

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NT 241-05-2</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>12/13/2004</i>	
1. FROM (Agency or establishment) United States Patent and Trademark Office (USPTO)		NOTIFICATION TO AGENCY	
		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of the Chief Information Officer			
3. MINOR SUBDIVISION Architecture, Engineering and Technology Services, Office of Data Architecture and Services			
4. NAME OF PERSON WITH WHOM TO CONFER Susan K. Brown Records Officer	5. TELEPHONE NUMBER 703-308-7400 571-272-5429	DATE <i>12/10/04</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Williams</i>
6. 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 on the attached ___ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>12-10-2004</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K Brown</i>		TITLE USPTO Records Officer
7. ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1-5	U.S. Patent and Trademark Office Dissemination Records These records are products, publications and service-related materials that are unique to the mission of the U.S. Patent and Trademark Office, specifically to the dissemination of intellectual property information.	see attached	
<i>cc Agency DWMD DWME DWMW DWES</i>			

DISSEMINATION BUCKET

The U.S. Patent and Trademark Office (USPTO) disseminates information through products, publications and access to certain active federal records.

The primary mission of USPTO information dissemination is to promote awareness of, and provide effective access to, patent and trademark information. The USPTO publishes and disseminates patent and trademark information throughout the world, maintains public search files of U.S. and foreign patents, trademark files and other materials for the public. The Office offers copies of patents and trademarks and official records to the public. The Office publishes documentation of certain agency actions in its Official Gazette.

Information contained in patents and trademarks represents an extraordinary collection of technological and business resources, much of which is not available from other sources. Dissemination of this data allows for researchers to understand and build on new technologies disclosed through the patent process. It is estimated that every week, tens of thousands of individuals make economically significant decisions based on the information the USPTO disseminates.

As these records may be maintained in different media and formats, this schedule is written to authorize the disposition of the records in any media (media neutral). Records that are designated for permanent retention and are created and maintained electronically will be transferred to NARA in an approved electronic format. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards. Transfer permanent electronic records to the National Archives along with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer. Transfer of permanent electronic records to the National Archives will take place sooner than textual records, based on instructions below.

PERMANENT:

Official USPTO Publications and Indices

TEMPORARY:

**Patent and Trademark Depository Library (PTDL) Dissemination Files
USPTO Non-Core Official Products and Publications (Extra Copies)
Preliminary Input Files for Dissemination Products and Publications
Information Dissemination Product Reference
Operations Support for Dissemination**

PERMANENT

1 - Official USPTO Publications and Indices

These are records that represent important core publications and disseminated information products that are used by the public. They support the mission of the USPTO in disseminating information critical to the process of granting patents and registration of trademarks.

Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

1a

U.S. Patent and Trademark Office Core Publications

Includes the record copy of the *Official Gazette* of Patents and Trademarks, which is an official publication of the USPTO of newly issued patents, trademarks, expired patents, official USPTO notices, and other related publications and indexes.

RETENTION:

Permanent: Transfer publicly available core publications to NARA annually when 5 years old. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

1b

Patent and Trademark Depository Library (PTDL) Dissemination Files

Record copies of newsletters, publications, and outreach materials of the Patent and Trademark Depository Library Program that illustrate the mission, history, and operation and services of the PTDL, lists the basic resources held within every PTDL's collection, lists of the address and telephone number of all current PTDLs, lists of optical disc products available for public used at all PTDLs, descriptions of the ways in which this unique resource can be used, outlines of a suggested procedure for patent searching, outlines of a suggested procedure for trademark searching. Also included are miscellaneous publications such as patent document kind codes, USPTO Search Facilities hours and locations, the document disclosure program, and the international schedule of classes of goods and services.

RETENTION:

Permanent: If in paper format, break files annually and transfer to NARA 20 years after closure. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

1c

U. S. Patent and Trademark Office Historical Reference Materials

These materials were once in use by the USPTO as active records for conducting business; they are currently used for agency business as public reference materials. They date to the 19th and 20th centuries and includes "prior art" files seized from Germany during WWII.

RETENTION:

Permanent: Transfer to NARA when no longer needed for agency business.

1d

USPTO Non-Core Products and Publications (NARA Copy)

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. One copy of each is transferred to NARA. Information also is published for public awareness and understanding of the USPTO functions and processes. These non-core official record copy products and publications include, but are not limited to the following: published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale .

RETENTION:

Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

TEMPORARY

2 – Patent and Trademark Depository Library (PTDL) Dissemination Files

The USPTO manages a national network of Patent and Trademark Depository Libraries and regional Partnership Libraries that supports the USPTO information services for the public. The USPTO provides information to these libraries, which are located throughout the United States. Materials include the correspondence with the program participants, memoranda, training and conference materials disseminated to the PTDLs.

RETENTION:

Temporary: Destroy when 10 years old.

3 - USPTO Non-Core Products and Publications (Extra Copies)

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. Information is published for public awareness and understanding of the USPTO functions and processes. These non-core USPTO products and publications include, but are not limited to the following: published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale .

RETENTION:

Temporary: Destroy 2 years after superseded.

4 - Preliminary Input Files for Dissemination Products and Publications

Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.

RETENTION

Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference.

5 - Information Dissemination Product Reference

This covers information products, public reference data bases, and publications that are short-term temporary materials associated with reference and bibliographic materials. These products are inherently non-record but are considered short-term temporary records because of the nature of supporting the unique dissemination mission of the USPTO. Materials posted to the Web that are used for public reference are considered to be dissemination products. The USPTO develops and constantly improves upon methods of disseminating Patent and Trademark information. The office recognizes a certain number of these methods as "search systems." These product references are disseminated both free of charge and through subscriptions.

RETENTION:

Temporary: Delete when no longer needed for current agency business.

6 - Operations Support for Dissemination

Includes records that support the administration of USPTO-unique dissemination programs. Related materials are found in program-specific buckets. Includes infrastructure documentation and agreements that allow for the administration of dissemination programs, including off-site partnerships with libraries, and pre-publication administrative operations.

6a

Patent and Trademark Depository Library (PTDL) Partnership Files

Files containing the Service Level Agreements negotiated between USPTO and PTDLs and background source materials. Materials articulate rights and responsibilities of participants, and establishes review periods and procedures. Arranged by PTDL.

RETENTION:

Temporary: Destroy 20 years after closure

6b

Search and Information Resources Administrator's Subject Files

News articles, memos, reports, issuances, and committee handouts used as resources supporting the administration of patent information dissemination. Subjects include, but are not limited to, automation of patent processes, budgets, classification operations, monthly reports, and international intellectual property agreements and trends.

RETENTION:

Temporary: Close inactive files at the end of each fiscal year and destroy 5 years after closure

6c

Customer Infraction Files

Records relating to public customer infractions of regulations; includes original communication, warning letters, and resolution.

RETENTION:

Temporary: Destroy 5 years after the complaint is settled or the case is resolved, or 5 years after the last entry

6d

Public Search Room Production and Services

Reports of USPTO public search room administration, including comments from the public related to service issues, reports on activities, such as production and general activities.

RETENTION:

Temporary: Destroy when 2 years old; maintain no longer than 10 years

6e

Publication Production Controls

Folders documenting the internal management of production control for each issue of the *Official Gazette* or other publication of the USPTO. Includes records that track information sent to and returned by the contractor, withdrawal notices, print orders, and tape lists.

RETENTION:

Temporary: Destroy 1 year after issue, or when no longer needed for reference, whichever is sooner

6f

Quality Review of Data Issued on Media

Verification copies of media products, such as CD-ROM products. Used to check for errors before release for sale and to verify problems reported by users after release.

RETENTION:

Temporary: Destroy when superseded by 2 editions.

6g

Search Room Online Service Accounts

File of applications for public use of the Patent Search Room systems.

RETENTION:

Temporary: Destroy after all credentials are accounted for

6h

Incidence and Distribution Reports

Reports used to analyze incidence and distribution of patents or other disseminated USPTO products by various characteristics such as class, type, or geography.

RETENTION:

Temporary: Destroy when superseded or no longer needed

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF115 Item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/Comments	USPTO notes (6/20/06)
1 - Official USPTO Publications and Indices									
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	Official Gazette of the USPTO: Patents	N1-241-96-3 #63a	Patents	same	
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	Official Gazette of the USPTO: Trademarks	no citation	Trademarks	New	
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	Indexes of Patents Issued	N1-241-96-3 #64a	Patents	same	
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	U.S. Patent Classification Manual	N1-241-96-7 #53a	Patents	same	
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	Inventor's Index	N1-241-97-1 #8a, b	Patents	same	
1a	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Core Publications	Permanent	transfer to NARA when 5 years old	Published Trademarks - Microfilm	N1-241-96-6 #42c	Patents	same - decrease in transfer period	OK
1b	OFFICIAL USPTO PUBLICATIONS AND INDICES	PTDL Program Publications	Permanent	transfer to NARA 20 years after closure	PTDL Program Newsletter and Publications	N1-241-96-4 #13a	OCIO	same	
1c	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Historical Reference Materials	Permanent	transfer to NARA when no longer needed for agency business	Trademark Adversary Proceedings Index	N1-241-96-4 #44a	General Counsel	same	
1c	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Historical Reference Materials	Permanent	transfer to NARA when no longer needed for agency business	Alien Property Custodian File	N1-241-96-4 #26	OCIO	correct citation is #26 - perm.	corrected
1c	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Historical Reference Materials	Permanent	transfer to NARA when no longer needed for agency business	Trademark Registrations Bound volumes	N1-241-96-4 #35	OCIO	same	
1c	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Historical Reference Materials	Permanent	transfer to NARA when no longer needed for agency business	Index of Trademarks	N1-241-96-4 #34	Trademarks	same	
1c	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO Historical Reference Materials	Permanent	transfer to NARA when no longer needed for agency business	Index of Patents	no citation	Patents	New	
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Patent and Trademark Assignment Text Files	N1-241-96-5 #67b	OCIO	same	Added 6/28/06
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Patent and Trademark Assignments - Microfilm, Index	N1-241-96-4 #4b,c	OCIO	same	Added 6/28/06
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Trademark Assignments and Indexes - Assignment Microfilm	N1-241-96-4 #47a	OCIO	same	Added 6/28/06

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF115 Item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Releasement/ Comments	USPTO notes (6/30/06)
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Information Dissemination Organization Products and Services	no citation	OCIO; throughout the USPTO	New	
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Photo composition Reports	no citation	OCIO	New	Assumption 96-6 #18 (moved to sub item 3 section) would be copies; this would be a new official series
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Notices of Decisions Patent Appeals	no citation	General Counsel: BPAI	New	Assumption 96-5 #26 (moved to sub item 3 section) would be copies; this would be a new official series
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Roster of Attorneys/Agents Registered to Practice Before the USPTO	no citation	General Counsel; OED	New	Assumption 241-96-1 #33a,b is the correct old cite for this series (moved to sub item 3 section) would be copies; this would be a new official series.
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Trademark Trial and Appeal Board Manual	no citation	General Counsel - TTAB	New	
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Trademark Acceptable Identification of Goods and Services Manual	no citation	Trademarks	New	

BUCKET TITLE: DISSEMINATION - CROSSWALK

7/27/2006

SF115 item	subbucket	subsubbucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/24/06)
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	All other products and publications used solely for public awareness	no citation	various offices throughout USPTO	New	
1d	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (NARA Copy)	Permanent	Transfer one copy to NARA after superseded.	Copies of Materials for sale	no citation	OCIO	New	

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF116 Item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/20/06)
2 - Patent & Trademark Depository Library (PTDL) Dissemination Files									
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	PTDL Chron Files	N1-241-96-4 #10	OCIO	Reduction in retention from 20 to 10 years.	TRUE
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	APS Pilot Program	N1-241-96-4 #15	OCIO	Reduction in retention from 20 to 10 years.	TRUE
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	PTDL Numbered Memoranda Mailings	N1-241-96-4 #12	OCIO	Reduction in retention from 20 to 10 years.	TRUE
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	PTDL Files	N1-241-96-4 #9	OCIO	Reduction in retention from 25 to 10 years.	TRUE
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	PTDL Annual Conference Working papers	N1-241-96-4 #14	OCIO	Same - no change	
2	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	PATENT & TRADEMARK DEPOSITORY LIBRARY DISSEMINATION FILES	Temporary	Destroy when 10 years old	PTDL Partnership files/service level agreements	N1-241-96-4 #11	OCIO	Reduction in retention from 20 to 10 years.	TRUE
3 - USPTO Copies of Non-Core Official Products and Publications (Non-NARA copies)									
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Manual of Patent Examining Procedure	N1-241-96-7 #24b,c	Patents	Potential increase in retention from approved "when no longer needed"	Agreed. Will move to item 5 and keep language: "when no longer needed."

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF115 Item	subBucket	subBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/30/06)
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Information Dissemination Organization Products and Services	N1-241-96-4 #8a	OCIO; throughout the USPTO	Potential increase in retention from approved just what had been "a" and only needs to be kept 2 years. Part "b" will be moved to new item 5 (keep when no longer needed).	Actually should be split out; this series should be just what had been "a" and only needs to be kept 2 years. Part "b" will be moved to new item 5 (keep when no longer needed).
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Photo composition Reports	N1-241-96-6 #18	OCIO	same	
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Notices of Decisions Patent Appeals	N1-241-96-5 #26	General Counsel BPAI	Potential reduction in retention from 10 years old to 2 years after superseded	Yes - Notices of Decisions are published in the Official Gazette; would like to limit retention to 2 years after superseded
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Roster of Attorneys/Agents Registered to Practice Before the USPTO	N1-241-96-1 #33a, b	General Counsel: OED	Clarification of 'destroy when no longer needed'	Agency has a permanent record that will be part of IP Bucket; there is no need for extra copies to be retained for longer than 2 years after superseded
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Trademark Trial and Appeal Board Manual	no citation	General Counsel: TTAB	New	
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Trademark Acceptable Identification of Goods and Services Manual	no citation	Trademarks	New	

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF115 item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (9/20/06)
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Manual of Trademark Examining Procedures	no citation	various offices throughout USPTO	New	Note - Item # is meant to be inclusive of copies i.e. html or pdf that are posted on the Web that are duplicated in other series
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	All other products and publications used solely for public awareness	no citation	various offices throughout USPTO	New	Same as above
3	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Destroy 2 years after superseded	Copies of materials for sale	No citation	OCIO	New	Same as above

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF115 item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/30/06)
4	PRELIMINARY INPUT FILES	PRELIMINARY INPUT FILES	Temporary	Destroy 6 months after issue of the related publication or when no longer needed for reference, whichever is later sooner	Assignment source materials	no citation	OCIO	New	N1-241-96-4, item #4 or N1-241-98-5, item #67 - Permanent. These are now in Subitem 1d. This series is a new series they need to keep for a short time for verification purposes - no longer than 6 months
4	PRELIMINARY INPUT FILES	PRELIMINARY INPUT FILES	Temporary	Destroy 6 months after issue of the related publication or when no longer needed for reference, whichever is later sooner	Copy sales source material / Patent Copy Files	N1-241-96-4 #1	OCIO	Same	
4	PRELIMINARY INPUT FILES	PRELIMINARY INPUT FILES	Temporary	Destroy 6 months after issue of the related publication or when no longer needed for reference, whichever is later sooner	Galleys of Notices for the Official Gazette	N1-241-96-3 #73	OCIO, Patents, Trademarks	Correct citation is N1-241-98-3, item #73. Increase in retention from 'whichever is sooner' to 'whichever is later'	OK - Corrected to current citation, edit retention period to previous "whichever is sooner"
4	PRELIMINARY INPUT FILES	PRELIMINARY INPUT FILES	Temporary	Destroy 6 months after issue of the related publication or when no longer needed for reference, whichever is later sooner	PTDL Program Newsletter and Publications (Drafts, source materials, proofs, working papers)	N1-241-96-4 #13b	OCIO	Decrease in retention from 5 years to 6 months/no longer needed/ whichever is later	OK; stay with current citation, edit retention period to previous "whichever is sooner"

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF 115 Item	subbucket	subsubbucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/30/06)
5	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Delete when no longer needed for current agency business	Manual of Patent Examining Procedure	N1-241-96-7 #24b.c	Patents	Potential increase in retention from approved "when no longer needed"	OK Moved from item 3 and keep when no longer needed; corrected retention and updated citation
5	OFFICIAL USPTO PUBLICATIONS AND INDICES	USPTO NON-CORE OFFICIAL PRODUCTS AND PUBLICATIONS (Extra Copies)	Temporary	Delete when no longer needed for current agency business	Information Dissemination Organization Products and Services	N1-241-96-4 #8b	OCIO; throughout the USPTO	Potential increase in retention from approved "when no longer needed"	"a" and "b" split now. "b" kept when no longer needed
5	INFORMATION DISSEMINATION PRODUCT REFERENCE	Information Dissemination Product & Publication Reference	Temporary	Delete when no longer needed for current agency business	Online Library Catalogue	N1-241-96-7 #62b	OCIO	Correct citation is N1-241-96-7, item # 62a	These are just the data files. "a" is to be GRS 24, "b" is the data files
5	INFORMATION DISSEMINATION PRODUCT REFERENCE	Information Dissemination Product & Publication Reference	Temporary	Delete when no longer needed for current agency business	Search Systems	NEW re-citation-N1-241-96-7, item #62a	OCIO; Patents; Trademarks	New	This is a new series covering all Dissemination search Systems

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF/IS Item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Retention/ Comments	USPTO notes (6/20/06)
5	INFORMATION DISSEMINATION PRODUCT REFERENCE	Information Dissemination Product & Publication Reference	Temporary	Delete when no longer needed for current agency business	Historical Assignments	N1-241-96-5 #67c	OCIO	N1-241-96-5, item 67c instructs to transfer initial documentation and updates to the transfer to the Configuration Life Cycle Management Library when system is operational - was this done?	Yes, the documentation and updates are in our LCM library
5	INFORMATION DISSEMINATION PRODUCT REFERENCE	Information Dissemination Product & Publication Reference	Temporary	Delete when no longer needed for current agency business	Trademark Electronic Search System	N1-241-01-2 #2c,d	Trademarks	Same	
5	INFORMATION DISSEMINATION PRODUCT REFERENCE	Information Dissemination Product & Publication Reference	Temporary	Delete when no longer needed for current agency business	X-Search System	N1-241-96-5 #65b	Trademarks	Same	
6 - Operations Support for Dissemination (Previously Agency Administration)									
6a	OPERATIONS SUPPORT for DISSEMINATION	PTDL Partnership Files	Temporary	Destroy 20 years after closure	PTDL Partnership Files	N1-241-96-4 #11	OCIO	Same	
6b	OPERATIONS SUPPORT for DISSEMINATION	SIRA Administrator Subject Files	Temporary	Close inactive files at the end of each fiscal year and destroy 5 years after closure	SIRA Administrator Subject Files	N1-241-96-7 #31	Patents	Same	
6c	OPERATIONS SUPPORT for DISSEMINATION	Customer Infraction Files	Temporary	Destroy 5 years after the complaint is settled or the case is resolved, or 5 years after the last entry	Customer Infraction Files	N1-241-96-4 #19	OCIO	Same	
6d	OPERATIONS SUPPORT for DISSEMINATION	Public Search Room Production and Services	Temporary	Destroy when 2 years old; maintain no longer than 10 years	Comment Card Files	N1-241-96-4 #21	OCIO	Maximum 2 year retention was approved in N1-241-96-4, item 21	okay; we will retain previous retention
6d	OPERATIONS SUPPORT for DISSEMINATION	Public Search Room Production and Services	Temporary	Destroy when 2 years old; maintain no longer than 10 years	Trademark Search Library Reports	N1-241-96-4 #46	OCIO	Same	Only need both record/other copies just 2 years now
6d	OPERATIONS SUPPORT for DISSEMINATION	Public Search Room Production and Services	Temporary	Destroy when 2 years old; maintain no longer than 10 years	Reports on Search Room Activities	N1-241-96-4 #22a,b	OCIO	Same	Only need both record/other copies just 2 years now

BUCKET TITLE: DISSEMINATION - CROSSWALK

SF 15 Item	subBucket	subsubBucket	Main Retention	New retention period	Current Series title	Current Citation	Current office of record	Old Sched. Refers to/ Comments	USIPTO notes (6/30/06)
6e	OPERATIONS SUPPORT for DISSEMINATION	Publication Production Controls	Temporary	Destroy 1 year after issue, or when no longer needed for reference, whichever is sooner Destroy when superseded by 2 editions	Publication Production Controls	N1-241-96-3 #72	OCIO	Same - formerly Issue Folder Files	
6f	OPERATIONS SUPPORT for DISSEMINATION	Quality Review Of Data Issued on Media	Temporary	Destroy when no longer needed for agency business	Quality Review of Data Issued on CD-ROM	N1-241-96-6 #20	OCIO	Same	
6g	OPERATIONS SUPPORT for DISSEMINATION	Online Service Accounts	Temporary	Destroy when no longer needed for agency business	Search Room Online Service Accounts	no citation	OCIO	New	
6h	OPERATIONS SUPPORT for DISSEMINATION	Incidence and Distribution Reports	Temporary	Destroy when no longer needed	Incidence and Distribution Reports	N1-241-96-4 #50	OCIO	Same - formerly Technology Assessment Forecast Reports	