

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

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

2. MAJOR SUBDIVISION
 Office of Agency Programs

3. MINOR SUBDIVISION
 Financial Disclosure Division (FDD)

4. NAME OF PERSON WITH WHOM TO CONFER
 Michael J. Lewandowski

5. TELEPHONE
 202-208-8000 x1185

LEAVE BLANK (NARA use only)

JOB NUMBER
 NI-522-99-2

DATE RECEIVED
 3-25-99

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
 12-21-99

ARCHIVIST OF THE UNITED STATES
J. W. Cal

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,
 is not required; is attached; or has been requested.

DATE
 3/21/99

SIGNATURE OF AGENCY REPRESENTATIVE
Michael J. Lewandowski

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 GRS OR SUPERSEDED JOB CITATION	10.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		

Copies to NWMW, NWMF, Agency

FINANCIAL DISCLOSURE DIVISION (FDD)

FDD personnel track, collect, and review public annual and termination reports (SF 278) of all Presidential appointees and DAEOs and work closely with agency ethics officials to ensure that all reports are complete and that the filers are free of any conflicts of interest or the appearance of conflicts. The division also ensures compliance with ethics agreements made by Presidential nominees during the confirmation process. In addition, the FDD staff handles all administrative matters related to public financial disclosure reporting, such as filing exemptions and extension requests, as well as requests for waiver of \$200 late filing fees.

Item 1. FDD Read File (ETH 7-3): Copies of outgoing FDD correspondence.

A. Recordkeeping Copy (paper): **Temporary.** Cut off every 6 months. Destroy 6 years after cut off.

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: 2 cubic feet

B. Electronic versions of records created by e-mail and word processing applications: **Temporary.** Delete after recordkeeping copy is produced.

Item 2. Schedule C Exemption File (ETH 5-3): Records documenting OGE's review of requests exempting individual employees from filing public financial disclosure reports as permitted under 5 U.S.C. App., § 101(f)(5) of the Ethics in Government Act (Ethics Act) and 5 C.F.R. § 2634.203 of OGE's regulations thereunder. Records in this series may include exemption requests and supporting documentation (including position descriptions) sent to OGE by agencies on behalf of individual employee positions; OGE's final decision letter; and supporting records.

A. Recordkeeping Copy (paper): **Temporary**. Cut off annually at the end of the calendar year. Destroy λ years after cut off.

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: 1 cubic foot

15 per phone conversation
with Mike Jernsdorfer
(OGE R.O.).
M. Doron
8/2/97

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 3. Requests for Filing Extensions (ETH 5-4): Records documenting OGE's review of requests to extend the time limit in which individuals may file public financial disclosure reports as authorized by both 5 U.S.C. App., § 101(g) of the Ethics Act and 5 C.F.R. § 2634.201(f) of OGE's regulations thereunder (**Note:** Individuals unable to file in a timely manner must first request an initial 45-day extension from their agency. If they require additional time thereafter, they must request a second 45-day extension from OGE.) Records in this series may include: extension requests and supporting documentation sent by individual filers to agency ethics officials; extension requests and supporting documentation sent to OGE by agencies on behalf of individual employees; OGE's final decision letter; and supporting records.

A. Recordkeeping copy (paper). **Temporary**. Cut off annually at the end of the calendar year. Destroy 6 years after cut off.

Arrangement: Chronological

Annual Accumulation: Negligible

Current Accumulation: 1 cubic foot

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 4. Late Filing Fee Waivers (ETH 5-4.1): Records documenting OGE's review of requests to waive \$200 late filing fees as authorized under 5 U.S.C. App., § 104(d)(2) of the Ethics Act and 5 C.F.R. § 2634.704 of OGE's regulations thereunder. Records in this series may include: requests by individuals to their agency ethics official to waive late filing fees; requests sent to OGE by

agencies on behalf of individuals seeking late filing fee waivers; OGE's final decision letter; and related records.

A. Recordkeeping copy (paper). **Temporary**. Cut off annually at the end of the calendar year. Destroy 6 years after cut off.

Arrangement: Chronologically by date of receipt

Annual Accumulation: Negligible

Current Accumulation: 3 cubic feet

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 5. Delinquent Filer Correspondence: (ETH 5-5): Correspondence between OGE, employing agencies, and delinquent public financial disclosure report filers.

A. Recordkeeping copy (paper). **Temporary**. Cut off at the end of calendar year. Destroy 7 years after cut off.

Arrangement: Chronological by date of receipt

Annual Accumulation: Negligible

Current Accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 6. Delinquent Agency Submissions Correspondence (ETH 5-5.1): Letters asking agency ethics officials to submit to OGE the annual and termination financial disclosure reports for Presidential Appointees Confirmed by the Senate (PAS).

A. Recordkeeping copy (paper). **Temporary**. Cut off at the end of calendar year. Destroy 7 years after cut off.

Arrangement: Chronological by date of receipt

Annual Accumulation: Negligible

Current Accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 7. Notifications of Conflict of Interest (Conflict of Interest Referrals): Records submitted by Federal departments and agencies notifying OGE of violations of 18 U.S.C. §§ 203, 205, 207, 208, and/or 209 referred to the Department of Justice pursuant to 28 U.S.C. § 535. Records in this series include: completed Notification of Conflict of Interest Referral forms (OGE Form 202); referral letters; copies of disciplinary and corrective actions; disposition documents including declinations of prosecution from the Department of Justice; and related records.

A. Recordkeeping copy (paper). **Temporary**. Cut off annually at the end of the calendar year. Retire to WNRC 5 years after cut off. Destroy 10 years after cut off.

Arrangement: Alphabetically by name of agency or department and thereunder chronologically

Annual accumulation: Negligible

Current accumulation: 3 cubic feet

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 8. Ethics Agreement Correspondence (ETH 5-7): Outgoing FDD correspondence to agency ethics officials on the compliance of Presidential Appointees Confirmed by the Senate (PAS) with ethics agreements.

A. Recordkeeping copy (paper). **Temporary**. Cut off every 6 months. Destroy 6 years after cut off.

Arrangement: Chronological

Annual Accumulation: Negligible

Current Accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 9. Monthly Ethics Agreements Status Reports (ETH 5-7.1): Monthly OGE reports (generated by OGE's Public Financial Disclosure Report Tracking System) and supporting records on the status of Presidential appointees with ethics agreements.

A. Recordkeeping copy (paper). **Temporary.** Cut off annually. Destroy 6 years after cut off.

Arrangement: Chronological

Annual accumulation: Negligible

Current accumulation: 2 cubic feet

B. Electronic versions of records created by e-mail and word processing applications: **Temporary.** Delete after recordkeeping copy is produced.

Item 10. FDD Copies of Nomination Sheets: Copies of White House press releases forwarded to FDD by the Office of General Counsel and Legal Policy announcing nominations and withdrawals of Presidential appointees.

A. Recordkeeping copy (paper). **Temporary.** Destroy when 3 years old or no longer needed for reference purposes, *WHICHEVER IS LATER.*

Arrangement: Chronological

Annual Accumulation: Negligible

Total Accumulation: ½ cubic foot

B. Electronic versions of records created by e-mail and word processing applications: **Temporary.** Delete after recordkeeping copy is produced.

Item 11. New Appointee Entrant Log: Log of Presidential nominees whose financial disclosure reports have been reviewed and forwarded to Congress for approval.

A. Recordkeeping copy (paper). **Temporary.** Destroy when 3 years old.

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: Negligible

*By above
conversion
with Mike
Lundberg
8/2/99
M. Donnan*

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 12. Congressional Record Review Log: Log recording the Congressional confirmation date of Presidential nominees whose financial disclosure reports have been reviewed by OGE.

A. Recordkeeping copy (paper). **Temporary**. Destroy when 3 years old or when no longer needed for reference purposes, *WHICHEVER IS LATER.*

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 13. Cabinet Member Log: Routine and facilitative weekly reports on the collection and review of public financial disclosure reports for Cabinet level PAS officials.

A. Recordkeeping copy (paper). **Temporary**. Destroy when 3 years old or when no longer needed for reference purposes, *WHICHEVER IS LATER.*

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 14. Requests to Inspect or Receive Copies of SF 278 (OGE Form 201): This item covers public requests to inspect, under 5 U.S.C. App., § 105 of the Ethics Act and 5 C.F.R. § 2634.603 of OGE's regulations thereunder, copies of completed SF 278 Executive Branch Personnel Public Financial Disclosure Reports, including completed OGE Form 201 access forms and records of telephone requests.

A. Recordkeeping copy (paper). **Temporary**. Cut off annually. Destroy 6 years after cut off.

*on phone
- Mike Saunders
8/2/99
M. DeLeon*

*Per phone
conversations
with Mike
Saunders
8/2/99*

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: 3 cubic feet

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Item 15. Requests for Confidential Filing for Employees at the GS-12 Level and Below, 1992 (ETH 5-6): Records documenting OGE's review of requests for confidential financial disclosure filing for employee positions below the GS-13 level. **Note:** This is an historical item covering records created and maintained in accordance with the prior E.O. 11222 and old 5 C.F.R. § 735.403(d) predating October 1992 (effective date of new confidential disclosure system).

A. Recordkeeping copy (paper). **Temporary**. Destroy upon approval of schedule.

Arrangement: Chronological

Annual accumulation: Negligible

Total accumulation: Negligible

B. Electronic versions of records created by e-mail and word processing applications: **Temporary**. Delete after recordkeeping copy is produced.

Note: The retention periods authorized under this schedule shall be implemented by OGE in a timely manner, EXCEPT when FDD records that are normally eligible for disposal are needed in an ongoing investigation. Such records shall be maintained until no longer needed in the investigation.