

Request for Records Disposition Authority

Records Schedule Number **DAA-0522-2019-0001**
 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 **Major Subdivision**
 Major Subdivision **Program Counsel Division**
 Schedule Subject **Congressional and Legislative Affairs Records**
 Internal agency concurrences will be provided **No**

Background Information

OGE was originally established as a part of the Office of Personnel Management by the Ethics in Government Act of 1978. On October 1, 1989, OGE became a separate agency under Public Law No. 100-598. The statute creating OGE states that the agency is responsible for providing "overall direction of executive branch policies related to preventing conflicts of interest on the part of officers and employees of any executive agency. The Program Counsel Division is responsible for:

1. Coordinating and conducting outreach between OGE and its many stakeholders such as Congress, OMB, government watchdog groups, and the public.
2. Developing and providing training to agency ethics officials.
3. Carrying out initiatives that reach across executive branch agencies such as e-filing.
4. Providing agency-specific legal support to OGE.
5. Managing OGE's budget, performance, and legislative affairs programs.
6. Supporting agency ethics officials, through its Desk Officer program, in carrying out the executive branch ethics program.

Congressional and legislative affairs records are created and maintained in the Program Counsel Division. This schedule covers records relating to OGE's congressional and legislative activities.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0522-2019-0001

Sequence Number	
1	Legislative Histories Disposition Authority Number: DAA-0522-2019-0001-0001
2	Legislative Proposals Disposition Authority Number: DAA-0522-2019-0001-0002
3	Hearing Files Disposition Authority Number: DAA-0522-2019-0001-0003
4	Congressional Correspondence Disposition Authority Number: DAA-0522-2019-0001-0004
5	Briefing and Presentation Files Disposition Authority Number: DAA-0522-2019-0001-0005
6	Legislative Referral Memoranda Disposition Authority Number: DAA-0522-2019-0001-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="362 427 639 463">Legislative Histories</p> <p data-bbox="362 476 1127 512">Disposition Authority Number DAA-0522-2019-0001-0001</p> <p data-bbox="362 525 1487 1796">Records on House and Senate legislative bills that directly affect OGE either by augmenting or modifying OGE's mission, its structure, or its enabling statute, the Ethics in Government Act of 1978, as amended such as bills that affect the appropriations or budget of OGE; bills that would affect the criminal conflict of interest statutes found at 18 U.S.C. §§ 202, 203-209; bills that directly reference OGE or specific officers of OGE; bills that require OGE to take affirmative action or to consult with other agencies; or bills that require OGE personnel to be part of advisory committees, working groups, task forces, or other forms of inter and intra-governmental commissions; bills that affect procedural aspects of the presidential nominations process; bills that would significantly affect non-mission aspects of OGE in its status as an agency in the executive branch (e.g., bills that amend the Administrative Procedures Act, Freedom of Information Act (FOIA), or other administrative laws; bills that amend the budget process; or bills that require all agencies to file new reports with Congress); bills that are the subject of a congressional inquiry involving OGE; bills that fall within the ambit of a "hot file" or other topical tracking program (e.g., a "hot file" has been created for conference spending provisions and the bill involves conference spending); bills that have been posted on the Ethics News or Legislation pages on max.omb.gov; bills that the Director, Program Counsel, General Counsel, or head of any other division or branch request to be actively tracked; bills that create new advisory committees and commissions if there are questions as to federal employee/representative status or if it would create new conflict of interest provisions outside of OGE's authority; bills that create new organizational or personal conflict of interest provisions for specific agencies (over which OGE has no authority); bills that generally affect the executive branch ethics program; copies of proposed bills (House and Senate) which OGE requests to comment on because they involve ethics issues; records on bills (House and Senate) referred to OGE by OMB for comment; records on bills to be signed by the President which OMB forwards to OGE for immediate comment; and other bills of general interest to the agency. Files include drafts and copies of bills, correspondence between OGE, the Office of Management and Budget (OMB), Congress, and other Executive Office agencies that documents OGE's favor or objection, views, and recommendations regarding proposed bills, copies of each bill referred by OMB, OGE's opinion, and related records. Files are arranged in subject numeric order. The subject represents the subject of the bill and the number represents the bill number.</p> <p data-bbox="362 1808 909 1844">Final Disposition Temporary</p> <p data-bbox="362 1857 844 1893">Item Status Active</p>

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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?	No
GRS or Superseded Authority Citation	N1-522-96-001 / 8 N1-522-96-001 / 9 N1-522-96-001 / 10
Disposition Instruction	
Cutoff Instruction	Cut-off at end of each Congressional session.
Retention Period	Destroy 15 year(s) after cut-off
Additional Information	
GAO Approval	Not Required
Legislative Proposals	
Disposition Authority Number	DAA-0522-2019-0001-0002
<p>The Program Counsel Division sends legislative proposals to the Office of Management and Budget (OMB) for comment, and the House and Senate for a review of the legislative proposal and determination as to whether the legislative proposal should be introduced as a bill. Files include drafts of bills and correspondence between OGE, the Office of Management and Budget (OMB), Congress, and other Federal agencies. Files are arranged by year and subject. The subject represents the subject of the bill.</p>	
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?	No
GRS or Superseded Authority Citation	N1-522-96-001 / 11
Disposition Instruction	
Cutoff Instruction	Cut-off at end of each Congressional session
Retention Period	Destroy 15 year(s) after cut-off
Additional Information	
GAO Approval	Not Required

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Hearing Files

Disposition Authority Number **DAA-0522-2019-0001-0003**

Records on Congressional hearings relating to OGE reauthorizations, government reform, appropriations, and ethics related issues. Also included are records of confirmation hearings of the Director of OGE. Files include draft and official testimony of OGE officials, questions for the record posed by members of Congress, and hearing transcripts with comments. Files are arranged numerically by subject.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Records are managed in electronic format.**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-522-96-001 / 12**

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cut-off at end of fiscal year**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks when the most recent record is 15 years old.**

Additional Information

First year of records accumulation **1987**

What will be the date span of the initial transfer of records to the National Archives? **From 1987 To 2004**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	384 MB	12 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

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Congressional Correspondence

Disposition Authority Number **DAA-0522-2019-0001-0004**

Correspondence with Members of Congress pertaining to congressional inquiries or requests. Files include copies of incoming Congressional correspondence, and OGE's response. Files are arranged in chronological order.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut-off at end of each Congressional session.**

Retention Period **Destroy 15 year(s) after cut-off**

Additional Information

GAO Approval **Not Required**

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Briefing and Presentation Files

Disposition Authority Number **DAA-0522-2019-0001-0005**

Materials prepared for briefings and presentations for Congress or Congressional committees regarding OGE budget authorizations, reauthorizations, and OGE's mission. Files are arranged in chronological order.

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? **No**

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Disposition Instruction

Cutoff Instruction **Cut-off at end of each Congressional session**
Retention Period **Destroy 15 year(s) after cut-off**

Additional Information

GAO Approval **Not Required**

Legislative Referral Memoranda

Disposition Authority Number **DAA-0522-2019-0001-0006**

Legislative Referral Memoranda (LRM) is a procedure through which the Office of Management and Budget (OMB) coordinates agency recommendations regarding proposed, pending, and enrolled legislation to ensure that such legislation is consistent with the President's policies and programs. Files include agency legislative proposals, testimony, letters; congressional legislation on which OMB is soliciting views; proposed Executive Orders and Presidential Memoranda; and OGE's comments. Files are arranged by number and subject.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut-off at end of each Congressional session.**
Retention Period **Destroy 15 year(s) after cut-off**

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
01/31/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
05/01/2019	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
05/20/2019	Submit For Certification	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
05/20/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
08/14/2019	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
08/20/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/21/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/22/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist Office of the Archivist