

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2016-0008

Schedule Status Approved

Agency or Establishment Department of Energy

Record Group / Scheduling Group General Records of the Department of Energy

Records Schedule applies to Department-wide

Schedule Subject Ombudsman Database

Internal agency concurrences will
be provided No

Background Information Background Information: The Secretary of Energy established the DOE Office of the Ombudsman Program (the “Program”) in March 2012. The Program records concern the development, administration, and evaluation of the Program, and the Program serves as an independent, confidential, informal, and neutral conflict resolution practitioner for DOE. The Program maintains communications with those seeking assistance through the Program and holds those communications in the strictest confidence. Program officials must take all reasonable steps to safeguard the anonymity and confidentiality of DOE employees seeking assistance or otherwise associated with the Program’s conflict resolution efforts. Program safeguards noted herein are in accordance with Title 5 U.S.C. Section 571-584 and also in keeping with the International Ombudsman Association standards, which advances the profession of organizational ombudsman and ensures that practitioners are able to work to the highest professional standards. This includes protecting the identity of individuals contacting the Program and protecting the information provided in confidence that is not disclosed.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

0001

Outline of Records Schedule Items for DAA-0434-2016-0008

Sequence Number

1	Master File/Database Disposition Authority Number: DAA-0434-2016-0008-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 649 411">Master File/Database</p> <p data-bbox="342 432 1153 464">Disposition Authority Number DAA-0434-2016-0008-0001</p> <p data-bbox="342 485 1498 709">Data content includes such case information as opened and closed case dates; the anonymous person's organization, office, risk level and the services provided to them; Program official's case notes; and, the Program's uniform reporting categories, such as the anonymous person's compensation and benefits, peer and colleague relationships, applicable legal and regulatory compliances, service/administrative issues raised, etc.</p> <p data-bbox="342 730 917 762">Final Disposition Temporary</p> <p data-bbox="342 783 852 814">Item Status Active</p> <p data-bbox="342 835 803 867">Is this item media neutral? No</p> <p data-bbox="342 888 1498 1003">Explanation of limitation Content includes electronic information created and maintained in an electronic database - an electronic information system.</p> <p data-bbox="342 1024 820 1140">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="342 1161 820 1276">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="342 1297 657 1329">Disposition Instruction</p> <p data-bbox="342 1350 1404 1423">Cutoff Instruction Cutoff in blocks as determined appropriate for business use.</p> <p data-bbox="342 1444 1498 1602">Retention Period Destroy at the conclusion or termination of the Ombudsman Program and/or its successor organization, or when determined no longer needed for statistical and related business uses.</p> <p data-bbox="342 1623 657 1654">Additional Information</p> <p data-bbox="342 1675 1096 1728">GAO Approval Required and Received</p>

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
07/11/2016	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
10/26/2016	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/31/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/01/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/03/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Executive Summary

Summary

The Department of Energy, requests disposition authority for Master files of an electronic information system containing records related to the ombudsman program including case file information, administrative issues raised, and services provided. These records have temporary value because they have little or no research value.

Permanent Item Numbers

Federal Register Notice

Required

Publication Date

2016-08-16

Copies Requested

01

Comments Received

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