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## Request for Records Disposition Authority

Records Schedule Number           DAA-0434-2016-0007  
 Schedule Status                    Appraiser Working Version

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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><b>Ombudsman Program Files</b></p> <p>Disposition Authority Number      <b>DAA-0434-2016-0007-0001</b></p> <p>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>Final Disposition                              <b>Permanent</b></p> <p>Item Status    <b>Pending</b></p> <p>Is this item media neutral?                      <b>Yes</b></p> <p>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><b>Disposition Instruction</b></p> <p>Cutoff Instruction                              <b>Cut off when superseded or obsolete.</b></p> <p>Transfer to Inactive Storage                      <b>Transfer to FRC five years after cutoff.</b></p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning                      <b>Transfer electronic records to the National Archives for pre-accessioning immediately after approval of the transfer by the National Archives.</b></p> <p>Transfer to the National Archives for Accessioning                      <b>Transfer to the National Archives 15 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation                      <b>2012</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?                      <b>Unknown</b> <b>Agency will determine date span</b></p> <p>How frequently will your agency transfer these records to the National Archives?                      <b>Unknown</b> <b>To be determined by agency.</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td><b>Electronic/Digital</b></td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	<b>Electronic/Digital</b>		
	Estimated Current Volume	Annual Accumulation						
<b>Electronic/Digital</b>								

Paper	.025 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**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                              **Pending**

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                      **Destroy immediately after conclusion or closure of the case.**

Retention Period                        **Destroy immediately after conclusion or closure of the case.**

**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

## Executive Summary

### Summary

Permanent Item Numbers           0001

Federal Register Notice

Publication Date

Copies Requested                   0

Comments Received                 0