

Request for Records Disposition Authority

Records Schedule Number **DAA-0241-2018-0005**
 Schedule Status **Modified Approved Version**

Agency or Establishment **Patent and Trademark Office**
 Record Group / Scheduling Group **Records of the Patent and Trademark Office**
 Records Schedule applies to **Major Subdivision**
 Major Subdivision **USPTO Ombudsman Office**
 Schedule Subject **USPTO Office of the Ombudsman Records**
 Internal agency concurrences will be provided **No**

Background Information The records concern the functions and administration of the USPTO Office of the Ombudsman ("Office") The Office is an independent, confidential, informal, and impartial conflict resolution practitioner, and it maintains all communications with those seeking its assistance in strict confidence The Office takes all reasonable steps to safeguard the anonymity and confidentiality of its inquirers in accordance with 5 U S C § 571-584 and International Ombudsman Association standards This includes protecting the identity of any individual contacting the Office as well as any information that could be used to identify that individual

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	1	6	0

GAO Approval

0003, 0004

Outline of Records Schedule Items for DAA-0241-2018-0005

Sequence Number	
1	Ombudsman Official Correspondence Disposition Authority Number DAA-0241-2018-0005-0001
2	Speeches and Presentations, Disposition Authority Number DAA-0241-2018-0005-0002
3	Inquiries and Resolutions Disposition Authority Number DAA-0241-2018-0005-0003
4	Inquiries – No Action Disposition Authority Number DAA-0241-2018-0005-0004
5	Statistical Tracking Records Disposition Authority Number DAA-0241-2018-0005-0005
6	Ombudsman Reports, Policies and Procedures Disposition Authority Number DAA-0241-2018-0005-0006
7	Congressional Correspondence Disposition Authority Number DAA-0241-2018-0005-0007

Records Schedule Items

Sequence Number	
1	<p>Ombudsman Official Correspondence</p> <p>Disposition Authority Number DAA-0241-2018-0005-0001</p> <p>Non-query specific correspondence, documenting official communications with such entities as the United States Ombudsman Association, International Ombudsman Association, and Coalition of Federal Ombudsman</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 o-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff files at the end of each calendar year in which activity has been completed</p> <p>Retention Period Destroy 3 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Speeches and Presentations</p> <p>Disposition Authority Number DAA-0241-2018-0005-0002</p> <p>Official copies of briefing materials, speeches, testimonies, accepted invitations, presentations and other records documenting the mission-critical work of the Ombudsman and their designee(s)</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 o-mail and word processing? No</p> <p>Disposition Instruction</p>

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Cutoff Instruction Cutoff files at the end of each calendar year in which activity has been completed

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Inquires and Resolutions

Disposition Authority Number DAA-0241-2018-0005-0003

Records include inquires from the public, reviews and analysis, correspondence, status updates, resolutions, and responses

Final Disposition Temporary

Item Status Inactive

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

Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number DAA-0241-2019-0002-0001

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Disposition Instruction

Cutoff Instruction Cutoff files when activity has been completed

Retention Period Destroy 1 year(s) after cutoff

Additional Information

GAO Approval Required and Received

Inquires – No Action

Disposition Authority Number DAA-0241-2018-0005-0004

Records created and received in the course of USPTO business that did not result in any analysis by the USPTO Office of the Ombudsman

Final Disposition Temporary

Item Status Active

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

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Disposition Instruction

Cutoff Instruction Cutoff files when no action was taken Destroy/delete upon closure

Retention Period Destroy 1 year(s) after cutoff

Additional Information

GAO Approval Required and Received

Statistical Tracking Records

Disposition Authority Number DAA-0241-2018-0005-0005

Records created to track the number and subject matter of inquiries, including spreadsheets and data collection activity

Final Disposition Temporary

Item Status Active

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 Cutoff at the end of each calendar year

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Ombudsman Reports, Policies and Procedures

Disposition Authority Number DAA-0241-2018-0005-0006

Periodic and annual reports to internal and external officials, and to Congress Records of the high-level management, oversight and direction of the Office of the Ombudsman to include policies procedures, projects and management decisions

Final Disposition Permanent

Item Status Active

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 files at the end of each calendar year or after being superseded**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

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Congressional Correspondence

Disposition Authority Number **DAA-0241-2018-0005-0007**

Correspondence from and with members of Congress, consisting of congressional program management questions and comments, and requests for testimony

Final Disposition **Temporary**

Item Status **Active**

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	Cutoff files at the end of each calendar year in which activity has been completed
Retention Period	Destroy 3 year(s) after cutoff
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
08/17/2018	Certify	Ivan King	Records Management Specialist	Office of the Chief Information Office - Records and Information Governance Division
06/26/2019	Submit for Concurrence	Valene Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
07/05/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/08/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/10/2019	Approve	David Ferrero	Archivist of the United States	Office of the Archivist - Office of the Archivist