

## Request for Records Disposition Authority

Records Schedule Number      DAA-0563-2019-0001  
 Schedule Status                      Approved

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

**GAO Approval**

0002

## Outline of Records Schedule Items for DAA-0563-2019-0001

Sequence Number	
1	Ombudsman Reports Disposition Authority Number: DAA-0563-2019-0001-0001
2	Working Files Disposition Authority Number: DAA-0563-2019-0001-0002

## Records Schedule Items

Sequence Number	
1	<p><b>Ombudsman Reports</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0001-0001</b></p> <p>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, time frames, and other aspects of internal agency matters reported to the Ombudsman. The reports do not include any confidential information.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                              <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-560-03-004 / 5, "In Part, Internal Matters Only"</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off when report is published</b></p> <p>Retention Period                         <b>Destroy no sooner than 5 years and no later than 10 years after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                               <b>Not Required</b></p>
2	<p><b>Working Files</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0001-0002</b></p> <p>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 aid 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 include, but are not limited to, facilitated conversations, non-attribution issue summaries, dispute resolution communications, notes of work</p>

product 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? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

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 Cut off upon resolution of the matter, or inclusion of summary information into the Ombudsman's Reports

Retention Period Destroy immediately after cutoff or no later than 3 years 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
04/29/2019	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
10/28/2019	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/30/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/31/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/04/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist