

Request for Records Disposition Authority

Records Schedule Number DAA-0522-2019-0007
Schedule Status Approved
Agency or Establishment Office of Government Ethics
Record Group / Scheduling Group Records of the Office of Government Ethics
Records Schedule applies to Agency-wide
Schedule Subject Ethics Mission Records
Internal agency concurrences will be provided No

Background Information This schedule covers ethics records relating to OGE's mission

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
15	1	14	0

GAO Approval

Outline of Records Schedule Items for DAA-0522-2019-0007

Sequence Number	
1	Ethics Summit Files Disposition Authority Number DAA-0522-2019-0007-0001
2	Ethics Training Course Files Disposition Authority Number DAA-0522-2019-0007-0002
3	International Program Records Disposition Authority Number DAA-0522-2019-0007-0003
4	Semiannual Report of Payments Accepted from a Non-Federal Source Disposition Authority Number DAA-0522-2019-0007-0004
5	Ethics Pledge Compliance Assessments Disposition Authority Number DAA-0522-2019-0007-0005
6	Ethics Pledge Waivers Disposition Authority Number DAA-0522-2019-0007-0006
7	Schedule C Exemption File Disposition Authority Number DAA-0522-2019-0007-0007
8	Integrity Advisory Council (IAC) Records Disposition Authority Number DAA-0522-2019-0007-0008
9	Agency Case Files Disposition Authority Number DAA-0522-2019-0007-0009
10	Supplemental Agency Ethics Regulations Disposition Authority Number DAA-0522-2019-0007-0010
11	Alternative Financial Disclosure Requests Disposition Authority Number DAA-0522-2019-0007-0011
12	Program Review Audit Work Papers Disposition Authority Number DAA-0522-2019-0007-0012
13	Designated Agency Ethics Officials (DAEO) and Alternate Designated Agency Ethics Officials (ADAEO) Designation Letters Disposition Authority Number DAA-0522-2019-0007-0013
14	DOJ Referrals Disposition Authority Number DAA-0522-2019-0007-0014
15	Annual Survey of Ethics Officials Disposition Authority Number DAA-0522-2019-0007-0015

Records Schedule Items

Sequence Number	
1	<p>Ethics Summit Files</p> <p>Disposition Authority Number DAA-0522-2019-0007-0001</p> <p>Records relating to the conceptual planning and administration of ethics summits/ conferences Files include agendas, planning files, lesson plans, instructor guides, handouts, job aids, student workbooks, assessments, presentations, and videos Files are arranged in chronological order</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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 N1-522-96-002 / 1/a</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut-off at the conclusion of each summit/conference</p> <p>Retention Period Destroy 7 year(s) after cut-off</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Ethics Training Course Files</p> <p>Disposition Authority Number DAA-0522-2019-0007-0002</p> <p>Ethics courses for ethics officials and Federal employees with the Executive Branch These instructional materials explain the standards of ethical conduct, conflict of interest statutes, and financial disclosure procedures Files include planning files, needs analysis, agendas, instructor guides, handouts and job aids, student workbooks, lesson plans, presentations, and videos Files are arranged by subject and date</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in</p>

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-522-96-002 / 2/a

Disposition Instruction

Cutoff Instruction Cut-off at end of calendar year

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when most recent record in block is 5 years old

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1992 To 2014

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	17 GB	6986 60 MB
Paper	6 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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International Program Records

Disposition Authority Number DAA-0522-2019-0007-0003

Records relating to conferences held by foreign governments and private groups, visits by foreign officials, and requests for information by other governments. Files include correspondence documenting the collaboration and exchange of information between OGE and foreign governments, the State Department, and other international anti-corruption entities, briefing files, data calls, memorandum of understandings, conference files, project files, surveys and questionnaires, background materials, policy reviews, and reports. Files are arranged by subject.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

4	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	N1-522-96-001 / 17
	Disposition Instruction	
	Cutoff Instruction	Cut-off at end of calendar year
	Retention Period	Destroy 6 year(s) after cut-off
	Additional Information	
	GAO Approval	Not Required
	Semiannual Report of Payments Accepted from a Non-Federal Source	
	Disposition Authority Number	DAA-0522-2019-0007-0004
	Reports and accompanying records received by OGE in accordance with guidance given at 31 U S C § 1353, as implemented by 41 C F R part 304 and the use of Standard Form (SF) 326 and SF--326A Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties Files are arranged in chronological order	
Final Disposition	Temporary	
Item Status	Active	
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	N1-522-02-003 / 1	
5	Disposition Instruction	
	Cutoff Instruction	Cut-off at end of year
	Retention Period	Destroy 6 year(s) after cut-off
	Additional Information	
	GAO Approval	Not Required
	Ethics Pledge Compliance Assessments	
	Disposition Authority Number	DAA-0522-2019-0007-0005

Ethics Pledge Compliance Assessments submitted by agencies to the U S Office of Government Ethics in accordance with Executive Order 13490 and superseding orders Records include assessments completed by ethics officials, and assessment forms Files are arranged in chronological order

Final Disposition Temporary

Item Status Active

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

Disposition Instruction

Cutoff Instruction Cut-off at end of calendar year

Retention Period Destroy 3 year(s) after cut-off

Additional Information

GAO Approval Not Required

Ethics Pledge Waivers

Disposition Authority Number DAA-0522-2019-0007-0006

Ethics pledge waivers submitted by agencies to the U S Office of Government Ethics in accordance with Executive Order 13770 and superseding orders to ensure compliance Files are arranged by subject

Final Disposition Temporary

Item Status Active

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

Disposition Instruction

Cutoff Instruction Cut-off upon separation of appointee

Retention Period Destroy 6 year(s) after cutoff

Additional Information

GAO Approval Not Required

Schedule C Exemption File

Disposition Authority Number DAA-0522-2019-0007-0007

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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 and 5 C F R § 2634 203 of OGE's regulations Records include exemption requests and supporting documentation such as position descriptions which are sent to OGE by agencies on behalf of individual employee positions, and OGE's final decision letter Files are arranged by subject

Final Disposition	Temporary
Item Status	Active
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	N1-522-99-002 / 2
Disposition Instruction	
Cutoff Instruction	Cut-off at end of calendar year
Retention Period	Destroy 15 year(s) after cut-off

Additional Information

GAO Approval	Not Required
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Integrity Advisory Council (IAC) Records

Disposition Authority Number	DAA-0522-2019-0007-0008
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The Integrity Advisory Council is used to shape future improvements to the executive branch-wide electronic financial disclosure system The IAC consists of ethics officials in the executive branch Records include invitations, meeting minutes, membership lists, and voting records relating to Integrity system matters

Final Disposition	Temporary
Item Status	Active
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
Disposition Instruction	
Cutoff Instruction	Cut-off at end of fiscal year
Retention Period	Destroy 6 year(s) after cut-off

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Additional Information

GAO Approval Not Required

Agency Case Files

Disposition Authority Number DAA-0522-2019-0007-0009

Records documenting responses to requests from agencies on interpretations of ethics related statutes, laws, and regulations. Records include correspondence which contain interpretations of ethics related statutes, laws, and regulations, reference materials, and related documentation.

Final Disposition Temporary

Item Status Active

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 N1-522-96-003 / 3

Disposition Instruction

Cutoff Instruction Cut-off at end of year

Retention Period Destroy 20 year(s) after cut-off

Additional Information

GAO Approval Not Required

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Supplemental Agency Ethics Regulations

Disposition Authority Number DAA-0522-2019-0007-0010

Records documenting 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, attorney's notes, and correspondence.

Final Disposition Temporary

Item Status Active

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 N1-522-96-001 / 4

11	Disposition Instruction	
	Cutoff Instruction	Cut-off upon publication of final rule in the Federal Register or when decision is made to no longer develop the regulation
	Retention Period	Destroy 20 year(s) after cut-off
	Additional Information	
	GAO Approval	Not Required
	Alternative Financial Disclosure Requests	
	Disposition Authority Number	DAA-0522-2019-0007-0011
	Correspondence submitted to OGE requesting approval to use an alternative financial disclosure procedure Records include request from agencies, OGE's response to agencies, and supporting documentation	
	Final Disposition	Temporary
	Item Status	Active
	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	
12	Disposition Instruction	
	Cutoff Instruction	Cut-off when procedure or form is superseded
	Retention Period	Destroy 6 year(s) after cut-off
	Additional Information	
	GAO Approval	Not Required
	Program Review Audit Work Papers	
	Disposition Authority Number	DAA-0522-2019-0007-0012
	Correspondence between OGE and agencies, copies of regulations pertaining to specific agencies, copies of agency documentation showing how an agency manages its ethics program, copies of financial disclosure agreements, and agency exceptions to ethics related regulations	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	No	

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electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-522-05-002 / 1/b

Disposition Instruction

Cutoff Instruction Cut-off when audit report is issued

Retention Period Destroy 6 year(s) after cut-off

Additional Information

GAO Approval Not Required

Designated Agency Ethics Officials (DAEO) and Alternate Designated Agency Ethics Officials (ADAEO) Designation Letters

Disposition Authority Number DAA-0522-2019-0007-0013

Correspondence received from agencies designating Designated Agency Ethics Officials and Alternate Designated Ethics Officials in accordance with 5 C F R § 2638 202

Final Disposition Temporary

Item Status Active

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

Disposition Instruction

Cutoff Instruction Cut-off when superseded

Retention Period Destroy 3 year(s) after cut-off

Additional Information

GAO Approval Not Required

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DOJ Referrals

Disposition Authority Number DAA-0522-2019-0007-0014

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 include completed Notification of Conflict of Interest Referral forms (OGE Form 202), referral letters, copies of disciplinary and corrective actions, and disposition documents including declinations of prosecution from the Department of Justice

Final Disposition Temporary
Item Status Active
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 N1-522-99-002 / 7
Disposition Instruction
Cutoff Instruction Cut-off upon issuance of final disposition
Retention Period Destroy 10 year(s) after cut-off

Additional Information

GAO Approval Not Required

Annual Survey of Ethics Officials

Disposition Authority Number DAA-0522-2019-0007-0015

Surveys documenting Ethics Officials customer satisfaction with services provided by the United States Office of Government Ethics. Records include surveys, survey results, reviews, and follow-up comments

Final Disposition Temporary
Item Status Active
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
Disposition Instruction
Cutoff Instruction Cut-off at end of fiscal year
Retention Period Destroy 3 year(s) after cut-off

Additional Information

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
03/19/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
07/09/2019	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
07/15/2019	Submit For Certification	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
07/15/2019	Certify	Renolder Cotton	Records and Information Management Specialist	Office of Government Ethics - Office of Government Ethics
01/29/2020	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
02/03/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/03/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/04/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist