

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0060-2021-0003

Status: APPROVED
Date Approved: 08/17/2023

General Information

Agency or Establishment	Department of Justice
Record/Scheduling Group	0060 - General Records of the Department of Justice
Records Schedule Applies to	Department-wide
Additional Agencies This Schedule Applies To	Bureau of Alcohol, Tobacco, Firearms and Explosives, Bureau of Prisons, Department of Justice, Drug Enforcement Administration, Executive Office for Immigration Review, Executive Office for U.S. Attorneys, Federal Bureau of Investigation, Federal Prison Industries, Incorporated, Foreign Claims Settlement Commission of the United States, Office of Justice Programs, United States Marshals Service
Schedule Subject	Employee Ombuds Program Records
Additional Schedule Information	<p>The role and function of a Department of Justice (DOJ) Organizational Ombuds is to provide a neutral, impartial, fair, and confidential avenue for employees to informally explore resolving workplace conflicts. An Ombuds's functions are governed by the International Ombuds Association Code of Ethics and Standards of Practice.</p> <p>An Ombuds provides informal and confidential assistance geared toward empowering employees and managers to constructively resolve work-related issues related to policy concerns, interpersonal problems, leadership issues, career development, human resources, organizational change, efficiencies of operations concerns, or any other area that has a correlation to the DOJ mission.</p> <p>An Ombuds advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the DOJ.</p>

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Ombuds do not make binding decisions, mandate policies, or formally adjudicate issues for the DOJ. Using an Ombuds supplements, but does not replace, any formal channels. Use of the service is voluntary, and is not a required step in any grievance process or DOJ organizational policy. An Ombuds does not participate in any formal investigative or adjudicative procedures. Formal investigations are conducted by other DOJ offices. When a formal investigation is requested, an Ombuds refers individuals to the appropriate DOJ office or individual.

Is there a classified version of this form? No

Is consultation and coordination with Tribal Governments required? Predate requirement

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 3

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0060-2021-0003

Item #	Title	Disposition
0001	Program Files	Temporary
0002	Inquiries/Working Files	Temporary
0003	Issue Trend Information	Temporary

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Records Schedule Items

DAA-0060-2021-0003-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Program Files	
Item Description	<p>Records pertaining to the establishment, mission, and function of the Ombuds Program, such as the Program charter and policies, and process records that address how the Program is managed and maintained.</p> <p>Records also include information sheets and reports about high-level trends (including but not limited to metrics and summary data for uniform reporting categories).</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff when superseded or obsolete.	
Retention Period	Other: Destroy/delete 3 years after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

DAA-0060-2021-0003-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Inquiries/Working Files	

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Item Description	<p>Records pertaining to the identification and information involving concerns, disputes, and issues presented to the Ombuds, such as documentation used to informally track concerns, disputes, and those that aid in the development of solutions or resolutions. Documentation relates to confidential discussions and information protected from access, review, or inspection other than by officials of the Ombuds. These records and information are collected anonymously and retained temporarily only in efforts to resolve concerns, disputes, and issues presented.</p> <p>Records may include, but are not limited to non-attributed issue summaries, dispute resolution communications, research, notes, and email of the neutral parties or non-party participants, and supporting documentation related to the issue or concern. In accordance with the Administrative Dispute Resolution Act of 1996 and the International Ombuds Association Standards of Practice and Code of Ethics, these issues relate to confidential discussions and are protected from inspection by all other persons, including management.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
N1-065-010-21/ 1/A	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff after case is closed (generally, cases are closed upon resolution, or one month after last contact)	
Retention Period	Other: Destroy/delete one month after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	Requested and Received	

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ITEM GENERAL INFORMATION		
Item Title	Issue Trend Information	
Item Description	Records pertaining to issue collection for the purposes of systemic trend analysis. Records are non-attributable ombuds case information related to high-level demographics and general reported issues, in most cases according to the International Ombuds Association uniform reporting categories, and are used to address systemic issues and report systemic trends to Agency leadership.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff upon resolution of the case.	
Retention Period	Other: Destroy/delete 10 years cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

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Signatory Information

Action	User	Date
Accept	Data Migration	06/07/2021
Approve	Colleen Shogan	08/17/2023