



LRC, 3/23/16

Date: February 29, 2016
Appraiser: Sean A. Curry, ACRA
Agency: National Security Agency / Central Security Services
Subject: DAA-0457-2016-0002

INTRODUCTION

Schedule Overview

Records of the Ombudsman

Background

Organizationally, the NSA Ombudsman falls within the Alternative Dispute Resolution (ADR) program, under the Associate Director for Corporate Leadership. Unlike other agency Ombudsman programs, the NSA/CSS program is internal only, and does not provide any services, resources, or referrals to members of the public.

The larger ADR program handles dispute resolutions and grievances. The Ombudsman program within ADR provides dispute resolution resources and support, similar to a “411 service.” The Ombudsman advertises as the “first step” in cases where an employee has a concern, but is not sure where to go, or whom to contact. They serve as a neutral and confidential resource for exploring options to resolve conflicts. They do not investigate cases, have direct involvement in any subsequent personnel-related (or other) formal actions, and do not oversee any stand-alone projects and activities outside of providing resources and possibly referrals (such as to NSA Human Resources, or EEOC).

NOTE: This schedule pertains to the Ombudsman only, not to the related offices within the larger ADR program offices, under the Associate Director for Corporate Leadership. Program and policy records (generally permanent) related to the Ombudsman are within the higher offices, and will be addressed in other schedules as required.

Overall Recommendation

I recommend approval with proposed changes to one or more items, as provided below.

APPRAISAL

NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION

8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001

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NOTE: NSA will be required to change the schedule from “agency-wide” to being specific to the Ombudsman, within the Associate Director for Corporate Leadership.

Item 0001: Ombudsman Annual Reports

Statistical reports on the number, and types, of cases the office is involved within a given time period.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Captured elsewhere in permanent records. Annual reports are sent to the Executive Director of NSA, and captured in those records, specifically Executive Files, N1-457-07-01, item 300. DoD rules also require that certain statistical reports be sent up to the DoD Alternative Dispute Resolution (ADR) Office; and regulations also require certain reporting to EEOC.
- * Does not document significant actions of Federal officials. Data summarized is related to administrative processes, not NSA/CSS missions.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

Item 0002: Ombudsman Working Case Files

As mentioned above, the office primarily provides support and referral services. An example of a case is one where an employee wanted to discuss “supervisory feedback” with his/her Director, and sought out advice from the Ombudsman. The case file provides the basic contact information for the employee, meeting dates and summaries, notes used during “role play exercises,” a summary of all options discussed with the employee, etc. To date, cases worked through the Ombudsman include: 1) pay/promotional disputes (majority); 2) peer-to-peer conflicts; 3) policy conflict issues; 4) job assignment concerns; and 5) customer service and other NSA services concerns (parking, cafeteria concerns, etc.).

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

- * Does not document significant actions of Federal officials.
- * Similar records approved as temporary. National Geospatial Intelligence Agency, DAA-0537-2014-0001, item 0002 Ombudsman Case Files.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

The short retention for these records supports the level of confidentiality afforded NSA staff members who utilize the Ombudsman for assistance.

Media Neutrality: Approved.

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