

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0241-2018-0005

Status: INACTIVE
Date Approved: 07/10/2019

General Information

Agency or Establishment	United States Patent and Trademark Office
Record/Scheduling Group	0241 - Records of the Patent and Trademark Office
Records Schedule Applies To	Agency Subdivision
Major Subdivision	USPTO Ombudsman Office
Schedule Subject	USPTO Office of the Ombudsman Records
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>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.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 7

Number of Temporary disposition items: 6

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 7

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

Item #	Title	Disposition
0001	Ombudsman Official Correspondence	Temporary
0002	Speeches and Presentations	Temporary
0003	Inquiries and Resolutions	Temporary
0004	Inquiries – No Action	Temporary
0005	Statistical Tracking Records	Temporary
0006	Ombudsman Reports, Policies and Procedures	Permanent
0007	Congressional Correspondence	Temporary

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Records Schedule Items

DAA-0241-2018-0005-0001		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Ombudsman Official Correspondence	
Item Description	Non-query specific correspondence, documenting official communications with such entities as the United States Ombudsman Association, International Ombudsman Association, and Coalition of Federal Ombudsman.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0001 on 05/05/2026.		
Final Disposition	Temporary	
Cutoff Instructions	Other: 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		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0241-2018-0005-0002		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Speeches and Presentations	
Item Description	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).	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		

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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0002 on 05/05/2026.	
Final Disposition	Temporary
Cutoff Instructions	Other: 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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0241-2018-0005-0003	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Inquiries and Resolutions
Item Description	Records Include inquiries from the public, reviews and analysis, correspondence, status updates, resolutions, and responses.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0241-2019-0002-0001 on 05/19/2023.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff files when activity has been completed.
Retention Period	Destroy 1 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	

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GAO Approval Required	Requested and Received
DAA-0241-2018-0005-0004	
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Inquiries – No Action
Item Description	Records created and received in the course of USPTO business that did not result in any analysis by the USPTO Office of the Ombudsman.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0003 on 05/05/2026.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff files when no action was taken. Destroy/delete upon closure.
Retention Period	Destroy 1 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	Requested and Received

DAA-0241-2018-0005-0005	
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Statistical Tracking Records
Item Description	Records created to track the number and subject matter of inquiries, including spreadsheets and data collection activity.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0004 on 05/05/2026.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at the end of each calendar year.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0241-2018-0005-0006	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Ombudsman Reports, Policies and Procedures
Item Description	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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0005 on 05/05/2026.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off files at the end of each calendar year or after being superseded.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
ADDITIONAL INFORMATION	

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Approximate first year of records covered by this authority	2015
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2015 To: --/--/2016
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0241-2018-0005-0007	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Congressional Correspondence
Item Description	Correspondence from and with members of Congress, consisting of congressional program management questions and comments, and requests for testimony.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0241-2025-0002-0006 on 05/05/2026.	
Final Disposition	Temporary
Cutoff Instructions	Other: 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	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	07/10/2019



Office of the Chief
Records Officer for the
U.S. Government

This schedule was signed outside of the ERA system using Standard Form 115.

NARA staff updated ERA to reflect this approval, moving the record schedule into an approved status. The approved status allows for generation of a PDF indicating that the schedule has been approved, and allows an agency to use the schedule in ERA to create transfer requests. The approved date in the system and on the PDF version of the records schedule reflects the system actions.