

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>701-560-03-4</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY 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 withdrawn 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 Transportation Security Administration			
3. MINOR SUBDIVISION Office of Ombudsman (OMBUDS)			
4. NAME OF PERSON WITH WHOM TO CONFER Arthur McCune, Jr.	5. TELEPHONE 571/227-2076	DATE <i>6-21-04</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Gal</i>
6. 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 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, is not required; is attached; or has been requested.			
DATE 04/23/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur J. McCune Jr.</i>		TITLE Records Management Officer
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		
<i>cc Agency, NWMD, NWMDW</i>			

OMBUDS – 2300 OMBUDSMAN

<p>This category is for specific disposition guidelines in connection with Transportation Security Administration records created by Ombudsman.</p>

Title	Description of Records	Disposition	Authority
1, OMBUDS 2300 ADMINISTRATIVE FILES	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. Destroy when 5 years old.	
2, OMBUDS 2300.1 SUBJECT MATTER FILES	a. Memorandum and analysis regarding systematic workplace and customer service systematic issues.	Cut off at end of fiscal year. Destroy when 5 years old.	
	b. Reports from field office and Mission Support Centers.	Cut off at end of calendar year. Destroy when 5 years old.	
	c. Travel arrangements to field, not including travel for marketing/outreach purposes.	Cut off at end of fiscal year. Destroy when 6 years old.	
3, OMBUDS 2300.2 OMBUDSMAN INQUIRIES	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. Destroy 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. Destroy when 3 years old.	

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Title	Description of Records	Disposition	Authority
4. OMBUDS 2300.3 CONTACT CENTER 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. Destroy 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. Destroy when 3 years old.	
	c. Contact Center generated statistics and reports.	Cut off at end of calendar year. Destroy when 5 years old.	
5. OMBUDS 2300.4 WORKPLACE AND CUSTOMER SERVICE 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.	PERMANENT. Cut off at end of calendar year. Transfer to FRC when, 3 years old. Transfer to NARA when 10 years old.	

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Title	Description of Records	Disposition	Authority
6. OMBUDS 2300.5 PROGRAM RECORDS	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.	Destroy when superseded or obsolete.	
	b. Travel arrangements to conferences.	Cut off at end of fiscal year. Destroy 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.	Destroy when superseded or obsolete.	
	d. Independent reviews conducted not resulting as a informal inquiry.	Cut off at end of fiscal year. Destroy when 3 years old.	
7. OMBUDS 2300.6 MARKETING	a. Brochures, Sentinel articles, presentations, briefing materials, and all other marketing materials.	Destroy when superseded or obsolete.	
	b. Travel arrangements for marketing outreach.	Cut off at end of fiscal year. Destroy when 6 years old.	
8. OMBUDS 2300.7 E-MAIL AND WORD PROCESSING DOCUMENTS	(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	Delete/destroy within 180 days after the recordkeeping copy has been produced.	

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Title	Description of Records	Disposition	Authority
	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.	Delete when dissemination, revision, or updating is complete.	

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

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Title	Description of Records	Disposition	Authority
	Contact Center generated statistics and reports.	Cut off at end of calendar year. Destroy after 5 years.	GRS 20, Item 4
OMBUDS 2300.4 WORKPLACE AND CUSTOMER SERVICE RECORDS	Policy recommendations and issue papers regarding workplace-related and customer service issues. Weekly, monthly, semi-annual and annual reports.	PERMANENT. Cut off at end of calendar year. Transfer to FRC when, 3 years old. Offer to NARA when 10 years old.	
OMBUDS 2300.5 PROGRAM RECORDS	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.	Destroy when superseded or obsolete.	
	a. Travel arrangements to conferences.	SEE "TRAVEL" UNDER FINANCIAL MANAGEMENT	
OMBUDS 2300.6 MARKETING	Brochures, Sentinel articles, presentations, briefing materials, and all other marketing materials.	Destroy when superseded or obsolete.	
	a. Travel arrangements for marketing outreach.	SEE "TRAVEL" UNDER FINANCIAL MANAGEMENT.	