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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |  | (LEAVE BLANK)   |  |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408   |  | JOB NUMBER <i>701-560-03-4</i>  |  |
| 1. FROM (Agency or establishment)<br><br>Department of Homeland Security   |  | <b>NOTIFICATION TO AGENCY</b><br><br>In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10. |  |
| 2. MAJOR SUBDIVISION<br><br>Transportation Security Administration   |  |   |  |
| 3. MINOR SUBDIVISION<br><br>Office of Ombudsman (OMBUDS)   |  |   |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Arthur McCune, Jr.  | 5. TELEPHONE<br><br>571/227-2076                                     | DATE<br><br><i>6-21-04</i>  | ARCHIVIST OF THE UNITED STATES<br><br><i>John W. Gal</i> |
| 6. AGENCY CERTIFICATION<br>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 on the attached <u>6</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,<br><br>is not required;      is attached; or      has been requested. |  |   |  |
| DATE<br><br>04/23/03   | SIGNATURE OF AGENCY REPRESENTATIVE<br><br><i>Arthur J. McCune Jr</i> |   | TITLE <b>Records Management Officer</b>                  |
| 7. Item No.  | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION                      | 9. GRS OR SUPERSEDED JOB CITATION   | 10. ACTION TAKEN (NARA USE ONLY)                         |
|  | <b>**See Attached**</b>  |   |  |
| <i>cc Agency, NWMD, NWMDW</i>  |  |   |  |

**OMBUDS – 2300 OMBUDSMAN**

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| <p>This category is for specific disposition guidelines in connection with Transportation Security Administration records created by Ombudsman.</p> |
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| Title  | Description of Records  | Disposition   | Authority |
|--|---|---|-----------|
| 1, <b>OMBUDS 2300 ADMINISTRATIVE FILES</b>   | Correspondence, letters, memorandums, reports, and other records which are pertinent to routing internal administrative and housekeeping activities and not the particular function for which the holding office exists.  | Cut off at end of calendar year. <b>Destroy</b> when 5 years old.       |           |
| 2, <b>OMBUDS 2300.1 SUBJECT MATTER FILES</b> | a. Memorandum and analysis regarding systematic workplace and customer service systematic issues.   | Cut off at end of fiscal year. <b>Destroy</b> when 5 years old.         |           |
|  | b. Reports from field office and Mission Support Centers.   | Cut off at end of calendar year. <b>Destroy</b> when 5 years old.       |           |
|  | c. Travel arrangements to field, not including travel for marketing/outreach purposes.  | Cut off at end of fiscal year. <b>Destroy</b> when 6 years old.         |           |
| 3, <b>OMBUDS 2300.2 OMBUDSMAN INQUIRIES</b>  | a. Internal inquiries and resolutions. Includes investigations, reviews, correspondence, stated reasons for cases not accepted, status updates, informal complaint resolutions, opportunity for subjects of complaints to respond and notices to parties when a case is closed. | Cut off at the end of the fiscal year. <b>Destroy</b> when 3 years old. |           |
|  | b. External inquiries and resolutions. Includes investigations, reviews, correspondence, stated reasons for cases not accepted, status updates, informal complaint resolutions,   | Cut off at the end o the fiscal year. <b>Destroy</b> when 3 years old.  |           |

OMBUDS – 2300 OMBUDSMAN

| Title   | Description of Records   | Disposition   | Authority |
|---|--|---|-----------|
| 4. OMBUDS 2300.3<br>CONTACT CENTER<br>INQUIRIES                     | opportunity for subjects of complaints to respond and notices to parties when a case is closed.  | Cut off at the end of the fiscal. <b>Destroy</b> when 3 years old.  |           |
|   | a. Inquiries and contacts from employees and the public.   |   |           |
|   | b. Responses to inquiries from employees and the public.   | Cut off at the end of the fiscal year. <b>Destroy</b> when 3 years old.   |           |
|   | c. Contact Center generated statistics and reports.  | Cut off at end of calendar year. <b>Destroy</b> when 5 years old.   |           |
| 5. OMBUDS 2300.4<br>WORKPLACE AND<br>CUSTOMER<br>SERVICE<br>RECORDS | Policy recommendations, findings, reports and issue papers regarding workplace-related and customer service issues, investigations and inquires. Includes publicized results of investigations, weekly, monthly, semi-annual and annual reports. | <b>PERMANENT.</b> Cut off at end of calendar year. Transfer to FRC when, 3 years old. Transfer to NARA when 10 years old. |           |

**OMBUDS – 2300 OMBUDSMAN**

| Title  | Description of Records  | Disposition   | Authority |
|--|---|---|-----------|
| 6. <b>OMBUDS 2300.5<br/>PROGRAM<br/>RECORDS</b>                              | a. Conferences, seminars and meetings. Material from training programs and classes, including alternative dispute resolution classes. Training and support materials including alternative dispute resolution materials created by the office.  | <b>Destroy</b> when superseded or obsolete.   |           |
|  | b. Travel arrangements to conferences.  | Cut off at end of fiscal year. <b>Destroy</b> when 6 years old.                       |           |
|  | c. Standard operating procedures and final policy documents. Includes procedures and policies for the treatment of confidential information, for manner and process of complaints, inquiries, and investigations, Ombudsman's independent review, jurisdiction, delegation authority, informal complaint resolutions. | <b>Destroy</b> when superseded or obsolete.   |           |
|  | d. Independent reviews conducted not resulting as a informal inquiry.   | Cut off at end of fiscal year. <b>Destroy</b> when 3 years old.                       |           |
| 7. <b>OMBUDS 2300.6<br/>MARKETING</b>  | a. Brochures, Sentinel articles, presentations, briefing materials, and all other marketing materials.  | <b>Destroy</b> when superseded or obsolete.   |           |
|  | b. Travel arrangements for marketing outreach.  | Cut off at end of fiscal year. <b>Destroy</b> when 6 years old.                       |           |
| 8. <b>OMBUDS 2300.7<br/>E-MAIL AND<br/>WORD<br/>PROCESSING<br/>DOCUMENTS</b> | (a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared                                      | <b>Delete/destroy</b> within 180 days after the recordkeeping copy has been produced. |           |

OMBUDS – 2300 OMBUDSMAN

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|       | network drives that are used only to produce the recordkeeping copy.  |  |           |
|       | (b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | <b>Delete</b> when dissemination, revision, or updating is complete. |           |

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| <b>Title</b>                                  | <b>Description of Records</b>   | <b>Disposition</b>   | <b>Authority</b> |
|---|---|--|------------------|
| <b>OMBUDS 2300 ADMINISTRATIVE FILES</b>       | Correspondence, letters, memoranda, etc. not related to the function for which the office exists.               | Cut off at end of calendar year, <b>destroy</b> when 5 years old.                              |                  |
| <b>OMBUDS 2300.1 SUBJECT MATTER FILES</b>     | Memorandum and analysis regarding systematic workplace and customer service systematic issues.                  | Cut off at end of fiscal year. <b>Destroy</b> 5 years after cut off.                           |                  |
|   | Reports from field office and Mission Support Centers.  | Cut off at end of calendar year. <b>Destroy</b> 5 years after cut off.                         |                  |
|   | Travel arrangements to field, not including travel for marketing/outreach purposes.                             | SEE "TRAVEL" UNDER FINANCIAL MANAGEMENT  |                  |
| <b>OMBUDS 2300.2 OMBUDSMAN INQUIRIES</b>      | Aggregate data and statistics on systematic issues and trends related to the workplace and to customer service. | Cut off at the end of the fiscal year. <b>Destroy</b> 5 years after cut off.                   | GRS 20, Item 4   |
|   | a. Internal inquiries and resolutions.  | <b>Destroy</b> after 3 months.   |                  |
|   | b. External inquiries and resolutions.  | <b>Destroy</b> after 3 months.   |                  |
| <b>OMBUDS 2300.3 CONTACT CENTER INQUIRIES</b> | Inquiries and contacts from employees and the public.   | Cut off at the end of the fiscal year. <b>Destroy</b> after 6 months or when no longer needed. |                  |
|   | Responses to inquiries from employees and the public.   | Cut off at the end of the fiscal year. <b>Destroy</b> after 6 months or when no longer needed. |                  |

**OMBUDS – 2300 OMBUDSMAN**

| Title   | Description of Records  | Disposition  | Authority      |
|---|---|--|----------------|
|   | Contact Center generated statistics and reports.  | Cut off at end of calendar year. <b>Destroy</b> after 5 years.   | GRS 20, Item 4 |
| <b>OMBUDS 2300.4<br/>WORKPLACE AND<br/>CUSTOMER<br/>SERVICE<br/>RECORDS</b> | Policy recommendations and issue papers regarding workplace-related and customer service issues. Weekly, monthly, semi-annual and annual reports.   | <b>PERMANENT.</b> Cut off at end of calendar year. Transfer to FRC when, 3 years old. Offer to NARA when 10 years old.                     |                |
| <b>OMBUDS 2300.5<br/>PROGRAM<br/>RECORDS</b>                                | Conferences, seminars and meetings. Material from training programs and classes, including alternative dispute resolution classes. Training and support materials including alternative dispute resolution materials created by the office.<br><br>a. Travel arrangements to conferences. | <b>Destroy</b> when superseded or obsolete.<br><br><br><br><br><br><br><br><br><br><b>SEE "TRAVEL"<br/>UNDER FINANCIAL<br/>MANAGEMENT</b>  |                |
| <b>OMBUDS 2300.6<br/>MARKETING</b>  | Brochures, Sentinel articles, presentations, briefing materials, and all other marketing materials.<br><br>a. Travel arrangements for marketing outreach.   | <b>Destroy</b> when superseded or obsolete.<br><br><br><br><br><br><br><br><br><br><b>SEE "TRAVEL"<br/>UNDER FINANCIAL<br/>MANAGEMENT.</b> |                |