

Request for Records Disposition Authority

Records Schedule Number DAA-0059-2018-0001
 Schedule Status Approved

Agency or Establishment Department of State
 Record Group / Scheduling Group General Records of the Department of State
 Records Schedule applies to Major Subdivision
 Major Subdivision Secretary of State
 Minor Subdivision Office of the Ombudsman
 Schedule Subject Records of the Office of the Ombudsman
 Internal agency concurrences will be provided No

Background Information The Office of the Ombudsman promotes alternative dispute resolution and conflict prevention practices within the Department. The Ombudsman serves as an advisor to the Secretary of State and senior management and as an independent and impartial resource for any employee falling under chief of mission seeking assistance with issues and concerns related to the workplace environment. The Ombudsman is an independent, confidential, informal, and neutral conflict resolution practitioner. The Ombudsman maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of anyone contacting the Office of the Ombudsman in accordance with title 5 U.S.C § 571-584 and the International Ombudsman Association standards.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2 | 1 | 1 | 0 |

GAO Approval

0002

Outline of Records Schedule Items for DAA-0059-2018-0001

| Sequence Number | |
|-----------------|---|
| 1 | Office of the Ombudsman Program Files Disposition Authority Number: DAA-0059-2018-0001-0001 |
| 2 | Working Case Files Disposition Authority Number: DAA-0059-2018-0001-0002 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p data-bbox="354 421 906 453">Office of the Ombudsman Program Files</p> <p data-bbox="354 474 1130 506">Disposition Authority Number DAA-0059-2018-0001-0001</p> <p data-bbox="354 527 1458 815">Records related to the policy, organization and mission of the Office of the Ombudsman. These files include, but are not limited to, substantive correspondence; action and briefing memorandum; memoranda of conversation; publications; reports; issue papers; and other related information including relevant documentation by staff and advisors on the activities and responsibilities of the Ombudsman in the directing and carrying out of their duties. Excludes records related to confidential consultation and/or assistance regarding all State Department personnel, including anyone falling under chief of mission.</p> <p data-bbox="354 836 906 868">Final Disposition Permanent</p> <p data-bbox="354 889 841 921">Item Status Active</p> <p data-bbox="354 942 808 974">Is this item media neutral? Yes</p> <p data-bbox="354 995 797 1112">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="354 1155 656 1187">Disposition Instruction</p> <p data-bbox="354 1208 971 1240">Cutoff Instruction Cutoff annually.</p> <p data-bbox="354 1261 1490 1336">Transfer to the National Archives for Accessioning Transfer to NARA in 5 year blocks, when most recent record is 25 years old.</p> <p data-bbox="354 1368 656 1400">Additional Information</p> <p data-bbox="354 1421 1195 1517">What will be the date span of the initial transfer of records to the National Archives? Unknown Date span unknown at this time.</p> <p data-bbox="354 1538 1208 1634">How frequently will your agency transfer these records to the National Archives? Unknown Information unknown at this time.</p> |
| 2 | <p data-bbox="354 1719 623 1751">Working Case Files</p> <p data-bbox="354 1772 1130 1804">Disposition Authority Number DAA-0059-2018-0001-0002</p> <p data-bbox="354 1825 1446 1932">Records related to the identification of and information on concerns, disputes, and issues presented to the Ombudsman. This documentation summarizes tasks and is used informally to keep track of issues and aide in the development</p> |

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 files include but are not limited to non-attribution issue summaries, dispute resolution communications, outreach efforts, notes of work product of the neutral parties or non-party participants, summaries of descriptive statistics, and executive overview.

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? No

Disposition Instruction

Retention Period Cut off upon conclusion of the task. Destroy 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 |
|------------|--------------------------|------------------|---|--|
| 03/13/2018 | Certify | Timothy Kootz | Agency Records Officer | Bureau of Administration - Records and Archives Management Division A GIS IPS RA |
| 08/08/2018 | Return for Revision | Ann Gillette | Appraisal Archivist | National Archives and Records Administration - ACNR Records Management Services |
| 10/04/2018 | Submit For Certification | Shelia Prince | Records and Information Management Specialist | Bureau of Administration - A/GIS/IPS/RA |
| 10/10/2018 | Certify | Timothy Kootz | Agency Records Officer | Bureau of Administration - Records and Archives Management Division A GIS IPS RA |
| 11/20/2018 | Submit for Concurrence | Ann Gillette | Appraisal Archivist | National Archives and Records Administration - ACNR Records Management Services |
| 12/04/2018 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 12/04/2018 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 12/06/2018 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |