

Request for Records Disposition Authority

Records Schedule Number DAA-0522-2017-0001
Schedule Status Approved

Agency or Establishment Office of Government Ethics
Record Group / Scheduling Group Records of the Office of Government Ethics
Records Schedule applies to Agency-wide
Schedule Subject Integrity Public Financial Disclosure e-Filing System
Internal agency concurrences will be provided No

Background Information The Integrity Executive Branch Personnel Public Financial Disclosure e-Filing System was created by OGE in compliance with the Stop Trading on Congressional Knowledge Act of 2012. Integrity is a web-based system used by public financial disclosure filers and agency ethics officials for collecting and reviewing public financial disclosure reports. The System enables OGE, as the ethics oversight agency for the executive branch, to implement its mandate to monitor compliance with agencies' public disclosure filing requirements. Integrity also supports OGE in its role of assisting the President and Senate during the confirmation process for Presidential nominees.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

0001

Outline of Records Schedule Items for DAA-0522-2017-0001

Sequence Number	
1	Executive Branch Personnel Public Financial Disclosure Reports
1.1	Unconfirmed Nominees/No Longer Under Consideration Nominees Reports Disposition Authority Number: DAA-0522-2017-0001-0001
1.2	All Other Reports Disposition Authority Number: DAA-0522-2017-0001-0002
1.3	Periodic Transaction Reports Disposition Authority Number: DAA-0522-2017-0001-0003
1.4	Financial Disclosure Supporting Documentation Disposition Authority Number: DAA-0522-2017-0001-0004

Records Schedule Items

Sequence Number	
1	Executive Branch Personnel Public Financial Disclosure Reports
1.1	Unconfirmed Nominees/No Longer Under Consideration Nominees Reports
	Disposition Authority Number DAA-0522-2017-0001-0001
	Reports for individuals filed in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.
	Final Disposition Temporary
	Item Status Active
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
	Do any of the records covered by this item exist as structured electronic data? Yes
	Disposition Instruction
	Retention Period Destroy 1 year(s) after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later.
	Additional Information
	GAO Approval Required and Received
1.2	All Other Reports
	Disposition Authority Number DAA-0522-2017-0001-0002
	Reports for individuals filed in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), other than the reports for filers not subsequently confirmed by the U.S. Senate.
	Final Disposition Temporary
	Item Status Active
	Is this item media neutral? Yes

1.3	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Retention Period	Destroy 6 year(s) after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later.
	Additional Information	
	GAO Approval	Not Required
	Periodic Transaction Reports	
	Disposition Authority Number	DAA-0522-2017-0001-0003
	OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.	
	Final Disposition	Temporary
Item Status	Active	
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes	
Do any of the records covered by this item exist as structured electronic data?	Yes	
Disposition Instruction		
Retention Period	Destroy 7 year(s) after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation.	
Additional Information		
GAO Approval	Not Required	
1.4	Financial Disclosure Supporting Documentation	
	Disposition Authority Number	DAA-0522-2017-0001-0004

Supporting documentation used to review and verify the filer's report submission. Includes records such as reviewer's notes, background research reports, ethics agreements, and memorialized verbal comments of filer in response to reviewer questions.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Retention Period Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
04/17/2017	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
08/09/2017	Submit for Concurrence	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/15/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist