

## Request for Records Disposition Authority

Records Schedule Number           DAA-0434-2016-0007

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 Program

Internal agency concurrences will  
be provided                        No

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 Federal employees. 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 the International Ombudsman Association 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

### GAO Approval

0002

## Outline of Records Schedule Items for DAA-0434-2016-0007

Sequence Number	
1	Ombudsman Program Files Disposition Authority Number: DAA-0434-2016-0007-0001
2	Ombudsman Working Case Files Disposition Authority Number: DAA-0434-2016-0007-0002

## Records Schedule Items

Sequence Number	
1	<p data-bbox="341 378 738 409"><b>Ombudsman Program Files</b></p> <p data-bbox="341 430 1153 462">Disposition Authority Number      <b>DAA-0434-2016-0007-0001</b></p> <p data-bbox="341 483 1502 714">Includes records pertaining to the establishment, mission, and function of the DOE Ombudsman Program, such as the Program charter and policies, and process records that address how the Program is managed and maintained. Information in the records may include information sheets and brochures showing past Program activities, including but not limited to metrics and summary data for uniform reporting categories.</p> <p data-bbox="341 735 917 766">Final Disposition                      <b>Permanent</b></p> <p data-bbox="341 787 852 819">Item Status                              <b>Active</b></p> <p data-bbox="341 840 820 871">Is this item media neutral?        <b>Yes</b></p> <p data-bbox="341 892 803 1018">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p data-bbox="341 1060 657 1092"><b>Disposition Instruction</b></p> <p data-bbox="341 1113 1477 1228">Cutoff Instruction                      <b>Cut off when superseded or obsolete. Records are paper so pre-accessioning is not allowed or an option.</b></p> <p data-bbox="341 1249 1477 1365">Transfer to Inactive Storage        <b>Transfer to FRC five years after cutoff. Records are paper so pre-accessioning is not allowed or an option.</b></p> <p data-bbox="341 1386 1485 1459">Transfer Electronic Records to the National Archives for Pre-Accessioning      <b>Transfer electronic records to the National Archives for pre-accessioning immediately after never</b></p> <p data-bbox="341 1480 1453 1564">Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff.</b></p> <p data-bbox="341 1606 657 1638"><b>Additional Information</b></p> <p data-bbox="341 1659 836 1690">First year of records accumulation      <b>2012</b></p> <p data-bbox="341 1711 1226 1806">What will be the date span of the initial transfer of records to the National Archives?      <b>Unknown Agency will determine date span</b></p> <p data-bbox="341 1827 1177 1911">How frequently will your agency transfer these records to the National Archives?      <b>Unknown To be determined by agency.</b></p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	.025 Cubic feet	.001 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

**Ombudsman Working Case Files**

Disposition Authority Number      **DAA-0434-2016-0007-0002**

Includes records pertaining to the identification and information involving concerns, disputes, and issues presented to the DOE Ombudsman Program (the "Program"), such as documentation summarizing tasks used to informally track concerns, disputes and issues, and those that aide in the development of solutions or resolutions. The tasks relate to confidential discussions and information protected from access, review or inspection other than by officials of the DOE Office of the Ombudsman. The records and information are collected anonymously and retained temporarily only in efforts to resolve concerns, disputes, and issues presented to the Program. The records may include, but are not limited to, non-attributed issue summaries, dispute resolution communications, outreach efforts, work product notes 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?      **No**

**Disposition Instruction**

Cutoff Instruction                      **Cut off after case is concluded or closed.**

Retention Period                        **Destroy immediately 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
08/05/2016	Certify	Maria Levesque	Director of Records Management Services	Office of the Chief Information Officer - Records Management Program Office
12/02/2016	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/06/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/06/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/08/2016	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 records relating to the Ombudsman program including case files. These records have temporary value because they have little or no research value. Proposed for permanent retention are the charter, mission statement, and statistical analysis. These records are permanent because they have high potential research value.

Permanent Item Numbers	0001
Federal Register Notice	Required
Publication Date	2016-10-19
Copies Requested	01
Comments Received	0