

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0241-2025-0002

Status: APPROVED
Date Approved: 05/05/2026

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 | Office of the Ombuds |
| Schedule Subject | USPTO Office of the Ombuds Records |
| Additional Schedule Information | <p>The records concern the functions and administration of the USPTO Office of the Ombuds ("Office"), formerly Office of the Ombudsman. 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 USC § 571-584 and International Ombuds 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? | No - the records covered by this schedule do not implicate Tribal interests |

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Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 5

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0241-2025-0002

| Item # | Title | Disposition |
|---------------|---|--------------------|
| 0001 | Ombuds Official Correspondence | Temporary |
| 0002 | Speeches and Presentations | Temporary |
| 0003 | Inquiries and Resolutions | Temporary |
| 0004 | Statistical Tracking Records | Temporary |
| 0005 | Ombuds Reports, Policies and Procedures | Permanent |
| 0006 | Congressional Correspondence | Temporary |

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Records Schedule Items

| | | |
|---|--|-----------------------|
| DAA-0241-2025-0002-0001 | | STATUS: Active |
| ITEM GENERAL INFORMATION | | |
| Item Title | Ombuds Official Correspondence | |
| Item Description | Non-query specific correspondence, documenting official communications with such entities as the United States Ombudsman Association, International Ombuds Association, and Coalition of Federal Ombuds. | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0241-2018-0005-0001 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Temporary | |
| Cutoff Instructions | Cut off at end of Calendar year after last date modified | |
| Retention Period | Destroy 3 year(s) after cutoff | |
| ADDITIONAL INFORMATION | | |
| Are any of the records covered by this item national security classified? | No | |
| GAO Approval Required | No | |

| | | |
|---|--|-----------------------|
| DAA-0241-2025-0002-0002 | | STATUS: Active |
| 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 Ombuds and their designee(s). | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |

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|---|--|
| Does this item supersede existing disposition authorities? | Yes |
| | Superseded Items |
| Superseded Item | Item Superseded in Part? Explanation |
| DAA-0241-2018-0005-0002 | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Temporary |
| Cutoff Instructions | Cut off at end of Calendar year after last date modified |
| Retention Period | Destroy 3 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

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|---|--|
| DAA-0241-2025-0002-0003 | STATUS: Active |
| ITEM GENERAL INFORMATION | |
| Item Title | Inquiries and Resolutions |
| Item Description | Records include inquiries for ombuds services, as well as reviews and analysis, correspondence, notes, status updates, resolutions, and responses related to such inquiries. |
| Is this item media neutral? | Yes |
| Is this item a Big Bucket? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | Yes |
| | Superseded Items |
| Superseded Item | Item Superseded in Part? Explanation |
| DAA-0241-2018-0005-0004 | No |
| DAA-0241-2019-0002-0001 | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Temporary |
| Cutoff Instructions | Cut off after closure or resolution. |
| Retention Period | Destroy immediately after cutoff |

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| ADDITIONAL INFORMATION | |
|---|----|
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

| DAA-0241-2025-0002-0004 | | STATUS: Active |
|---|---|----------------|
| 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? | No | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0241-2018-0005-0005 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Temporary | |
| Cutoff Instructions | Cut off at end of Calendar year after last date modified | |
| Retention Period | Destroy 3 year(s) after cutoff | |
| ADDITIONAL INFORMATION | | |
| Are any of the records covered by this item national security classified? | No | |
| GAO Approval Required | No | |

| DAA-0241-2025-0002-0005 | | STATUS: Active |
|-----------------------------|---|----------------|
| ITEM GENERAL INFORMATION | | |
| Item Title | Ombuds 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 Ombuds to include policies procedures, projects and management decisions. | |
| Is this item media neutral? | Yes | |

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|--|---|
| Is this item a Big Bucket? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | Yes |
| Superseded Items | |
| Superseded Item | Item Superseded in Part? Explanation |
| DAA-0241-2018-0005-0006 | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Permanent |
| Cutoff Instructions | Cut off at end of Calendar year after last date modified |
| Are there multiple instructions for this item? | No |
| Transfer Instruction | Transfer to the National Archives 15 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Current Records Format | Born Digital - Textual Data:540 KB |
| Approximate first year of records covered by this authority | 2016 |
| End year of records covered by this authority | Still being created |
| Date span of the initial transfer | From: 06/24/2016 To: 12/31/2016 |
| Frequency of transfer | 1 |
| Are any of the records covered by this item subject to a FOIA exemption? | No |

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|---|--|
| DAA-0241-2025-0002-0006 | STATUS: Active |
| 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? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | Yes |
| Superseded Items | |

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| Superseded Item | Item Superseded in Part? | Explanation |
|---|--|-------------|
| DAA-0241-2018-0005-0007 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Temporary | |
| Cutoff Instructions | Cut off at end of Calendar year after last date modified | |
| Retention Period | Destroy 3 year(s) after cutoff | |
| ADDITIONAL INFORMATION | | |
| Are any of the records covered by this item national security classified? | No | |
| GAO Approval Required | No | |

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Signatory Information

| Action | User | Date |
|---------------|---------------------------------|-------------|
| Approve | Edward Forst (Acting Archivist) | 05/05/2026 |



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.