Auth	SF115

(handwritten left margin:) 4a 4b 4c 4d

Office of Record	OIT - Office of Information Technology - Records Management Officer
Record Series Name	**OFHEO Guidelines File**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/05
File Plan Category Name	OFHEO Guidelines File
Use and Purpose	Record copies of signed, approved OFHEO Guidelines The OFHEO Guidelines File includes those directives, procedural issuances, and operating manuals which have been issued under the OFHEO Guidelines Program Some OFHEO Guidelines may be related to OFHEO's program functions, while other OFHEO Guidelines may relate to routine administrative functions
Filing Instructions	File Numerically by number of OFHEO Guideline
Volume	1 file drawer
Volume Growth	6" per year
Total Retention: Years/Event	NI-543-00-01/05a Permanent Records Retain, as Permanent records (lifetime of the USA) each approved version of those OFHEO Guidelines that relate to OFHEO's specific mission Transfer to offsite storage in 10-year segments when the most recent records in the transferring segment are 10 years old, or when volume warrants Offer to NARA in 10-year segments when most recent records in that segment are 30 years old NI-543-00-01/05b Temporary Records Retain onsite each approved version of those OFHEO Guidelines that relate to routine administrative functions for the lifetime of the version plus the lifetime of its succeeding version, or for the lifetime of those transactional records which were created or received in the implementation of that version, whichever is longer NI-543-00-01/05c Temporary Records After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision
Disposition Authority	SF115
If no Dispo Auth	SF115

OFHEO Records Management Program: Records Retention Schedule - Paper Records Series

Office of Record	OIT - Office of Information Technology - Records Management Officer
Record Series Name	**Records Management Program File**
Medium - Group	Paper
NARA Job#:	GRS
File Plan Category Name	Records Management Program File
Use and Purpose	Documents associated with Program management including Office File Plans, records Retention Schedules, NARA submittal packages, and training documents
Filing Instructions	File chronologically by date
Volume	I file drawer
Volume Growth	1/2 file drawer per year
Total Retention: Years/Event	Temporary Records Destroy 6 years after documents are superseded, canceled, or voided After paper record copy capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision
Disposition Authority	GRS16 7
If no Dispo Auth	GRS16 7

Office of Record	OIT - Office of Information Technology - Software Engineering
Record Series Name	**Chron Files - Fannie Mae and Freddie Mac**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/06
File Plan Category Name	Fannie Mae Chron File, and Freddie Mac Chron File
Use and Purpose	These four separate chron files contain copies of substantive documents sent to and/or received from Fannie Mae and Freddie Mac The files are set up as follows "From Fannie Mae," "From Freddie Mac," and "To Fannie Mae," and "To Freddie Mac "
Filing Instructions	File chronologically by date into either the Fannie Mae or the Freddie Mac file
Volume	? file drawers
Volume Growth	Unknown at this time
Total Retention: Years/Event	NI-543-00-01/06a Temporary Records Transfer to offsite storage in 5-year segments when most recent records in the transferring segment are 10 years old, or when volume warrants Destroy in 5-year segments when most recent records in the segment to be destroyed are 20 years old NI-543-00-01/06b Temporary Records After paper record copy/capture, delete all copies of electronic source records, except the one copy retained as a template for updating or revision
Disposition Authority	SF115
If no Dispo Auth	SF115

6 a

6 ⁁

20 Yrs old.

change made with the concurrence of the agency records officer.

6/15/00

Office of Record	OIT - Office of Information Technology - Software Engineering
Record Series Name	**Data Warehouse Project File**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/07
File Plan Category Name	Data Warehouse Project File
Use and Purpose	A "project" case file of substantive documents created or received to support the design, development, review, and approval of the Data Warehouse The file includes copies of contract-related documents and the official files of work products related to the Stress Test The Data Warehouse contains confidential, financial, proprietary data submitted by the GSEs
Filing Instructions	File alphabetically into the subject category, then chronologically by date
Volume	2 file drawers
Volume Growth	2 file drawers per year
Total Retention: Years/Event	NI-543-00-01/07a Temporary Records Retain onsite for 5 years after the close of the project NI-543-00-01/07b Temporary Records After paper record copy capture, delete all copies of electronic source records, except the copy retained as a template for updating or revision
Disposition Authority	SF115
If no Dispo Auth	SF115

7a
7b

Office of Record	OIT - Office of Information Technology - Software Engineering
Record Series Name	**GSE Submittals Files - Fannie Mae and Freddie Mac (aka the OLGA File)**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/08
File Plan Category Name	GSE Submittal Files (aka the OLGA Files) - Fannie Mae and Freddie Mac
Use and Purpose	Record copies of the quarterly, monthly, and ad hoc document and data submittals to OFHEO from the GSEs under 12 CFR 1750 12 The submittals include paper documents, disks and magnetic tapes GSE Submittals are used in the Financial Simulation Model to apply the Stress Test The data is required from the GSEs in order that OFHEO may determine the amount of total capital required for each GSE to maintain positive capital during the stress period
Filing Instructions	File chronologically into either the Fannie Mae or the Freddie Mac "GSE Submittals" file
Volume	12 file drawers
Volume Growth	2 5 file drawers per year
Total Retention: Years/Event	NI-543-00-01/08 Temporary Files Break Files annually Transfer to offsite storage in 10 years or when volume warrants Destroy in 3-year segments when most recent records are 20 years old
Disposition Authority	None
If no Dispo Auth	SF115

Office of Record	OIT - Office of Information Technology - Systems Engineering
Record Series Name	**IT Operations File - OA LAN and RSE LAN**
Medium - Group	Paper
NARA Job#:	NI-543-00-01/09
File Plan Category Name	IT Operations File
Use and Purpose	Documents created and received in the operations, maintenance, quality control, and continuous improvement of the OFHEO LANs This file includes such documents as the various revisions of LAN Documentation, emergency operation procedures, and the Business Continuity/Disaster Recovery Plans
Filing Instructions	File alphabetically by subcategory name (e g , LAN Name), then chronologically by date.
Volume	Unknown at this time
Volume Growth	Unknown at this time
Total Retention: Years/Event	NI-543-00-01/09a Temporary Records Break Files Annually Destroy routine operations and maintenance documents after 3 years NI-543-00-01/09b Destroy revisable documents, such a the LAN Documentation and the Business Continuity Plan, after two supersessions NI-543-00-01/09c Temporary Records After paper record copy capture, delete all copies of electronic source records, except the copy retained as a template for updating or revision
Disposition Authority	SF115
If no Dispo Auth	SF115

qa
q h
q c

Medium - Group:	EIS
Office of Record:	OIT - Office of Information Technology
System Popular Name:	Risk-Based Capital Simulation (RBCSim)
NARA Job#:	NI-543-00-01/ **05/0**
Use and Purpose:	The Risk-Based Capital Simulation Model (RBCSim), currently in development, is a series of interlocking computer programs and models that simulate the financial performance of the Enterprises under varying economic assumptions The development of the RBCSim is used to implement a Stress Test that will set quarterly risk-based capital requirements for the Enterprises OFHEO is the first Federal financial regulator statutorily required to apply a Stress Test as part of its capital regulation
System Software:	Languages SQR, C++, and Perl Tools Sybase, Rational Rose, Rogue Wave Libraries, and Intex Libraries
System Input:	Quarterly Enterprise data, publicly available data on house prices, rentals, and vacancies, and the constant values as defined in the RBC Rule at 12 CFR 1750.
System Data:	The RBCSim is comprised of models, to be run quarterly, that: simulate the performance of Enterprise assets and obligations, simulate cash flows, implement assumptions about the Enterprises operations, and translate cash flows into pro forma financial statements The RBCSim includes the following 1) models to simulate interest rates relevant to the Enterprises' and house price trends, 2) models of default and prepayment and loss severity for single-family and multi-family mortgages, which produce simulated default rates, loss severities, and prepayment rates for mortgages with common sets of characteristics (e g , product type, origination year, region, original LTV), 3) simulated cash flows of the Enterprises' assets, liabilities, and off-balance sheet obligations (e g , mortgage-backed securities and interest rate swaps), and 4) software that translates cash flows of each Enterprise's financial instruments and activities into pro forma financial statements
System Output/Reports:	Quarterly pro forma financial statements, extensive analytic and diagnostic reports, and risk-based capital requirements, which are used to determine the capital adequacy of each Enterprise quarterly The database, named the Data Warehouse, and the RBCSim are the foundation for the development and operation of the risk-based capital stress test
System Documentation:	Drafts of the Installation Guide, the Software Users Manual, the Software Architecture Documentation (Unified Modeling Language (UML) Diagrams and Notifications), and the Software Application Programmers Interface (API) documentation
Software Dispo Authority:	SF115
Input Disposition Authority:	Input data is scheduled separately
Data Disposition Authority:	SF115
Output Dispo Authority:	SF115

Doct'n Dispo Authority:	SF115

/0 g Software Total Retention: Temporary - SF115 - Dispose of software after migration of current and historical data, or when superceded or obsolete.

/0 a Input Total Retention: Input data is scheduled separately.

/0 b Data Total Retention: N1-543-00-01/09a. Temporary - SF115 - Transfer the yearly results data from the 1st through 4th quarters yearly financial statement records to offline storage in 10 years, or when volume warrants Destroy in 3-year segments when most recent records are 20 years old.

/0 c Output Total Retention: N1-543-00-01/09b Permanent - SF115 - Transfer to NARA yearly the output records that were used to create the 4Q Risk-Based Capital Standard number, in accordance with 36 CFR 1220 188, or the applicable regulation in force at the time N1-543-00-01/09d. Temporary - SF115 - Transfer the remaining output records to offline storage when 10 years old, or when volume warrants, and destroy or delete when most recent records are 20 years old

/0 e Doct'n Total Retention: N1-543-00-01/09e Permanent - SF115 - Transfer the documentation for the yearly 4Q financial statement records when the yearly results of the 4Q financial statement records are transferred Transfer these records in accordance with 36 CFR 1220 188, or the regulation in force at the time N1-543-00-01/09f Temporary - SF115 - Destroy or delete the remaining documentation when superceded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest