

ED Records Schedule

SCHEDULE LOCATOR NO.: 052

APPROVED DATE: 05/13/2010

TITLE: Ombudsman Case Files

PRINCIPAL OFFICE: Federal Student Aid (FSA)

NARA DISPOSITION AUTHORITY: N1-441-09-21

DESCRIPTION:

The Ombudsman serves as a principal advisor to the Chief Operating Officer by providing expert findings, advice, and recommendations on matters pertaining to Federal Student Aid program development and operational effectiveness. To accomplish this mission, the Ombudsman:

- Provides timely assistance to borrowers of loans made, insured, or guaranteed;
- Receives, reviews, and attempts to informally resolve complaints from loan borrowers;
- Serves as an impartial resource to mediate disputes internally without the need for outside arbitration;
- Develops a deep knowledge of business issues that face Federal Student Aid borrowers and partners;
- Gathers information about business trends that impact Federal Student Aid's ability to anticipate and address customers needs; and
- Reviews Federal Student Aid's operations and recommends quality improvements.

The Ombudsman Case Files document the Ombudsman Office's efforts to address and resolve borrower's complaints related to student loans. The complaint files are maintained in hardcopy and also scanned into the Ombudsman Case Tracking System (OCTS) for tracking. The Ombudsman collects, tracks, and monitors complaints from borrowers or their representatives and the steps taken to resolve the case. The Ombudsman receives, reviews, and attempts informal resolution of complaints after all other avenues of customer service have been exhausted.

DISPOSITION INSTRUCTIONS:

a. Ombudsman Case Files

TEMPORARY

Cut off on close of case or final determination. Destroy 10 years after cutoff.

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b. Ombudsman Case Tracking System (OCTS) Master Data Files

OCTS supports and tracks the life cycle of activities that capture and manage the case history data associated with the assistance provided to Ombudsman customers to resolve their federal student aid issue(s). Systems data includes information on individual customers and cases; related activities and issues; image files of relevant documentation; and other information that comprise the FSA Ombudsman knowledge base. Records include, but are not limited to, written documentation of the individual's complaint; request for assistance or other inquiry; information pertaining to the student's or parent's Title IV student financial assistance program account(s), such as the person's name, Social Security number, date of birth, address, telephone number(s) and personal identification number. Additionally, records include the name, address, and phone numbers of school(s), lender(s), secondary holder(s) or lender(s), guaranty agency(ies), and servicer(s). Records are maintained for the period of time needed to resolve cases, conduct analyses and prepare reports.

TEMPORARY

Cut off on close of case or final determination. Destroy 10 years after cutoff.

c. Duplicate Copies Regardless of Medium Maintained for Reference Purposes and That Do Not Serve as the Record Copy

TEMPORARY

Destroy/delete when no longer needed or reference or business purposes.

IMPLEMENTATION GUIDANCE:

Follow the disposition instructions in ED 086 for system software; input/source records; output and reports; and system documentation.

ARRANGEMENT / ANNUAL ACCUMULATION:

PREVIOUS NARA DISPOSITION AUTHORITY:

SPECIFIC LEGAL REQUIREMENTS:

Title IV, Higher Education Act (HEA) of 1965, as amended

SPECIFIC RESTRICTIONS:

Privacy Act 18-11-11 Office of the Student Loan Ombudsmen Records

LINE OF BUSINESS: Loans