

<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 <b>NI-5228-99-3</b>	DATE RECEIVED <b>6-1-99</b>
1. FROM (Agency or establishment) U.S. Office of Government Ethics		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of Information Resource Management			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Michael J. Lewandowski	5. TELEPHONE 202-208-8000 X1185	DATE <b>12-8-99</b>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 <u>10</u> 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 5/25/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Michael J. Lewandowski</i>	TITLE 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 GRS OR SUPERSEDED JOB CITATION	10.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		

*Co: to NWMD, NWME, NWMW, Agency*

## Office of Information Resources Management (OIRM)

OIRM is the promoter and provider of information technology within OGE. The Office provides internal support in the areas of office automation, telecommunications, information technology, graphics, and records management. The following schedule covers electronic records systems supported by OIRM and related records.

**Item 1 . Calendar of Events System:** Electronic calendar containing information about significant meetings involving OGE staff, training sessions, and other related events.

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as the Correspondence of Director (N1-522-96-3, Item 1).

**Temporary.** Delete or destroy after the information has been entered into the system.

B. Data. The system contains the following types of information for the events listed: Date, time, location and a brief description of individual events, and a list of OGE participants.

**Temporary.** Delete information when superseded, obsolete, or no longer of use to the agency.

~~C. Outputs. Monthly printouts of the master file.~~

~~**Temporary.** Cutoff at the end of the fiscal year. Destroy 2 years after cut off (approved under N1-522-97-1, Item 3).~~

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency.

**Item 2. OGE Document Management System:** Electronic system used to track and control the status of important correspondence sent

to OGE. It is updated by a system operator(s) in the Office of General Counsel and Legal Policy (OGC).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records.

**Temporary.** Delete or destroy after information has been entered into the system. 4

B. Data. Reserved.

C. Outputs. Routine tracking and control reports printed out from the system, which include the following: Daily logs of correspondence entered; lists of pending and past due items; and summary reports resulting from document searches by subject, author, addressee, control number, or date received.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 5

D. System Documentation. Reserved.

**Item 3. Public Financial Disclosure Report (SF 278) Tracking System:** Electronic system used to track and control the status of public financial disclosure reports and ethics agreements submitted to, reviewed, and maintained by OGE as required under the Ethics in Government Act of 1978 (PL 95-521). It is primarily updated by a Financial Disclosure Division (FDD) system operator(s).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as Public Financial Disclosure Reports (GRS 1, Item 24 ).

**Temporary.** Delete or destroy after information has been entered into the system. 6

B. Data. The system contains the following information for all SF 278 files tracked by OGE: Filer name; agency of filer; official contact and phone number; filer job

position; name of OGE reviewer and their recommendations; dates of action pertaining to OGE's review and related matters.

**Temporary.** Delete all data on a particular report of a filer upon the destruction of his/her underlying official Public Financial Disclosure Report (disposition instructions for Public Financial Disclosure Reports are found in GRS 1, Item 24).

C. Outputs. Routine tracking and control reports printed out from the system. This item does not cover Monthly Ethics Agreement Status Reports, instructions for which are contained in a pending SF 115, Request for Disposition Authority covering records of the Financial Disclosure Division.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner.

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency.

**Item 4. Certificate of Divestiture Tracking System:** Electronic system used to track and control the status of certificate of divestiture requests received and processed by OGE as prescribed by 5 C.F.R. §§ 2634.1001 - 2634.1004. It is primarily updated by an OGC system operator(s).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as those contained in official Certificate of Divestiture Files (N1-522-96-1, Item 13).

**Temporary.** Delete or destroy after information has been entered into the system.

B. Data. The system contains the following information for all certificates of divestiture tracked by OGE: Filer name; certificate number; agency code; date of receipt by OGE; date of certification; and related information.

**Temporary.** Delete all data on a particular filer upon the destruction of the underlying official Certificate of Divestiture File (N1-522-96-1, Item 13) . 11

C. Outputs. Routine tracking and control reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 12

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 13

**Item 5. Blind and Diversified Trust Tracking System:** Electronic system used to track and control the status of requests for Ethics in Government Act qualified blind and diversified trusts received and processed by OGE. It is primarily updated by an OGC system operator(s).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as those contained in official Trust Files (N1-522-98-2, Item 1).

**Temporary.** Delete or destroy after information has been entered into the system. 14

B. Data. The system contains the following information for all certificates of divestiture tracked by OGE: Filer name; certificate number; agency code; date of receipt by OGE; date of certification; and related information.

**Temporary.** Delete all data on a particular filer upon the destruction of the underlying official Trust File (N1-522-98-2, Item 1). 15

C. Outputs. Routine tracking and control reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 16

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 17

**Item 6. Waiver Tracking System:** Reserved.

**Item 7. Congressional Activity Tracking System:** Electronic system used to track the status of legislation of significance to OGE. It is updated by an OGC system operator(s).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as Legislative Proposals (N1-522-96-1, Item 11) or Hearing Files (N1-522-96-1, Item 12) .

**Temporary.** Delete or destroy after information has been entered into the system. 18

B. Data. The system contains the following information on each bill tracked by OGE: Bill number; title; subject; committee/subcommittee; date of request for comments on legislation by OGE; date of OGE's response and name of respondent; hearing date; and related information.

**Temporary.** Delete data when 3 years old or when superseded, obsolete, or no longer of use to the agency, whichever is sooner. 19

C. Outputs. Routine status reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 2 0

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 2 1

**Item 8. Designated Agency Ethics Official (DAEO) List:**

Electronic system used to provide OGE staff with current information on agency DAEOs. This list is primarily updated by an OGC system operator(s).

A. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records.

**Temporary.** Delete or destroy after information has been entered into the system. 2 2

B. Data. The system contains the following information for each DAEO listed: Agency name, DAEO name and phone number, official title of DAEO, address, name of alternate DAEO, FAX number, and the name of the OGE desk officer for the DAEO.

**Temporary.** Delete data when superseded, obsolete, or no longer of use to the agency. 2 3

C. Outputs. Routine reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 2 4

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s),

including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 2 7

**Item 9. Program Audit System (Audit Tracking System):**

Electronic system used to track and control the status of OGE audits of agency ethics programs. The system is updated by a Program Review Division (PRD) system operator(s).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover

previously scheduled records, such as the Audit Reports or Work Papers (N1-522-97-2, Items 1A and 1B).

**Temporary.** Delete or destroy after information has been entered into the system. 2 6

B. Data. The system contains the following information for each audit tracked by OGE: Agency name, audit team leader, other team members, dates of audit events, OGE recommendations, and information on agency response to recommendations.

**Temporary.** Delete when information is superseded, obsolete, or no longer of use to the agency. 2 7

C. Outputs. Routine tracking and control reports printed out from the system.

**Temporary.** Destroy when 7 years old or when no longer needed for business purposes, whichever is sooner. 2 8

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 2 9



**Item 10. Annual Agency Ethics Program Questionnaire System:**

Electronic system used to collect and tabulate responses to OGE's annual agency ethics program questionnaire. Agencies are responsible for responding to the questionnaire by § 402(b)(10) and (e)(1) of the Ethics in Government Act. This system is updated by a system operator(s) in the Education and Program Services Division (EPSD).

A. Inputs.

1. Annual Agency Ethics Program Questionnaires.

**Temporary.** Cut off files at the end of each calendar year. Destroy when 3 years old (N1-522-98-1). 30

2. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records.

**Temporary.** Delete or destroy after information has been entered into the system. 31

B. Data. Information maintained on the system covers a wide variety of areas addressing the size, scope, and activity of agency ethics programs.

**Temporary.** Delete when information is superseded, obsolete, or no longer of use to the agency. 32

C. Outputs. Individual agency and cumulative statistical reports.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes. 33

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications. 34

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency.

**Item 11. Annual Ethics Conference Registration System:**

Electronic system that provides EPSD staff with information about individuals registered for the Annual Ethics Conference. It is updated by a system operator(s) in the Education and Program Services Division (EPSD).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as Ethics Conference Files (N1-522-96-2, Item 1).

**Temporary.** Delete or destroy after information has been entered into the system. 35

B. Data. The system contains the following information for each attendee listed: attendee name, title, address, phone number, office fax number, e-mail address, payment information, and related data.

**Temporary.** Delete when information is superseded, obsolete, or no longer of use to the agency. 2

C. Outputs. Routine reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 27

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 32

**Item 12. Regional Ethics Workshop Registration System:**

Electronic system used to track registration at regionally held educational workshops. It is updated by a system operator(s) in the Education and Program Services Division (EPSD).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover

previously scheduled records, such as the Regional and DC Training Course Files (N1-522-96-2, Item 2).

**Temporary.** Delete or destroy after information has been entered into the system. 39

B. Data. The system contains the following information for each attendee listed: Attendee name, agency acronym, phone number, years in the area of ethics, and related data.

**Temporary.** Delete when information is superseded, obsolete, or no longer of use to the agency. 10

C. Outputs. Routine reports printed out from the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 41

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 42

**Item 13. Mailing Label System:** Electronic system used by OGE administrative staff to generate mailing labels. This system is updated by system operators throughout the agency.

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records.

**Temporary.** Delete or destroy after information has been entered into the system. 43

B. Data. The system contains names, address, and related information on Designated Agency Ethics Officials, General Counsels, Inspectors General, OGE Newsgram recipients, printing officers, and other Government personnel interested in OGE's ethics programs.

**Temporary.** Delete data when superseded, obsolete, or no longer of use to the agency. 98

C. Outputs. Routine printouts of information contained on the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 45

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer of use to the agency. 46

**Item 14. Emergency Notification System:** Electronic system listing the name(s) and phone number(s) of emergency contacts for OGE employees. This system is updated by a system operator(s) in the Office of Administration (OA).

A. Inputs. Routine notes and messages used to update the system, including records created by e-mail and word processing applications. This item does not cover previously scheduled records, such as personnel records covered throughout GRS 1.

**Temporary.** Delete or destroy after information has been entered into the system. 47

B. Data. See Item 14 description above.

**Temporary.** Delete data upon separation of employee. 48

C. Outputs. Routine printouts of information contained on the system.

**Temporary.** Destroy when 3 years old or when no longer needed for business purposes, whichever is sooner. 49

D. System Documentation. Code-books, file layouts, procedural manuals, and related records needed to read and understand information contained on agency system(s), including records created by e-mail and word processing applications.

**Temporary.** Destroy when superseded, obsolete, or no longer  
of use to the agency.

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