

# WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0563-2017-0001

## Request for Records Disposition Authority

Records Schedule Number DAA-0563-2017-0001  
Schedule Status Returned Without Action

Agency or Establishment Department of Homeland Security  
Record Group / Scheduling Group General Records of the Department of Homeland Security  
Records Schedule applies to Major Subdivision  
Major Subdivision Department Wide  
Schedule Subject Organizational Ombudsman  
Internal agency concurrences will be provided No

### Background Information

These records are related to the function of the Organizational Ombudsman. The Ombudsman, also known as the Ombuds or Ombudsperson, is an independent, confidential, informal, and neutral conflict resolution practitioner for internal issues brought to the attention of the Ombudsman. The Ombudsman maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of Agency employees in accordance with title 5 U.S.C. § 571-584 and the International Ombudsman Association standards. This includes protecting the identity of any individual contacting the Ombudsman and the information provided in confidence from disclosure.

Typical issues raised to the Ombudsman include but are not limited to interpersonal issues, questions or issues with Agency policy, issues related to Agency practices, issues around employee conduct, employee comprehension and interpretation of Agency guidance, and issues related to employee morale.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

0002

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## Outline of Records Schedule Items for DAA-0563-2017-0001

Sequence Number	
1	Annual Reports and Working Files
1.1	Ombudsman's Reports Disposition Authority Number: DAA-0563-2017-0001-0001
1.2	Working Files Disposition Authority Number: DAA-0563-2017-0001-0002

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Records Schedule: DAA-0563-2017-0001

## Records Schedule Items

Sequence Number	
1	<b>Annual Reports and Working Files</b>
1.1	<b>Ombudsman's Reports</b>
	Disposition Authority Number      DAA-0563-2017-0001-0001
	Records pertaining to annual, periodic, summary and ad-hoc reports to the Executive level. The purpose of these records is to provide summary reporting on reported issues, conclusions, resolutions, timeframes, and other aspects reported to the Ombudsman. The reports do not include any confidential information.
	Final Disposition                      Temporary
	Item Status                              Withdrawn
	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
	GRS or Superseded Authority Citation      N1-560-03-004 / 5, "In Part, Internal Matters Only"
	<b>Disposition Instruction</b>
	Cutoff Instruction                      Cut off when report is published
	Retention Period                      Destroy no sooner than 5 year(s) after cutoff but longer retention is authorized
	<b>Additional Information</b>
	GAO Approval                          Not Required
1.2	<b>Working Files</b>
	Disposition Authority Number      DAA-0563-2017-0001-0002
	These records relate to the identification and information on concerns, disputes, and issues, presented to the Ombudsman. This documentation summarizes tasks and is used to informally keep track of issues and aide in the development of solutions or resolutions that ultimately may conclude the tasks. These tasks relate to confidential discussions protected from any outside inspection other than the Ombudsman, and information provided anonymously with the intent to help resolve the matter. These records may include but are not limited to Facilitated Self-Assessments, non-attribution issue summaries, dispute resolution communications, notes of work product of the neutral parties or non-party participants, summaries of descriptive statistics, and executive overviews.

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Summarized information from working files may be derived as input information into Ombudsman's Reports.

Final Disposition Temporary

Item Status Withdrawn

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

GRS or Superseded Authority Citation N1-560-03-004 / 3/a  
N1-560-03-004 / 6/d, "In Part, Internal Matters Only"

## Disposition Instruction

Cutoff Instruction Cutoff upon resolution of the matter, or inclusion of summary information into the Ombudsman's Reports

Retention Period Destroy when no longer needed

## Additional Information

GAO Approval Required and Received

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## 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
05/01/2017	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
06/19/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
09/05/2017	Submit For Certification	David Lockard	Records Specialist	Under Secretary for Management - Office of the Chief Information Officer
11/20/2017	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
02/06/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
06/19/2018	Submit For Certification	David Lockard	Records Specialist	Under Secretary for Management - Office of the Chief Information Officer
06/20/2018	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
11/01/2018	Return Without Action	Judith Barnes	Archives Specialist	National Archives and Records Administration - Agency Services

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