

Request for Records Disposition Authority

Records Schedule Number DAA-0457-2016-0002

Schedule Status Approved

Agency or Establishment National Security Agency/Central Security Service

Record Group / Scheduling Group Records of the National Security Agency/Central Security Service

Records Schedule applies to Major Subdivision

Major Subdivision FOIA b(3)

Minor Subdivision Office of the Ombudsman

Schedule Subject NSA OMBUDSMAN Program

Internal agency concurrences will be provided No

Background Information Records concern the development, administration and evaluation of the NSA Ombudsman’s program. The Ombudsman is an independent, confidential, informal and neutral conflict resolution practitioner. The NSA Ombudsman maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of NSA employees in accordance with title 5 U.S.C. §571-584 and the International Ombudsman Association Standards. This includes protecting the identity of any individual contacting the NSA Ombudsman and the information provided in confidence and shall not be disclosed.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0457-2016-0002

Sequence Number	
1	NSA OMBUDSMAN Annual Reports: Disposition Authority Number: DAA-0457-2016-0002-0001
2	OMBUDSMAN Working Case Files: Disposition Authority Number: DAA-0457-2016-0002-0002

Records Schedule Items

Sequence Number	
1	<p>NSA OMBUDSMAN Annual Reports:</p> <p>Disposition Authority Number DAA-0457-2016-0002-0001</p> <p>These documents result from reporting of periodic summaries of the activities of the OMBUDSMAN and may be provided to the Executive/Director level, may also include periodic Ombudsman Annual Reports, Climate Reviews and Ad Hoc Briefings.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of the calendar year in which the record is created.</p> <p>Retention Period Destroy 4 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>OMBUDSMAN Working Case Files:</p> <p>Disposition Authority Number DAA-0457-2016-0002-0002</p> <p>These records relate to the identification and information on concerns, disputes, and issues presented to the NSA Ombudsman. This documentation summarizes task and is used to informally keep track of issues and aid in the development of solutions or resolutions that ultimately may include these tasks. These tasks relate to confidential discussions protected from any outside inspection other than the NSA Ombudsman, and information provided anonymously with the intent to help resolve the matter. These records may include but are not limited to, non-attribution issue summaries, dispute resolution communications, and outreach efforts, notes of work product of the neutral parties or non-party participants, summaries of descriptive statistics, and executive overview.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

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 closed
Retention Period	Destroy immediately after case is closed
Additional Information	
GAO Approval	Not Required

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
10/20/2015	Certify	NSA One	NSA User	NSA - NSA
07/07/2016	Submit for Concurrency	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
07/12/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/12/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/13/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Redactions have been made to this record control schedule pursuant to 5 U.S.C. 552(b)(3) with the corresponding statute 50 U.S.C. 402, noting National Security Agency Act of 1959, which protects from disclosure "information pertaining to the functions or organization of NSA and certain information pertaining to NSA employees." You will need to submit a Freedom of Information Act (FOIA) request to the Office of the General Counsel for the withheld information. Information on how to file a FOIA may be found here:

<http://www.archives.gov/foia/>