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Date: September 2, 2016
Appraiser: Steven B. Rhodes, ACRA
Agency: Department of Energy
Subject: DAA-0434-2016-0007

INTRODUCTION

Schedule Overview Ombudsman Program

Background

Like similar programs across the Federal government, the Department of Energy's Ombudsman Program manages informal mediation between employees and management. It provides an opportunity for employees to voice concerns while recommending avenues to resolve issues. In keeping with the Ombudsman Code of Ethics, the program is unaligned, impartial and strictly confidential. Employees are not identified by name or position. Owing to this rule of confidentiality the permanent records of the program are limited to memorandum on the establishment of the program, the Ombudsman charter, the program mission, policy documents, a three panel brochure on the program available to staff and an annual two page, front and back, statistical breakdown of issues discussed between employees and the program staff, amounting to some 46 pages of paper and a brochure with annual accumulation of 4 pages. All other records generated by the program are temporary.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 1: Ombudsman Program Files

Statement of mission, charter, memorandum on establishment of program, informational brochure and statistical report.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*High potential research value.

*Other. Similar items approved as permanent (DAA-0537-2014-0001, item 1).

Adequacy of Proposed Transfer Instructions: Appropriate

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Media Neutrality: Requested and approved.

Item 2: Ombudsman Working Case Files

Case files on concerns, issues and disputes presented to the Ombudsman Program.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Little or no research value.

*Other. Similar records approved as temporary (N1-576-09-3, item A12d(2)).

*Other. Administrative in nature.

Adequacy of Proposed Retention Period(s):

*Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Requested and approved.



STEVEN B. RHODES

Appraiser, Agency Services