Request for Records Disposition Authority

Records Schedule Number

DAA-0059-2018-0001

Schedule Status

Approved

Agency or Establishment

Department of State

Record Group / Scheduling Group

General Records of the Department of State

Records Schedule applies to

Major Subdivsion

Major Subdivision

Secretary of State

Minor Subdivision

Office of the Ombudsman

Schedule Subject

Records of the Office of the Ombudsman

Internal agency concurrences will

be provided

No

Background Information

The Office of the Ombudsman promotes alternative dispute resolution and conflict prevention practices within the Department. The Ombudsman serves as an advisor to the Secretary of State and senior management and as an independent and impartial resource for any employee falling under chief of mission seeking assistance with issues and concerns related to the workplace environment. The Ombudsman is an independent, confidential, informal, and neutral conflict resolution practitioner. The Ombudsman maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of anyone contacting the Office of the Ombudsman in accordance with title 5 U.S.C § 571-584 and the International Ombudsman Association standards.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

0002





Outline of Records Schedule Items for DAA-0059-2018-0001

Sequence Number	
	Office of the Ombudsman Program Files Disposition Authority Number: DAA-0059-2018-0001-0001
2	Working Case Files Disposition Authority Number: DAA-0059-2018-0001-0002





Sequence Number

1 Office of the Ombudsman Program Files

> DAA-0059-2018-0001-0001 Disposition Authority Number

Records related to the policy, organization and mission of the Office of the Ombudsman. These files include, but are not limited to, substantive correspondence; action and briefing memorandum; memoranda of conversation; publications: reports: issue papers; and other related information including relevant documentation by staff and advisors on the activities and responsibilities of the Ombudsman in the directing and carrying out of their duties. Excludes records related to confidential consultation and/or assistance regarding all State Department personnel, including anyone falling under chief of mission.

Permanent Final Disposition

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 email and word processing?

No

Disposition Instruction

Cutoff Instruction Cutoff annually.

Transfer to the National Archives

for Accessioning

Transfer to NARA in 5 year blocks, when most recent

record is 25 years old.

Additional Information

What will be the date span of the initial transfer of records to the

National Archives?

Unknown

Date span unknown at this time.

How frequently will your agency transfer these records to the

National Archives?

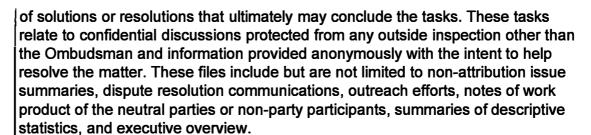
Unknown

Information unknown at this time.

2 **Working Case Files**

> Disposition Authority Number DAA-0059-2018-0001-0002

Records related to the identification of and information on concerns, disputes, and issues presented to the Ombudsman. This documentation summarizes tasks and is used informally to keep track of issues and aide in the development



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 email and word processing? No

Disposition Instruction

Retention Period Cut off upon conclusion of the task. Destroy after

cutoff.

Additional Information

GAO Approval Required and Received





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	Ву	Title	Organization
03/13/2018	Certify	Timothy Kootz	Agency Records Off icer	Bureau of Administration - Records and Archves Management Division A GIS IPS RA
08/08/2018	Return for Revisio n	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Serivces
10/04/2018	Submit For Certific ation	Shelia Prince	Records and Informa tion Management Sp ecialist	Bureau of Administration - A/GIS/ IPS/RA
10/10/2018	Certify	Timothy Kootz	Agency Records Off icer	Bureau of Administration - Records and Archves Management Division A GIS IPS RA
11/20/2018	Submit for Concur rence	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Serivces
12/04/2018	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
12/04/2018	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
12/06/2018	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist