

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0522-2019-0004**  
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                **General Counsel and Legal Policy Division**  
Schedule Subject                 **General Counsel and Legal Policy Division Records**  
Internal agency concurrences will be provided    **No**

Background Information        **This schedule covers records created and maintained in the General Counsel and Legal Policy Division. The General Counsel and Legal Policy Division (GCLPD) is responsible for (1) establishing and maintaining a legal framework for the executive branch ethics program, and (2) providing assistance to the President and Senate in the Presidential appointment process.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>7</b>	<b>1</b>	<b>6</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0522-2019-0004

Sequence Number	
1	<b>Special Project Files</b> Disposition Authority Number: DAA-0522-2019-0004-0001
2	<b>Advisories - Case Files</b> Disposition Authority Number: DAA-0522-2019-0004-0002
3	<b>Prosecution Survey Records</b>
3.1	<b>Annual Surveys of Prosecutions - Case Files</b> Disposition Authority Number: DAA-0522-2019-0004-0003
4	<b>Foreign Gifts and Decorations Act Files</b> Disposition Authority Number: DAA-0522-2019-0004-0004
5	<b>Agency Statutory Conflict of Interest Waivers and Other Ethics Determinations</b> Disposition Authority Number: DAA-0522-2019-0004-0005
6	<b>Certificate of Divestiture Files</b> Disposition Authority Number: DAA-0522-2019-0004-0006
7	<b>Conflict Law Violations</b> Disposition Authority Number: DAA-0522-2019-0004-0007

## Records Schedule Items

Sequence Number											
1	<p><b>Special Project Files</b></p> <p>Disposition Authority Number      <b>DAA-0522-2019-0004-0001</b></p> <p><b>Records relating to the development of OGE written analysis on significant issues relating to ethics matters requiring OGC's special attention. Files include background documentation used in the analysis; correspondence and memorandums; attorney's notes; and substantive drafts and final versions of OGE's written analysis. Files are arranged in chronological order</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>No</b></p> <p>Explanation of limitation            <b>Records are maintained electronically.</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-522-96-001 / 1</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut-off upon issuance of final written analysis</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to NARA in 5 year blocks when the most recent record is 15 years old.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>1984</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 1984 To 1988</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 5 Years</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>8.23 MB</td> <td>0.23 MB</td> </tr> <tr> <td>Paper</td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	8.23 MB	0.23 MB	Paper		
	Estimated Current Volume	Annual Accumulation									
Electronic/Digital	8.23 MB	0.23 MB									
Paper											

Microform		
Hardcopy or Analog Special Media		

2

**Advisories - Case Files**

Disposition Authority Number      **DAA-0522-2019-0004-0002**

Case files relating to advisories (e.g., Legal Advisory, Program Advisory, Education Advisory) used to document and publicize important information. Files include: copy of final advisory (signed), substantive draft advisories, communications plan, and substantive notes. Final advisories (signed) are maintained in the Office of the Director, General Subject Files in accordance with disposition schedule DAA-0522-2018-0003.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?        **No**

Explanation of limitation            **Records are maintained 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**

**Disposition Instruction**

Cutoff Instruction                      **Cut-off at the end of the calendar year.**

Retention Period                        **Destroy 6 year(s) after cut-off**

**Additional Information**

GAO Approval                            **Not Required**

3

**Prosecution Survey Records**

Records relating to the development of OGE's annual report on prosecutions by U.S. Attorney General Offices for ethics violations. OGE's Prosecution Survey is an annual survey of past prosecutions involving the conflict of interest criminal statutes (18 U.S.C. §§ 202-209) and other related statutes for the prior calendar year. OGE also reports on past prosecutions for making false statements on, or false certifications of, the SF 278/OGE Form 278 (public financial disclosure form) and the OGE Form 450 (confidential financial disclosure form) (18 U.S.C. § 1001(a) and 18 U.S.C. § 1018).

3.1

**Annual Surveys of Prosecutions - Case Files**

Disposition Authority Number DAA-0522-2019-0004-0003

Records include OGE's annual report on prosecutions by U.S. Attorney General Offices for ethics violations and negative responses. Files are arranged by year. Final annual survey reports are maintained in the Office of the Director, General Subject Files in accordance with disposition schedule DAA-0522-2018-0003.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Records are maintained 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 / 15A  
N1-522-96-001 / 15C

#### Disposition Instruction

Cutoff Instruction Cut-off at the end of the calendar year.

Retention Period Destroy 6 year(s) after cut-off

#### Additional Information

GAO Approval Not Required

#### Foreign Gifts and Decorations Act Files

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

In accordance with 5 USC 7342(f), OGE is required to collect and transmit to the State Department information on any foreign gifts or decorations received by government employees. Additionally, in accordance with 22 USC 2694 and implementing documentation from the State Department, OGE is to provide a list of any gifts of more than minimal value purchased on behalf of the US or using appropriated funds for foreign individuals. Files include reports filed with the Department of State and supporting records on foreign gifts given and received by OGE employees. 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

4

5

GRS or Superseded Authority Citation N1-522-96-001 / 16

**Disposition Instruction**

Cutoff Instruction Cut-off at end of each fiscal year

Retention Period Destroy 3 year(s) after cut-off

**Additional Information**

GAO Approval Not Required

**Agency Statutory Conflict of Interest Waivers and Other Ethics Determinations**

Disposition Authority Number DAA-0522-2019-0004-0005

Records documenting the issuance of waivers and other ethics determinations, such as gift reporting waivers and miscellaneous waivers relating to Ethics Pledges, submitted by agencies concerning potential or actual financial conflicts of interest, including records relating to agency issuance of individual waivers under 18 U.S.C. § 208 (b)(1) and (b)(3) and opinions covering the application of 18 U.S.C. §§ 202-209 as they apply to individuals, sent to OGE by Designated Agency Ethics Officials (DAEOs) pursuant to 5 C.F.R. § 2638.313. Files include Waiver consultation form, correspondence between OGE and DAEOs, and waivers. Files are arranged by subject of the waiver.

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 N1-522-01-001 / 1

**Disposition Instruction**

Cutoff Instruction Cut-off at end of fiscal year.

Retention Period Destroy 6 year(s) after cut-off

**Additional Information**

GAO Approval Not Required

6

**Certificate of Divestiture Files**

Disposition Authority Number DAA-0522-2019-0004-0006

Records documenting OGE's Certificate of Divestiture Program. Files include requests from agencies for certificates of divestiture and supporting

documentation, awarded certificates of divestiture, denials of request, and withdrawn requests. Files are arranged by 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

GRS or Superseded Authority Citation N1-522-96-001 / 13A

**Disposition Instruction**

Retention Period Destroy when 6 years old with the associated public financial disclosure report or when no longer needed for active investigation, whichever is later.

**Additional Information**

GAO Approval Not Required

**Conflict Law Violations**

Disposition Authority Number DAA-0522-2019-0004-0007

Records documenting conflict law violations under 18 U.S.C. §§ 202-219. Files include correspondence from agencies and OGE's response. Files are arranged by subject and year.

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 calendar year

Retention Period Destroy 10 year(s) after cut-off

**Additional Information**

GAO Approval Not Required

7

## 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
03/05/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
03/05/2019	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
03/08/2019	Submit For Certification	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
03/08/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
04/03/2019	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/13/2019	Submit For Certification	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
06/13/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
06/24/2019	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/25/2019	Submit For Certification	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics

06/25/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
09/24/2019	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
09/25/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/25/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/26/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist