Schedule Number: N1-522-96-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of:**09/19/2022**

ACTIVE ITEMS
These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items except the ones listed below are active

SUPERSEDED AND OBSOLETE ITEMS
The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by DAA-0522-2019-0004-0001
Item 4 was superseded by DAA-0522-2019-0007-0010
Items 8, 9, and 10 were superseded by DAA-0522-2019-0001-0001
Item 11 was superseded by DAA-0522-2019-0001-0002
Item 12 was superseded by DAA-0522-2019-0001-0003
Item 13a was superseded by DAA-0522-2019-0004-0006
Item 14 was superseded by DAA-0522-2018-0003-0001
Items 15a and 15c were superseded by DAA-0522-2019-0004-0003
Item 16 was superseded by DAA-0522-2019-0004-0004
Item 17 was superseded by DAA-0522-2019-0007-0003
Item 20 was superseded by GRS 4.2 item 070 (DAA-GRS-2013-0007-0006)

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

LEAVE BLANK (NARA use only)

JOB NUMBER N1-522-96-1

DATE RECEIVED 03/14/96

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE 3-27-96 ARCHIVIST OF THE UNITED STATES John W. Carlin

1. FROM (Agency or establishment)
U.S. Office of Government Records

2. MAJOR SUBDIVISION
Office of General Counsel and Legal Policy

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER: Laura P. Cahall

5. TELEPHONE: (202) 523-5757

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,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
3/14/96	Laura P Cahall	Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached sheets		

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

APR - 2 1996 MW Copy to: Agency, NCF
NN- NIA

Office of Government Ethics

The Office of Government Ethics (OGE), previously apart of the Office of Personnel Management, was established as a separate executive agency on October 1, 1989 under the Ethics in Government Act of 1978, as amended (5 U.S.C. app. 401). OGE provides overall direction of executive branch policies in preventing conflicts of interest on the part of officers and employees of all executive agencies. The office is the principle agency for administering the Ethics in Government Act for the executive branch.

Office of General Counsel and Legal Policy

The Office of General Counsel and Legal Policy (OGC), is responsible for establishing and maintaining a uniform legal and regulatory framework of Government ethics for executive branch employees, for interpreting laws and regulations, for assisting agencies in legal and policy implementation, and for reviewing legislation and recommending changes in conflict of interest in ethics statutes.

The following is a proposed comprehensive schedule covering records created and maintained by OGC.

Item 1. **Special Project Files (SP):** Records relating to the development of OGE written analysis on significant issues requiring special attention. Files include background documentation used in analysis; transcripts from interviews; correspondence and memorandums; attorney notes; substantive drafts and final versions of OGE's written analysis; and related records.

Current accumulation: 15 cubic feet Media neutral notification processed on 9/8/16. Jeremy P. Schmidt
Annual accumulation: 2-5 cubic feet

Permanent. Cutoff upon issuance of final written analysis. ~~Retire to WNRC 7 years after cutoff.~~ Transfer to NARA 20 years after cutoff.

Item 2. **Litigation Files (LT):** Files include litigation reports, copies of official court documents, correspondence with the Department of Justice (DOJ), and similar records related to legal actions involving OGE.

A. Litigation reports and OGE correspondence reflecting substantive changes in policy resulting from litigation.

Permanent. Cutoff file upon resolution of litigation. Retire to WNRC 10 years after cutoff or upon accumulation of 1 cubic foot

of records, whichever is later. Transfer to NARA 20 years after cutoff.

B. All other records

Temporary. Cutoff file upon resolution of litigation. Retire to WNRC 10 years after cutoff. Destroy 20 years after cutoff.

Current accumulation: 10 cubic feet
Annual accumulation: 2 cubic feet

Item 3. **Regulation Files (RG):** Records relating to the development and revision of OGE regulations. Files include copies of final regulations, draft regulations, public comments, correspondence, and related background materials.

Temporary. Cutoff upon publication of final regulation in the Federal Register. Retire to WNRC 10 years after cutoff. Destroy 20 years after cutoff.

Item 4. **Agency Supplemental Standards Conduct (RG 6-1, GR 8-1):** Records relating to OGE's review of supplemental ethics rules submitted by agencies for concurrence. Files include annotated drafts and final versions of rules, explanatory materials submitted by agencies, correspondence, attorney's notes, and related materials.

Temporary. Place in inactive file upon publication of final rule in the Federal Register. Retire to WNRC 5 years after cutoff. Destroy 20 years after cutoff.

Item 5. **Regulatory Review Process Files (AL 4):** Records relating to the review of regulations for compliance with administrative requirements. Files include memorandums, correspondence, reports, notes, reference materials, and related records.

Temporary. Review files annually and destroy materials when superseded, obsolete, or no longer needed for administrative purposes.

Item 6. **Formal Advisory Opinion Files (AO):** Records relating to the development of OGE formal advisory opinions. Files include copies of final advisory opinions, draft advisory opinions, public comments, correspondence and related background materials.

Temporary. Cutoff upon final publication of advisory opinion in the Federal Register. Retire to WNRC 10 years after cutoff. Destroy 20 years after cutoff.

Item 7. **Informal Advisory Letters and Memorandums and Formalo Opinions Selected for Publication:** Files contain a copy of each informal advisory opinion, informal memorandum, and formal opinion sent for publication in The Informal Advisory Letters and Memorandums and Formal Opinions of the United States Office of Government Ethics.

Temporary. Cutoff upon publication. Destroy 7 years after cutoff.

Item 8. **Legislative Bill Report Files (LG 2):** Copies of proposed bills (House and Senate) which OGE requests to comment on because they involve ethics issues. Also in included in the files are correspondence between OGE, the Office of Management and Budget (OMB), Congress, and other Federal agencies.

Temporary. Cutoff inactive files at the end of each Congressional session and place in separate file. Retire all records for a Congressional session in a block to WNRC 8 years after cutoff. Destroy 15 years after cutoff.

Item 9. **Views Letters (LG 3):** Records on bills (House and Senate) referred to OGE by OMB for comment. Files include copy of each bill referred by OMB, OGE's opinion, and related records.

Temporary.o Cutoff inactive files at the end of each Congressional session and place in separate file. Retire all inactive records for a Congressional session in a block to WNRC 8 years after cutoff. Destroy 15 years after cutoff.

Item 10. **Enrolled Bills (LG 4):** Records on bills to be signed by the President which OMB forwards to OGE for immediate comment. Files include copy of the bill, OGE comments, and related records.

Temporary. Cutoff inactive files at the end of each Congressional session and place in separate file. Retire all inactive records for a Congressional session in a block to WNRC 8 years after cutoff. Destroy 15 years after cutoff.

Item 11. **Legislative Proposals (LG 5):** Records on bills proposed by OGE. Files include drafts of bills, correspondence and related records.

Temporary. Cutoff inactive files at the end of each Congressional session and place in separate file. Retire all inactive records for a Congressional session

in a block to WNRC 8 years after cutoff. Destroy 15 years after cutoff.

Item 12. **Hearings Files (LG 6):** Records on Congressional hearings. The majority of these records document hearings relating to ethics issues. Also included are records of confirmation hearings of the Director of OGE. Files include draft and official testimony by OGE officials, transcripts with comments, and related records.

Temporary. Cutoff inactive files at the end of each Congressional sessions and place in separate file. Retire all inactive records for a Congressional session in a block to WNRC 8 years after cutoff. Destroy 15 years after cutoff.

Item 13. **Certificates of Divestiture Files (CD):** Records documenting OGC's Certificate of Divestiture Program as prescribed by 5 CFR 2634 § 1001. Files include requests from agencies for certificates of divestiture and supporting documentation, awarded certificates of divestiture, denials of request, and related correspondence.

A. Certificates of divestiture filed separately from related records.

Temporary. Destroy when 6 years old with associated SF 278 Financial Disclosure Report file.

B. All other records filed separately from certificates covered above.

Temporary. Destroy at the end of appointees term.

Item 14. **DAEOgrams (DG):** Memorandums used to document and publicize important information about OGE. Daeograms include statements of OGE policy and announcements concerning OGE training programs.

Media neutral notification processed on 9/8/16. Jeremy P. Schmidt

Annual Accumulation: .5 cubic feet
Current Accumulation: 3 cubic feet

Permanent: Transfer to the National Archives in 4 years blocks when most recent record in block is 2 years old.

Item 15. **Prosecution Survey Records:** Records relating to the development of annual OGE reports on prosecutions by US Attorney General Offices for ethics violations.

A. Annual reports.

Permanent. Transfer to the National Archives in 4 years blocks when most recent record in block is 2 years old. Media neutral notification processed on 9/8/16. Jeremy P. Schmidt

Current and Annual Accumulation: Negligible

B. Correspondence and explanatory materials, including court records, submitted by US Attorney Generals Offices on ethics related prosecutions.

Temporary. Cutoff upon distribution of annual report and place in inactive file. Retire inactive file to WNRC 7 years after cutoff. Destroy 15 years after cutoff.

C. Negative responses from US Attorney Generals Offices.

Temporary. Destroy when no longer needed for current business.

Current Accumulation: 3 cubic feet
Annual Accumulation: 5 cubic feet

Item 16. **Foreign Gifts and Decorations Act Files (AL 5):** Reports filed with the Department of State and supporting records on foreign gifts given and received by OGE employees.

Temporary. Cutoff file at the end of each fiscal year. Destroy 3 years after cutoff.

Item 17. **Files on OGC Assistance to Other Governments and Private Groups (OA):** Records relating to conferences held by foreign governments and private groups, visits by foreign officials, and requests for information by other governments. Files include drafts and final versions of OGE papers given at foreign conferences and related background materials.

Temporary. Destroy when 7 years old or when no longer needed for current business purposes, whichever is sooner.

Item 18. **"Newsgram" Publication Working Files (PB 3):** Drafts of articles and related records maintained by OGC's contributing "Newsgram" editor. Records document the soliciting, editing, and internal clearance of articles written by OGC employees for "Newsgram."

Temporary. Destroy related files 6 months after

publication of each "Newsgram."

Item 19. **DOJ Training Software Working Files, "Computer Game Working File" (PB 7):** Records used in the development of DOJ software for training government employees in ethics. Files include copies of DOJ scripts with OGC comments and related correspondence.

Temporary. Destroy 3 years after close of project.

Item 20. **Congressional, Departmental, and Agency Level FOIA Reports (AL 1, 1-2):** Files consist of annual FOIA reports indicating number of requests, number of appeals, and officials assigned to respond to particular requests.

Temporary. Destroy when 5 years old.

Item 21. **Administrative Liaison Files (AL 3):** Records relating to OGE business with OMB, GSA, GPO, and the Office of the Federal Register concerning administrative issues. Files include reports submitted to OGE by the above agencies for review and comment. Also included are correspondence, completed forms, and related administrative liaison records.

Temporary. Review files annually. Dispose of records when 3 years old or when no longer needed for administrative purposes, whichever is sooner.

Item 22. **Attorney Working Files:** Routine records maintained by attorneys in support of their work on special projects, formal and informal advisory opinions, regulations, legislation, publications, and related areas. Files include working drafts, attorney's notes, reference materials, routine administrative records, and related documentation whose value doesn't warrant inclusion in OGE official files.

Temporary. Destroy when no longer needed for current business purposes or when 5 years old, whichever is sooner.