

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-522-98-2</i>	DATE RECEIVED <i>12-19-97</i>
1. FROM (Agency or establishment) <b>U.S. Office of Government Ethics</b>		<b>NOTIFICATION TO AGENCY</b>	
2. MAJOR SUBDIVISION <b>Office of General Counsel and Legal Policy</b>		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>M. Lewandowski</b>	5. TELEPHONE <b>(202) 208-8000</b>	DATE <i>11-16-98</i>	ARCHIVIST OF THE UNITED STATES <i>Chas. W. Paul</i>
<b>6. AGENCY CERTIFICATION</b> 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,			
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>12/12/97</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Michael J. Lewandowski</i>	TITLE <b>Records Officer</b>	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached		

NOV 30 1993 *MDR*    *copy to: agency, NWET, NWD, NWMWR*

## U.S. Office of Government Ethics

The U.S. Office of Government Ethics (OGE), previously a part of the Office of Personnel Management, was established as a separate agency on October 1, 1989 (5 U.S.C. app. § 401). OGE provides overall direction for executive branch policies in preventing conflicts of interest on the part of officers and employees of all executive agencies. OGE is the principal agency 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 framework of Government ethics for executive branch employees, for developing executive branch ethics program policies, for interpreting laws and regulations, for assisting agencies in legal and policy implementation, and for reviewing legislation and recommending changes in conflicts of interest and ethics statutes. OGC also oversees the creation and operation of blind trusts and issues certificates of divestiture for those who must sell assets to avoid conflicts of interest.

The following proposed disposition instructions cover Trust Files not included in N1-522-96-1, OGC's comprehensive schedule.

Item 1. Trust Files. Each qualified blind or diversified trust that is certified by OGE under the Ethics in Government Act has a chronological file and a master file associated with it. The chronological file consists of all documents and correspondence received by OGE with respect to a trust. The master file contains copies of all reports and certificates required by the trust agreement as well as trust instruments. These include OGE trust certification letters, certificates of independence, ~~and~~ confidentiality agreements, certificates of compliance, quarterly reports, annual reports, termination reports, lists of assets at the time of termination, ~~and~~ reports on the transfer of assets to trusts, ~~and~~ Uncertified trust files contain negotiation documents. *AND (IN THE CASE OF A QUALIFIED BLIND TRUST) REPORTS OF DIVESTITURE FROM THE INITIAL PORTFOLIO.*

A, Certified qualified trust files for individuals for whom there are associated SF-278, OGE-450, old SF-450, or equivalent files.

Temporary. Cut off upon termination of trust or receipt of final document, whichever is later. Destroy six years after cut off.

In the event a trust continues in existence past the date a filer's employment and the individual reenters Government service, the entire original trust file will be maintained until the retention period for any new

associated trust documents has ended.

- B. Certified qualified trust files with no associated SF-278, OGE-450, old SF-450, or equivalent files.

Temporary. Cut off upon termination of trust or receipt of final document, whichever is later. Destroy six years after cut off.

- C. Uncertified trust files for individuals with associated SF-278 files.

Cut off after termination of trust or date of receipt of final document, whichever is later, and transfer to related SF-278 file. Destroy in accordance with disposition instructions for associated SF-278 file.

- D. Uncertified trust files for individuals with associated OGE-450 or old SF-450 files.

Cut off after termination of trust or date of receipt of last document, whichever is later, and transfer to related OGE-450 or old SF-450 file. Destroy in accordance with disposition instructions for associated OGE-450, old SF-450, or equivalent file.

- E. Uncertified trust files for individuals not required to file an SF-278, OGE-450, old SF-450, or equivalent file.

Temporary. Cut off upon termination of trust or receipt of final document, whichever is later. Destroy three years after cut off.

- F. <sup>CERTIFIED AND</sup> Uncertified trust files for individuals who are not subsequently appointed or elected as Government employees.

When appropriate, transfer to associated SF-278, OGE-450, old SF-450 or other appropriate file. Destroy in accordance with disposition instructions for associated SF-278, OGE-450, old SF-450, or other appropriate file.

- G. ELECTRONIC VERSIONS OF TRUST FILE RECORDS (COVERED IN PARTS A - F ABOVE) CREATED BY E-MAIL AND WORD PROCESSING APPLICATIONS.

TEMPORARY. DELETE AFTER RECORD KEEPING COPY IS PRODUCED.