

# WITHDRAWN RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0168-2016-0005

## Request for Records Disposition Authority

Records Schedule Number DAA-0168-2016-0005  
Schedule Status Returned Without Action  
  
Agency or Establishment National Guard Bureau  
Record Group / Scheduling Group Records of the National Guard Bureau  
Records Schedule applies to Major Subdivision  
Major Subdivision Judge Advocate - Ethics  
Schedule Subject General Ethics Program Records  
Internal agency concurrences will be provided No

Background Information Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives.

### Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 0                                 | 0                                     | 0                                     | 4                                     |

### GAO Approval

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Request for Records Disposition Authority

Records Schedule: DAA-0168-2016-0005

## Outline of Records Schedule Items for DAA-0168-2016-0005

| Sequence Number |   |
|-----------------|---|
| 1               | <b>General Ethics Program Records</b><br>Disposition Authority Number: DAA-0168-2016-0005-0001  |
| 2               | <b>Agency Reporting Files</b>   |
| 2.1             | Public Financial Disclosure Reports Office of the Government of Ethics (OGE) Form 278e<br>Disposition Authority Number: DAA-0168-2016-0005-0002 |
| 2.2             | Agency Reports Supporting Documentation<br>Disposition Authority Number: DAA-0168-2016-0005-0003  |
| 3               | <b>Ethics Program Questionnaire Files</b>   |
| 3.1             | Office of Government Ethics Program Questionnaire Records<br>Disposition Authority Number: DAA-0168-2016-0005-0004                              |

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Request for Records Disposition Authority

Records Schedule. DAA-0168-2016-0005

## Records Schedule Items

| Sequence Number |   |
|-----------------|---|
| 1               | <p><b>General Ethics Program Records</b></p> <p>Disposition Authority Number      DAA-0168-2016-0005-0001</p> <p><b>Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Includes:</b></p> <ul style="list-style-type: none"><li>• Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.</li><li>• Determinations, including advice and counseling to individual employees, and supporting records.</li><li>• Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.</li></ul> <p>Final Disposition                      Temporary</p> <p>Item Status                              Withdrawn</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No</p> <p>GRS or Superseded Authority Citation      DAA-GRS-2014-0005-0001</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cutoff upon resolution or case or program.</p> <p>Retention Period                      Destroy 50 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                          Not Required</p> |
| 2               | <p><b>Agency Reporting Files</b></p> <p>Agency reports, including the "Semiannual Report of Payments Accepted from a Non-Federal Source," submitted by agencies to the Office of Government Ethics and Supporting documentation, such as statements and forms, used to complete the submitted reports.</p>  |
| 2.1             | <p><b>Public Financial Disclosure Reports Office of the Government of Ethics (OGE) Form 278e</b></p>  |

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Disposition Authority Number DAA-0168-2016-0005-0002

Public financial disclosure reports.: Reports for individuals filing in accordance with the Ethics in Government Act as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate. Legal Citation: 5 U.S.C. app. section 105, 5 CFR 2634.603

Final Disposition Temporary

Item Status Withdrawn

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 DAA-GRS-2014-0005-0007

## Disposition Instruction

Cutoff Instruction Cutoff 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later.

Retention Period Destroy 6 year(s) after cutoff

## Additional Information

GAO Approval Not Required

2.2

## Agency Reports Supporting Documentation

Disposition Authority Number DAA-0168-2016-0005-0003

Supporting documentation, such as statements and forms, used to complete the submitted reports.

Final Disposition Temporary

Item Status Withdrawn

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 DAA-GRS-2014-0005-0004

## Disposition Instruction

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|     |   |  |
|-----|---|--|
|     | Cutoff Instruction  | Cutoff following submission of the report to OGE, but longer retention is authorized if required for business use. |
|     | Retention Period  | Destroy 6 year(s) after cutoff   |
|     | <b>Additional Information</b>   |  |
|     | GAO Approval  | Not Required   |
| 3   | <b>Ethics Program Questionnaire Files</b>   |  |
| 3.1 | <b>Office of Government Ethics Program Questionnaire Records</b>  |  |
|     | Disposition Authority Number  | DAA-0168-2016-0005-0004  |
|     | Questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys. |  |
|     | Final Disposition   | Temporary  |
|     | Item Status   | Withdrawn  |
|     | 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  | DAA-GRS-2014-0005-0005   |
|     | <b>Disposition Instruction</b>  |  |
|     | Cutoff Instruction  | Cutoff after submission, but longer retention is authorized if required for business use.                          |
|     | Retention Period  | Destroy 6 year(s) after cutoff   |
|     | <b>Additional Information</b>   |  |
|     | GAO Approval  | Not Required   |

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## 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   |
|------------|-----------------------|---------------|----------------------------|--|
| 03/21/2016 | Certify               | Carl Stowe    | Records Officer            | NGB - NGB  |
| 04/26/2016 | Return Without Action | Steven Rhodes | Senior Appraisal Archivist | National Archives and Records Administration - Records Management Services |

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