

Request for Records Disposition Authority

Records Schedule Number **DAA-0434-2016-0007**
Schedule Status **Approved**

Agency or Establishment **Department of Energy**
Record Group / Scheduling Group **General Records of the Department of Energy**
Records Schedule applies to **Department-wide**
Schedule Subject **Ombudsman Program**
Internal agency concurrences will be provided **No**

Background Information **The Secretary of Energy established the DOE Office of the Ombudsman Program (the "Program") in March 2012. The Program records concern the development, administration, and evaluation of the Program, and the Program serves as an independent, confidential, informal, and neutral conflict resolution practitioner for DOE Federal employees. The Program maintains communications with those seeking assistance through the Program and holds those communications in the strictest confidence. Program officials must take all reasonable steps to safeguard the anonymity and confidentiality of DOE employees seeking assistance or otherwise associated with the Program's conflict resolution efforts. Program safeguards noted herein are in accordance with Title 5 U.S.C. Section 571-584 and the International Ombudsman Association standards. This includes protecting the identity of individuals contacting the Program and protecting the information provided in confidence that is not disclosed.**

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0434-2016-0007

Sequence Number	
1	Ombudsman Program Files Disposition Authority Number: DAA-0434-2016-0007-0001
2	Ombudsman Working Case Files Disposition Authority Number: DAA-0434-2016-0007-0002

Records Schedule Items

Sequence Number		
1	Ombudsman Program Files	
	Disposition Authority Number	DAA-0434-2016-0007-0001
	Includes records pertaining to the establishment, mission, and function of the DOE Ombudsman Program, such as the Program charter and policies, and process records that address how the Program is managed and maintained. Information in the records may include information sheets and brochures showing past Program activities, including but not limited to metrics and summary data for uniform reporting categories.	
	Final Disposition	Permanent
	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 or obsolete. Records are paper so pre-accessioning is not allowed or an option.
	Transfer to Inactive Storage	Transfer to FRC five years after cutoff. Records are paper so pre-accessioning is not allowed or an option.
	Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after never
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff.
	Additional Information	
	First year of records accumulation	2012
	What will be the date span of the initial transfer of records to the National Archives?	Unknown Agency will determine date span
	How frequently will your agency transfer these records to the National Archives?	Unknown To be determined by agency.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	.025 Cubic feet	.001 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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Ombudsman Working Case Files

Disposition Authority Number **DAA-0434-2016-0007-0002**

Includes records pertaining to the identification and information involving concerns, disputes, and issues presented to the DOE Ombudsman Program (the "Program"), such as documentation summarizing tasks used to informally track concerns, disputes and issues, and those that aide in the development of solutions or resolutions. The tasks relate to confidential discussions and information protected from access, review or inspection other than by officials of the DOE Office of the Ombudsman. The records and information are collected anonymously and retained temporarily only in efforts to resolve concerns, disputes, and issues presented to the Program. The records may include, but are not limited to, non-attributed issue summaries, dispute resolution communications, outreach efforts, work product notes of the neutral parties or non-party participants, summaries of descriptive statistics, and executive overviews.

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 after case is concluded or closed.**

Retention Period **Destroy immediately after cutoff.**

Additional Information

GAO Approval **Required and Received**

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
08/05/2016	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
12/02/2016	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/06/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/06/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/08/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist