

ED Records Schedule

SCHEDULE LOCATOR NO.: 230

REVISION DATE: 12/15/2007

TITLE: Ethics Program Implementation, Interpretation, Counseling, and Development Files

PRINCIPAL OFFICE: Office of General Counsel

NARA DISPOSITION AUTHORITY: GRS – See disposition instructions

DESCRIPTION:

Records maintained by ethics program offices relating 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. Including:

- 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.
- Determinations, including advice and counseling to individual employees, and supporting records.
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral). Records that are designated for permanent retention and are created and maintained electronically will be transferred to NARA in an approved electronic format.

DISPOSITION INSTRUCTIONS:

- a. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines [GRS 25, Item 1.a]

TEMPORARY

Destroy when 3 years old or when superseded or obsolete, whichever is later.

- b. All other records [GRS 25 Item 1.b]

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TEMPORARY

Destroy when 6 years old or when superseded or obsolete, whichever is later.

IMPLEMENTATION GUIDANCE:

Related to ED 006 Financial Disclosure Reports

ARRANGEMENT/ANNUAL ACCUMULATION:

PREVIOUS DISPOSITION AUTHORITY/CONTACT:

SPECIFIC LEGAL REQUIREMENTS:

Ethics in Government Act of 1978 (Pub. L. 95-521), as amended

SPECIFIC RESTRICTIONS:

Privacy Act 18-09-03 Employee Conduct – Government Ethics

LINE OF BUSINESS: Administration/Departmental