

This document was requested and posted by AltGov2

www.altgov2.org/records-destruction-requests

PENDING - NOT APPROVED FOR USE

Request for Records Disposition Authority

Records Schedule Number DAA-0059-2018-0001

Schedule Status Appraiser Working Version

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

PENDING - NOT APPROVED FOR USE

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 |

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

Records Schedule Items

Sequence Number	
1	<p data-bbox="341 380 917 411">Office of the Ombudsman Program Files</p> <p data-bbox="341 432 1149 464">Disposition Authority Number DAA-0059-2018-0001-0001</p> <p data-bbox="341 485 1487 789">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="341 810 917 842">Final Disposition Permanent</p> <p data-bbox="341 863 878 894">Item Status Pending</p> <p data-bbox="341 915 818 947">Is this item media neutral? Yes</p> <p data-bbox="341 968 805 1094">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="341 1136 659 1167">Disposition Instruction</p> <p data-bbox="341 1188 984 1220">Cutoff Instruction Cutoff annually.</p> <p data-bbox="341 1241 1520 1314">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="341 1356 654 1388">Additional Information</p> <p data-bbox="341 1409 1214 1493">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="341 1514 1230 1608">How frequently will your agency transfer these records to the National Archives? Unknown Information unknown at this time.</p>
2	<p data-bbox="341 1713 623 1745">Working Case Files</p> <p data-bbox="341 1766 1154 1797">Disposition Authority Number DAA-0059-2018-0001-0002</p> <p data-bbox="341 1818 1474 1923">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>

PENDING - NOT APPROVED FOR USE

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 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

Retention Period Cut off upon conclusion of the task. Destroy after cutoff.

Additional Information

GAO Approval Required and Received

PENDING - NOT APPROVED FOR USE

PENDING - NOT APPROVED FOR USE

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

PENDING - NOT APPROVED FOR USE

Executive Summary

Summary

Permanent Item Numbers 0001

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

PENDING - NOT APPROVED FOR USE