# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-241-09-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/25/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items are active in full except item a-1-2 which is partially superseded for records concerning 2017 and later agency budget submissions.

## SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

DAA-GRS-2015-0006-0001 supersedes the portion of item a-1-2 that relates to records concerning agency 2017 budget submissions and forward only.

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7 ITEM NO	8 DESCRIPTION OF ITEM AND PRO	DPOSED DISPOSITION	911	9 GRS OR PERSEDED JOB	10 ACTION TAKEN (NARA USE ONLY)
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	US Patent and Trademark Offi	ce		see attached	
	Intellectual Property Admini	stration		see attached	
	These records are unique to the	administration of agangy			
		t the US Patent and Trademark			
	a- Intellectual Property Program Ad	ministration			
	b- Intellectual Property Legal Activ				

Intellectual Property (IP) Administration August 5, 2009 (updates October 12 2010)

Records of the highest level of Intellectual Property policies and decisions Includes records of the agency head and those supporting offices that provide over-all agency management support

The U S. Patent and Trademark Office (USPTO) is responsible for the granting and issuing of patents and the registration of trademarks, and for disseminating to the public information with respect to patents and trademarks

The USPTO mission is to ensure that the United States Intellectual Property system contributes to a strong global economy, encourages investment in innovation, and fosters entrepreneurial spirit

## a - IP Program Administration

**b** - IP Legal Activities

## a\_- IP Program Administration

#### <u>a-1</u> - Undersecretary and Director Actions

- a-1-1 Agency Director's Actions and Subject Files
- **a-1-2** Corporate Decisions
- a-1-3 Agency Director's External Public Web Log (Blog)
- a-1-4 Rule Reviews and Rulemaking

#### <u>a-2</u> - National Medal of Technology and Innovation (NMTI)

- a-2-1 Successful Nomination Files
- a-2-2 Minutes of NMTI Evaluation Committee
- a-2-3 NMTI Program Subject Files
- a-2-4 Unsuccessful Nomination Files

#### a-3 - Public Affairs

- a-3-1 Public Affairs Agency Formal Public Communications
- a-3-2 Public Media Materials
- a-3-3 Program Administration Records of Sensitive Archival Nature
- a-3-4 Public Affairs and Outreach Program Administrative Files

#### <u>a-4</u> - Patent and Trademark Public Advisory Committees (PACs)

- a-4-1 Official Records of the Patent and Trademark PACs
- a-4-2 Working Papers of the Patent and Trademark PACs
- a-4-3 Reference Copies of Rulemaking Files of the Patent and Trademark PACs

#### a-5 - Long-Term IP Program Administrative

a-5-1 - IP Program Administrative Files

#### a-6 - Short-Term IP General Program Administration

a-6-1 - IP Program Office Discretionary Activity Records and Subject Files

#### <u>a-7</u> - Agency Director's Internal Web Log (Blog)

## **b** - IP Legal Activities

#### <u>b-1</u> - Intellectual Property Legal Activity

- b-1-1 Agency Precedential Court Cases
- b-1-2\_- Solicitor's Office Records Related to Non-Precedential Court Cases
- b-1-3 Correspondence of the Office of the Solicitor and the General Counsel
- b-1-4 Non-Administrative IP Law Internal Management, Program, and Subject Files

## **<u>b-2</u>** - Patent Appeal, Interferences, and Trial Activity

- b-2-1 Patent Interference Cases Open to the Public
- **b-2-2** Settlement Agreements
- b-2-3 Patent Appeal Cases
- **b-2-4** Interference Proceedings Under DOE and NASA Acts
- **b-2-5** Patent Interference Cases Closed to the Public
- b-2-6 Patent Appeal and Interference Case Tracking
- b-2-7 Administrative Reports of the BPAI
- b-2-8 Recusal Statements of the BPAI
- b-2-9 Non Case-Related Administrative Records of BPAI
- b-2-10 Physical Exhibits

## <u>b-3</u> - Trademark Trial and Appeal Activity

- b-3-1 Trademark Trial and Appeal Proceedings and Related Indexes
- b-3-2 Trademark Trial and Appeal Administrative Files

## <u>b-4</u> - Attorney and Agent Enrollment and Discipline

- **b-4-1** Enrollment Examination
- b-4-2 Enrollment and Discipline Application and Roster Maintenance Files
- b-4-3 Subject Files Related To Enrollment and Discipline
- **b-4-4** Enrollment Examination Answer Sheets Unsuccessful Applicants
- b-4-5 Administrative Law Files, Office of Enrollment and Discipline Appeal Case Files
- b-4-6 Enrollment Examination Answer Sheets Successful Applicants
- **b-4-7** Enrollment and Discipline Roster of Attorney's and Agents Registered to Practice Before the USPTO
- **b-4-8** Director's OED Decision Files

## <u>b-5</u> - Short-Term IP Legal Administration Activity

**b-5-1** - Short-Term IP Legal Activity Administrative Functional and Procedural Records **b-5-2** - Short-Term IP Legal Activity Office Operational Records

#### a - IP Program Administration

#### <u>a-1</u> - Undersecretary and Director Actions

Policy development, direction and management of the primary USPTO program functions and services

#### a-1-1 Agency Director's Actions and Subject Files

Official records of the agency head and their deputy These document the implementation of the agency mission and function such as

- memoranda, reports, and briefings,
- delegations of authority and directives
- Management initiatives and reviews
- agency organization
- Mandated Strategic Plans
- Director's Calendars
- Subject files of the Undersecretary
- Final copies of speeches delivered by the Director, or on their behalf
- Briefing booklets and transcripts
- International intellectual property (IP) case files and IP legislative files

RETENTION Permanent Transfer when 25 years old

#### a-1-2 Corporate Decisions

Official USPTO corporate-level decision records which are not specific to intellectual property law Includes final budget submissions, budget hearing books, Trilateral Statistical Report input from the USPTO, and Management Council records

RETENTION. Permanent Transfer 10 years after close of file

#### a-1-3 Agency Director's External Public Web Log (Blog)

Outward facing Director's Blog and comments received, on such topics as patent examination process, agency goals, spending authority, and major public events

RETENTION Permanent: Transfer when 5 years old

#### a-1-4 Rule Reviews and Rulemaking

Official files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register and copies of responses after publication

RETENTION

Temporary Destroy 25 years after closure

## <u>a-2</u> - National Medal of Technology and Innovation (NMTI)

These are formerly National Medal of Technology files/records from DOC and transferred to PTO in March of 2008

## a-2-1 Successful Nomination Files

NMTI successful Nomination Files such as nomination forms, letters of recommendation, biographical information about the applicant (individual or team), description of the achievement, and other supporting documentation submitted on behalf of the nominee for the National Medal of Technology, which is the highest honor awarded by the President of the United States for technological innovation. Arranged by year, there under by nominee

## RETENTION

Permanent Cut off files annually, transfer to the National Archives and Records Administration 10 years after cutoff

## a-2-2 Minutes of the NMTI Evaluation Committee

Minutes and related correspondence documenting the annual evaluation by committee of the nominations for the National Medal Arranged by year

## RETENTION

Permanent Cut off files annually, transfer to the National Archives and Records Administration 10 years after cutoff

## a-2-3 NMTI Program Subject Files

Letters, memorandums, reports, and other correspondence related to the activities and functions of the office Arranged by subject

## RETENTION

Temporary Cut off files annually, destroy 5 years after cutoff

## a-2-4 Unsuccessful Nomination Files

NMTI unsuccessful Nomination Files such as nomination forms, letters of recommendation, biographical information about the applicant (individual or team), description of the achievement, and other supporting documentation submitted on behalf of the nominee

RETENTION Temporary Cut off files annually, destroy 3 years after cutoff

## <u>a-3</u> - Public Affairs

Promotion and publication of USPTO activities, such as outreach, official notices and press releases.

## a-3-1 Public Affairs - Agency Formal Public Communications

Official copy of all news releases and agency formal public communications and announcements not found elsewhere in the schedule

## RETENTION

Permanent: Transfer when 30 years old

## a-3-2 Public Media Materials

Biographical sketches and photos of high-level USPTO officials; documentation of USPTO public affairs programs and events Includes transcripts of speeches of non-Director high-level USPTO Officials Video documentation of programs and events is in various technical formats

RETENTION Permanent Transfer 5 years after close of file

## a-3-3 Program Administration Records of Sensitive Archival Nature

This item includes public affairs photographs (analog and digital) not mentioned in other series but have special archival needs per 36 CFR1228.184 These include portraits of key United States Patent and Trademark Office officials and senior executives, exhibit photographs, and other photographs documenting USPTO programs and public affairs services NOTE This item does not include Newsletter photographs, and other photographs used in internal USPTO announcements or bulletins, routine retirement or award photographs, and photographs of social events that do not relate to agency-wide activities or mission)

#### RETENTION

Permanent Transfer 3 years after close of file

## a-3-4 Public Affairs and Outreach Program Administrative Files

Core project administration of public affairs projects Files containing record copy of correspondence, reports, background papers used for projects, and general materials used as a resource for the office outreach Articles submitted for clearance and published in magazines, journals, and other information media Includes related background materials

RETENTION Temporary Destroy when 10 years old

## <u>a-4</u> – Patent and Trademark Public Advisory Committees (PACs)

Public Advisory Committees provide independent IP program advice directly to the USPTO Undersecretary/Director on issues that impinge on the grant and maintenance of IP rights of various IP stakeholders They were created by statute in the American Inventors Protection Act of 1999 (Public Law 106-113) to advise the Undersecretary of Commerce for Intellectual Property and the Director of the USPTO on the management of the patent and trademark operations. The PACs consist of U S. Citizens chosen to represent the interests of the diverse users of the USPTO

#### a-4-1 Official Records of the Patent and Trademark PACs

Includes official committee meeting files consisting of but not limited to agendas, committee correspondence, minutes, final reports, official speeches, lectures and briefings, meeting transcripts, records documenting the committee accomplishments

RETENTION Permanent Transfer to NARA 15 years after close of file

#### a-4-2 Working Papers of the Patent and Trademark PACs

Working files consisting of general letters and memorandum, forms, reports, and other materials related to administrative functions of the Committees

RETENTION Temporary Destroy When 3 years old

### a-4-3 Reference Copies of Rulemaking Files of the Patent and Trademark PACs

Copies of rule changes, review notes, background materials, and other related papers regarding regulatory conflicts and appropriate legal language in rulemaking procedures (NOTE Originals are provided to the Office of General Counsel – See Rule Reviews)

#### RETENTION

Temporary Transfer original files to Office of General Counsel Destroy reference copies when no longer needed by the PACs

## <u>a-5</u> - Long-Term IP Program Administrative

Records of various administrative activities which support the efforts of the Intellectual Property program administration needed for longer-term use

## a-5-1 IP Program Administrative Files

Temporary long-term administrative records which reflect retentions of the General Records Schedule in intent but are unique to the USPTO Includes files that contain program records of an administrative support nature and which are common to USPTO offices These may include actionable matters of an internal administrative nature, be applied by an office that receives and takes action on documents submitted by other offices, and include the following

- record copies of controlled correspondence files
- working papers
- internal administrative committee files
- USPTO external presentations, includes invitation, itineraries (non-Director)
- budget formulation background
- final reports and data of international exchanges (i e Trilateral Patent Data Exchange Program)
- stock images for publications
- supporting data such as text, charts, and graphs captured in published reports
- internal program newsletters

#### **RETENTION:**

Temporary Destroy when 5 years old

## <u>a-6</u> - Short-Term IP General Program Administration

Records of various administrative activities which support the efforts of the Intellectual Property program administration and are not needed for long-term use These include working papers, Public Affairs reports, program research background files, copies of controlled correspondence files; internal speaker's files, which support the efforts of daily administrative efforts for managing the high level offices of the USPTO which do not have a direct bearing on a transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents

## a-6-1 IP Program Office Discretionary Activity Records and Subject Files

Temporary short-term administrative records which reflect retentions of the General Records Schedule in intent but are unique to the USPTO Includes the following

- duplicate copies of controlled correspondence files
- working papers
- internal team and committee files
- internal low and mid-level employee files (includes invitation, itineraries)
- materials included in reports for budget background text, tables, graphics

## **RETENTION:**

Temporary Destroy in 180 days or when no longer needed for agency business

## <u>a-7</u> – Agency Director's Internal Web Log (Blog) and Comments Received

Internal-facing Director's Blog and comments received from agency employees, on such topics as celebration of milestones and notes of encouragement, legislation and activities impacting USPTO workforce, and agency goals May include copies of the external blog entries

#### RETENTION

Temporary Destroy when 2 years old

## **b** - IP Legal Activities

## <u>b-1</u> - Intellectual Property Legal Activity

These are records of activities for Intellectual Property-related litigation and judicial activities Included are. legal review of agency decisions, defense of USPTO decisions in court and administrative tribunals, and regulation of persons practicing before the USPTO

The **General Counsel** is responsible for overall management of the division and acts as the Under Secretary and Director's principal legal advisor in assuring the provision of legal advice and representation for the agency. The **General Counsel** has also been **delegated authority** to hear **appeals from decisions in enrollment and discipline matters**, and to determine whether special circumstances exist pursuant to 35 U S C § 122 for releasing information concerning patent applications

The Office of the Solicitor serves as legal counsel to the USPTO on intellectual property (IP) law matters. The Solicitor's Office also works in collaboration with the Department of Commerce on interagency IP law matters.

The **Board of Patent Appeals and Interferences (BPAI)**, in accordance with 35 U S C § 6(b), " . shall, on written appeal of an applicant, review adverse decisions of examiners upon applications for patents and shall determine priority and patentability of invention in interferences "

The **Trademark Trial and Appeal Board** (TTAB) hears and decides adversary proceedings involving oppositions to the registration of trademarks, petitions to cancel trademark registrations, proceedings involving applications for concurrent use registrations of trademarks The Board also decides appeals taken from the trademark examining attorneys' refusals to allow registration of trademarks

The **Office of Enrollment and Discipline** (OED) is responsible for registering practitioners (patent attorneys and agents) to practice before the USPTO in patent cases OED also develops a practitioner's registration examination to determine if applicants for registration have the necessary knowledge of patent law and practice to provide valuable service for applicants. In addition, OED maintains a public roster of attorneys and agents recognized to practice before the Office in patent cases, and investigates grievances alleging unethical conduct by registered practitioners.

#### b-1-1 Agency Precedential Court Cases

These are records related to intellectual property (IP) litigation with legal, political, and/or historical significance of permanent value These records consist of the following types of records

- USPTO litigation files for cases designated by a U S. Court as binding precedent in patent and trademark law,
- USPTO litigation files for cases that changed USPTO examining or granting procedures,
- USPTO litigation files for cases in which a decision on the merits has issued from the U S Supreme Court, and
- USPTO litigation files for cases concerning the patenting of landmark technologies

These USPTO litigation files may consist of the following materials that are used to prepare the USPTO's case in court copies of certified depositions of USPTO employees used as testimony, background materials such as notes for testimony, court papers, correspondence with opposing counsel or other federal agencies concerning the case, and briefs and legal memoranda in appeals from decisions of the USPTO Director and the USPTO's administrative boards concerning trademark or patent rights

## RETENTION

Permanent Transfer to the National Archives when 30 years old

## b-1-2 Solicitor's Office Records Related to Non-Precedential Court Cases

These are records related to IP litigation that is non-precedential and include - USPTO litigation files for cases not designated by a U S Court as binding precedent in patent and trademark law,

- USPTO litigation files for cases that have little or no impact on USPTO examining or granting procedures,
- USPTO litigation files for petitions for *certiorari* to the U S Supreme Court in which the USPTO or Department of Commerce is not a party,
- USPTO litigation files related to proceedings to discipline attorneys and/or agents practicing before the USPTO, and
- USPTO litigation files for cases that have been considered not permanently valuable (those without legal, political and/or historical significance that are used to prepare the USPTO's case in court)

These USPTO litigation files may include copies of certified depositions of USPTO employees used as testimony in court cases including such items as background materials, drafts and notes for testimony, indices used to identify patent and trademark appeals in the Federal Courts, court papers, correspondence, and briefs and legal memoranda in appeals from decisions of the USPTO Director and the USPTO's administrative boards concerning trademark or patent rights

RETENTION: Temporary Destroy 30 years after date of appeal/closure

## b-1-3 Correspondence of the Office of the Solicitor and the General Counsel

Includes a record copy of correspondence, historical memoranda and subject files prepared by the Office of the Solicitor for use by the General Counsel of the USPTO, other offices within the USPTO, the Department of Commerce or other agencies within the Federal Government to formulate the Government's position in IP litigation or to develop USPTO examining and granting procedures

RETENTION Temporary Destroy when 10 years old

b-1-4 Non-Administrative IP Law Internal Management, Program, and Subject Files

Files created and maintained by individual attorneys acting in non-administrative IP legal capacity in the course of their daily work or to complete assignments Includes reference materials and duplicated official correspondence located in other files, and documentation of review of legal activities of USPTO offices Includes attorney working files and legal advice files

RETENTION. Temporary. Destroy when no longer needed

## **<u>b-2</u>** - Patent Appeal, Interference, and Trial Activity

Records concerning judicial activities involving patent appeals and interferences include the following reviewing *ex parte* appeals from adverse decisions of examiners on applications for patents, reviewing appeals from adverse decisions of examiners in *ex parte* and *inter parte* reexamination proceedings, and determining priority and patentability of invention in interferences

## b-2-1 Patent Interference Cases - Open to the Public

Depositions, testimony, briefs, decisions and other documents related to the interference case, including non-physical exhibits. These Interference Case files are open to the public because at least one patent or at least one published application is involved in the interference

## RETENTION

Permanent Transfer to National Archives 40 years after close of case

## b-2-2 Settlement Agreements

Settlement Agreements between parties Filed by interference number but maintained separately from the Interference Case File at the request of parties in order to maintain privacy Not for Public Access Restricted access only for other government agencies

## RETENTION

Permanent Transfer to National Archives 40 years after close of case

## b-2-3 Patent Appeal Cases

Decisions made by the Board in appeals, Petitions to the Director which result from requests related to superintending the functions of the BPAI, and petitions under 35 USC 135(c)

#### RETENTION

**Permanent** Decision and appeal case documentation goes into the Patent Case File, see Patent Case File for specific retention

## b-2-4 Interference Proceedings under DOE and NASA Acts

Separate series of case files relating to the Department of Energy and NASA claims to patents that may have been developed under contract of these entities Not for Public Access Restricted access only for other government agencies Files are few in number, with one or two cases per year.

#### **RETENTION**.

Permanent Transfer to National Archives when 40 years old

#### b-2-5 Patent Interference Cases - Closed to the Public

Depositions, testimony, briefs, decisions and other documents related to the interference case, including non-physical exhibits These Interference Case files are closed to the public because not one patent or not one published application is involved in the interference

RETENTION

Temporary. Destroy 40 years after close of case

## b-2-6 Patent Appeal and Interference Case Tracking

Consists of administrative records that track workflow actions and business process of appeals and interference activities, includes information such as case status, disposition of the case, dockets, production reports for the administrative patent judge, incoming and outgoing correspondence tracking Currently BPAI uses the ACTS (Adjudicated Case Tracking System) as the core tracking systems for these cases

## **RETENTION.**

Temporary Destroy 5 years after close of case

## b-2-7 Administrative Reports of the BPAI

Reports of Board activities and status, such as backlog reports, dockets, fee income, process productivity and staffing, production reports, and reversals Includes but is not limited to reports to the Patent Commissioner on major decisions

#### **RETENTION:**

**Temporary** Destroy 5 years after the end of the fiscal year for which the report was prepared

## b-2-8 Recusal Statements of the BPAI

Statements by members of the Board recusing themselves from cases in which a particular company or law firm has an interest

## RETENTION

Temporary. Destroy when superseded or destroy 2 years after member leaves Board

#### b-2-9 Non Case-Related Administrative Records for BPAI

Administrative records needed for various non case-specific administrative purposes Includes: petitions regarding Board procedural issues, rulemaking comments and reviews (where BPAI is not office of record), predecessor operating procedures and former directives, hearing calendars, copies of notices of decision, subject files, annual reports on management of the Board, correspondence, delegations of authority, function statements, organizational charts

RETENTION **Temporary**. Destroy when 2 years old

#### **b-2-10** Physical Exhibits

Physical (Court) exhibits for interference proceedings Received infrequently

## **RETENTION:**

**Temporary** Offer to interference party after the case is terminated Destroy unwanted exhibits

## **<u>b-3</u>** - Trademark Trial and Appeal Activity

These files include records of review for adverse decisions from trademark examining attorneys refusing to allow trademark registrations, reviews and decisions on adversary proceedings by parties opposing or seeking to cancel trademark registrations, and conduct trial proceedings involving applications for concurrent use registrations of trademarks

## b-3-1 Trademark Trial and Appeal Proceedings and Related Indexes

Case files of Board hearings and decisions on adversary proceedings involving the following

- oppositions to the registration of trademarks,
- petitions to cancel trademark registrations,
- proceedings involving applications for concurrent use registrations of trademarks, and
- *ex parte* board decision appeals taken from the Trademark examining attorneys' refusals to allow registration of a trademark and publication in the *Official Gazette*

These include the following common proceeding records requests to extend time to take some action, trial orders, notices of reliance, testimony, exhibits, motions, all outgoing actions taken by the Board in response to incoming requests, requests for oral hearings, board decisions, appeals to the court, and decision of the courts

RETENTION

Permanent Transfer 5 years after close of case

## b-3-2 Trademark Trial and Appeal Administrative Files

Short-term temporary non-case administrative records which track trademark trial and appeal proceeding workflow Includes but is not limited to the following proceedings' correspondence; automatically generated letters, queue files to employees for action, productivity and tracking reports, reference reports, system generated workflow reports, decision assignment logs, hearing calendars, data and image files May include proceeding correspondence privileged and filed with proceeding testimony and physical exhibits

#### RETENTION

**Temporary** Delete/return when case is terminated or when no longer needed, whichever is first

## <u>b-4</u> - Attorney and Agent Enrollment and Discipline Activity

Involves USPTO legal and administrative activity necessary for the enrollment and discipline of attorneys and practitioners

## **b-4-1** Enrollment Examination

Record copy of examinations given to new registrants applying to practice before the USPTO

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RETENTION Permanent: Transfer directly to NARA when 10 years old

## b-4-2 Enrollment and Discipline Application and Roster Maintenance Files

Application folders of attorneys or agents registered to practice before the USPTO and related files Includes the following

- application case files of Attorneys or Agents registered to practice before the USPTO,
- new registrant files,
- chronological updates to registered Attorney and Agents case Files,
- unsuccessful enrollment applications, moral character investigation files,
- complaint files,
- grievance files,
- reinstatement correspondence,
- applications with supporting documentation and OED responses to same;
- requests to change address or name, and related data,
- certificates of good standing, and addenda to case files,
- data sheet files consisting of records of new registrants, correspondence, updates and revisions to practitioner status, certificates of good standing, undertakings, and like documentation that is used as the official file of registrations,
- chronological files consisting of updates to practitioner case folders, consisting of documentation regarding address changes, status changes, name changes, and related matters,
- documentation used to process unsuccessful enrollment applications,
- requests for refunds and to document completed actions if the applicant continues at a later time,
- reasons for denial referred to when applicants reapply after satisfying deficiencies, records of current registrations of deceased registrants filed alphabetically by deceased registrant name, revised data sheets and correspondence;
- copies of certificates of good standing and undertaking,
- moral character reviews where indicated for applicants, grievance letters and significant complaints documentation of current practitioners, investigation records as appropriate,
- administrative hearing records;
- pleadings filed in disciplinary proceedings, testimony, and final decisions,
- supporting documentation about an attorney or agent registered to practice or an applicant for registration before the USPTO

#### RETENTION

Temporary Destroy 60 years after close of entire registrant file

#### b-4-3 Subject Files Related To Enrollment and Discipline

Correspondence and reports related to enrollment and discipline activities resulting in attorney registration and discipline Includes correspondence with outside groups, dissemination of program information, the development and assessment of programs and other correspondence related to the enrollment and discipline mission

## RETENTION

Temporary Destroy when 15 years old

#### b-4-4 Enrollment Examination Answer Sheets – Unsuccessful Applicants

Test results of enrollment examinations for unsuccessful applicants Examination answers determine that applicants for registration failed to have the necessary knowledge of patent law and practice to assist applicants for patents

#### RETENTION

Temporary Destroy when 3 months old or after appeals process has expired, whichever is later

#### b-4-5 Administrative Law Files, Office of Enrollment and Discipline Appeal Case Files

Records from the Administrative Law Office pertaining to appeal cases unique to USPTO Enrollment and Discipline program Necessary for unique administrative law activity not covered by the GRS

RETENTION Temporary Destroy 5 years after final decision

#### b-4-6 Enrollment Examination Answer Sheets - Successful Applicants

Test results of enrollment examinations for successful applicants Examination answers determine that applicants for registration failed have the necessary knowledge of patent law and practice to assist applicants for patents

RETENTION

Temporary Destroy after grades are registered

# b-4-7 Enrollment and Discipline Roster of Attorney's and Agents Registered to Practice Before the USPTO

Lists of practicing attorneys and agents registered for USPTO practice and in good standing Also includes ledgers containing registration numbers of those attorneys and agents from 1897 to the present time, and records of complaints against those attorneys and agents

RETENTION Temporary Destroy when superseded

#### b-4-8 Director's OED Decision Files

Reference copies of non-interlocutory decisions issued by the Commissioner for examination regrades, denials of entry, Office of Enrollment and Discipline (OED) disciplinary hearings or decisions, determinations of technical and scientific qualifications, and to practice before the USPTO Used by OED staff for reference purposes

RETENTION

Temporary. Destroy when no longer needed for current USPTO business

## <u>b-5</u> - Short-Term IP Legal Administration Activity

Records of various IP legal administrative activities such as general correspondence files, working papers, committee files, and statements supporting the IP legal activities of the USPTO

## b-5-1 Short-Term IP Legal Activity Administrative Functional and Procedural Records

Administrative missions, function statements and procedures of IP legal offices and activities

#### RETENTION

Temporary Destroy 2 years after statements and procedures superseded

## b-5-2 Short-Term IP Legal Activity Office Operational Records

Records deemed unique to the USPTO, but having short-term general administrative value that does not warrant long-term retention to the office These records include production reports, case logs, data on all cases ready for a decision, log of public requests for files, reference reports, tracking of reports, index of appeals proceedings and their location and bibliographic information, copies of reports to the Director, copies of trend analysis and long-term planning reports, input forms used to track and update patent and trademark data, and copies of review comments for proposed other than that in the office of record for the regulation, and administrative subject files

**RETENTION:** 

Temporary Destroy when 2 years old

		Intelle	ctual Property (II	P) Administration	1		
SF115	subBucket and		New Retention	· · · · · ·		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
.a	IP Program Administrat	tion					
.a.1	Undersecretary and Dir						
		ction and management of t					
		velopment, legislative and	international relation	s activities that effe	ctively implement, gr	rant, maintain, and	
	promote the US IP syste	em and IP rights					
.a.1.1	Agency Director's Actio	ons and Subject Files					
	Official records of the age	ency head and their deputy	These document				
	the implementation of the	e agency mission and funct	ion such as				
	- memoranda, reports, a	nd briefings,					
	- delegations of authority	and directives					
	- Management initiatives						
	- agency organization						
	- Mandated Strategic Pla	ns					
	- Director's Calendars						
	- Subject files of the Und	ersecretary					
		es delivered by the Director	or on their behalf				
	1	-	, or on their benan				
	- Briefing booklets and tra	anscripts					
	- Briefing booklets and tra	-					
	- Briefing booklets and tra	anscripts					
	- Briefing booklets and tra	anscripts					
	- Briefing booklets and tra	anscripts I property (IP) case files an	d IP legislative files	N1-241-95-1 44	Strategic Plans	Office of Corporate	
	- Briefing booklets and tra	anscripts	d IP legislative files	N1-241-95-1 44	Strategic Plans	Office of Corporate	
	- Briefing booklets and tra	anscripts I property (IP) case files an	d IP legislative files Permanent- Transfer when 25	N1-241-95-1 44	and Operational	Office of Corporate Planning	
	- Briefing booklets and tra	anscripts I property (IP) case files an	d IP legislative files	N1-241-95-1 44	and Operational Plans Working		
	- Briefing booklets and tra	anscripts I property (IP) case files an	d IP legislative files Permanent- Transfer when 25	N1-241-95-1 44	and Operational		
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25	N1-241-95-1 44 N1-241-96-1 1a	and Operational Plans Working		
	- Briefing booklets and tra	anscripts I property (IP) case files an	d IP legislative files Permanent- Transfer when 25 years old Permanent-		and Operational Plans Working Papers	Planning UNDER SECRETARY	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25		and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent-		and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25		and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25		and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25	N1-241-96-1 1a	and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
	- Briefing booklets and tra	anscripts I property (IP) case files an <b>Permanent</b>	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25		and Operational Plans Working Papers	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
	- Briefing booklets and tra	anscripts I property (IP) case files an Permanent Permanent	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25 years old	N1-241-96-1 1a	and Operational Plans Working Papers Director's Files	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
	- Briefing booklets and tra	anscripts I property (IP) case files an Permanent Permanent	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25 years old Permanent- Transfer when 25	N1-241-96-1 1a	and Operational Plans Working Papers Director's Files	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO UNDER SECRETARY OF COMMERCE FOR	
	- Briefing booklets and tra	anscripts I property (IP) case files an Permanent Permanent	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25 years old Permanent-	N1-241-96-1 1a	and Operational Plans Working Papers Director's Files	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
	- Briefing booklets and tra	anscripts I property (IP) case files an Permanent Permanent	d IP legislative files Permanent- Transfer when 25 years old Permanent- Transfer when 25 years old Permanent- Transfer when 25	N1-241-96-1 1a	and Operational Plans Working Papers Director's Files	Planning UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO UNDER SECRETARY OF COMMERCE FOR	

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SF115	L aub Ducket and					Oursent Office of	
	subBucket and	Moin Dotontion	New Retention	Current Cutation	Current Series Title	Current Office of	
Item	Description	Main Retention	Period	Current Citation N1-241-96-1-40	Current SeriesTitle		AIS
		Permanent	Permanent- Transfer when 25	N1-241-96-1.40	Deputy Director's	Deputy Under	
					Files	Secretary of	
			years old			Commerce for	
						Intellectual Property	
						and Deputy Director of	
						the USPTO	
-		Permanent	Permanent-	N1-241-96-1 5a	Director's	UNDER SECRETARY	
			Transfer when 25		Calendars	OF COMMERCE FOR	
			years old			INTELLECTUAL	
			ľ			PROPERTY AND	
						DIRECTOR OF THE	
						USPTO	
				N4 044 00 0 07			
		Permanent	Permanent-	N1-241-96-6 37	Proposed	DEPUTY	OLIADS
			Transfer when 25		Intellectual	ADMINISTRATOR	
			years old		Property	FOR EXTERNAL	
						AFFAIRS	
		Permanent	Permanent-	N1-241-96-6 38	International	Office of International	OLIADS
			Transfer when 25		Intellectual	Relations	
			years old		Property Activities		
					Case Files		
		Permanent	Permanent-	N1-241-97-1 6	BPAI Speeches	BOARD OF PATENT	
			Transfer when 25			APPEALS AND	i i
			years old			INTERFERENCES	
			-				
		Permanent	Permanent-	N1-241-95-1 41	USPTO	Office of Corporate	
			Transfer when 25		Organizational	Planning	
			years old		Records		
		Permanent	Permanent-	N1-241-95-1 30	USPTO Program	Office of Corporate	
			Transfer when 25		Performance Files	Planning	
			years old				
.a.1.2	Corporate Decisions			1			1
		e-level decision records v	which are not specific t	to intellectual prope	rty law Includes fina	al budget submissions,	
		rilateral Statistical Report	-		-		
		Democrat	Dermonant	New Decord	Monogoment	GENERAL COUNSEL	
		Permanent	Permanent	New Record	Management	GENERAL COUNSEL	
			Transfer 10 years	Series	Council Decisions		
			after close of file				
		1					

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SF115	subBucket and		New Retention			Current Office of	
ltem	Description	Main Retention	Period		Current SeriesTitle		AIS
		Permanent	Permanent	N1-241-95-1 31a	Trilateral	Office of Corporate	
			Transfer 10 years		Statistical File	Planning	
			after close of file				
		Permanent	Permanent	N1-241-95-1 49	Final Budget	Office of Corporate	
			Transfer 10 years		Submissions	Planning	
			after close of file			_	
		Dermenent	Permanent	N1-241-95-1 50a	Budget Heering	Office of Corporate	
		Permanent		IN1-241-95-1 50a	Budget Hearing	Office of Corporate	
			Transfer 10 years		Books and	Planning	
			after close of file		Background		
					Records		
.1.3		rnal Public Web Log (Blog					
		s Blog and comments received	ved, on such topics	as patent examinat	ion process, agency	goals, spending	
	authority, and major publ	ic events					
		Permanent	Permanent	New Record	N/A	N/A	
			Transfer when 5	Series			
			yaers old				
1.a.1.4	Rule Reviews and Rule	making					
1.4.1.4		the development, clearance	ce, and processing of	of proposed and fina	al rules for publicatio	n in the Federal	
		esponses after publication	, and proceeding				
		Temporary	Temporary	N1-241-96-1 11	Rule Review File	OFFICE OF GENERAL	
		. ,	Destroy 25 years			LAW	
			after closure				
		•					
1 - 0		a a la ana and la ana dia a (Al	RATI)		1		
1.a.2	National Medal of Tech	nology and Innovation (N	 MTI)		1		
1.a.2		nology and Innovation (N	_	C and transferred to	o PTO in March of 2	008	
	These are formerly Natio	onal Medal of Technology fil	_	C and transferred t	o PTO in March of 2	008	
1.a.2 <u>.2.1</u>	These are formerly Nation	onal Medal of Technology fil	es/records from DC				
	These are formerly Nation Successful Nomination	nal Medal of Technology fil <b>Files</b> ation Files such as nominati	es/records from DC	recommendation, b	ographical informat	on about the applicant	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), desc	onal Medal of Technology fil <b>Files</b> ation Files such as nomination cription of the achievement,	es/records from DC on forms, letters of and other supportin	recommendation, b	ographical informat ubmitted on behalf o	ion about the applicant f the nominee for the	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest b	es/records from DC on forms, letters of and other supportin	recommendation, b	ographical informat ubmitted on behalf o	ion about the applicant f the nominee for the	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), desc	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest hunder by nominee	es/records from DC on forms, letters of and other supportur nonor awarded by th	recommendation, b ng documentation sine President of the l	nographical informat ubmitted on behalf o United States for tec	ion about the applicant f the nominee for the hnological innovation	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest b	es/records from DC on forms, letters of and other supportur nonor awarded by th Permanent Cut	recommendation, b ng documentation s ne President of the N1-040-01-1 6a	nographical informat ubmitted on behalf o United States for tec National Medal of	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest hunder by nominee	es/records from DC on forms, letters of and other supportur nonor awarded by th Permanent Cut off files annually,	recommendation, b ng documentation s ne President of the l N1-040-01-1 6a (Transferred	nographical informat ubmitted on behalf o United States for tec National Medal of Technology and	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY OF COMMERCE FOR	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest he under by nominee	es/records from DC on forms, letters of and other supportur nonor awarded by th Permanent Cut	recommendation, b ng documentation s ne President of the N1-040-01-1 6a	nographical informat ubmitted on behalf o United States for tec National Medal of	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest he under by nominee	es/records from DC on forms, letters of and other supportur nonor awarded by th Permanent Cut off files annually,	recommendation, b ng documentation s ne President of the l N1-040-01-1 6a (Transferred	nographical informat ubmitted on behalf o United States for tec National Medal of Technology and	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY OF COMMERCE FOR	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest he under by nominee	es/records from DC on forms, letters of and other supportur honor awarded by th Permanent Cut off files annually, transfer to the	recommendation, b ng documentation sine President of the l N1-040-01-1 6a (Transferred series from Dept	Nographical informat ubmitted on behalf o United States for tec National Medal of Technology and Innovation	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
	These are formerly Nation Successful Nomination NMTI successful Nomina (individual or team), deso National Medal of Techn	onal Medal of Technology file <b>Files</b> ation Files such as nominating cription of the achievement, ology, which is the highest he under by nominee	es/records from DC on forms, letters of and other supportur honor awarded by th Permanent Cut off files annually, transfer to the National Archives	recommendation, b ng documentation sine President of the l N1-040-01-1 6a (Transferred series from Dept	Notional Information Inited States for tec National Medal of Technology and Innovation Nominations	on about the applicant f the nominee for the hnological innovation UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
1.a.2.2	Minutes of the NMTI Ev	valuation Committee					
	Minutes and related corre	espondence documenting	the annual evaluation	n by committee of t	he nominations for the	ne National Medal	
	Arranged by year						
		Permanent	Permanent Cut	N1-040-01-1 6b	Minutes of the	UNDER SECRETARY	
			off files annually,	(Transferred	National Medal of	OF COMMERCE FOR	
			transfer to the	series from Dept	Technology	INTELLECTUAL	
			National Archives	of Commerce)	Evaluation	PROPERTY AND	
			and Records	, ,	Committee	DIRECTOR OF THE	
			Administration 10			USPTO	
			years after cutoff				
1.a.2.3	NMTI Program Subject	Files					
1.4.2.5		reports, and other correspo	ondence related to the	ne activities and fun	ctions of the office	Arranged by subject	
		· · · · · · · · · · · · · · · · · · ·					
		Temporary	Temporary Cut	N1-040-01-1 8	National Medal of	UNDER SECRETARY	
			off files annually,	(Transferred	Technology	OF COMMERCE FOR	
			destroy 5 years	series from Dept	Program Subject	INTELLECTUAL	
			after cutoff	of Commerce)	Files	PROPERTY AND	
						DIRECTOR OF THE	
						DIRECTOR OF THE USPTO	
1.a.2.4	Unsuccessful Nominat					USPTO	
1.a.2.4	NMTI unsuccessful Nom	ion Files ination Files such as nomi eam), description of the act				USPTO nation about the	
1.a.2.4	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	nievement, and other			USPTO nation about the	
1.a.2.4	NMTI unsuccessful Nom	ination Files such as nomi	Temporary Cut	N1-040-01-1 6b	entation submitted o	USPTO nation about the n behalf of the nominee	
1.a.2.4	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	nievement, and other	r supporting docum	entation submitted o	USPTO nation about the n behalf of the nominee UNDER SECRETARY	
<u>1.a.2.4</u>	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	Temporary Cut off files annually,	N1-040-01-1 6b N1ransferred	entation submitted of National Medal of Technology and	USPTO nation about the in behalf of the nominee UNDER SECRETARY OF COMMERCE FOR	
1.a.2.4	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	Temporary Cut off files annually, destroy 3 years	N1-040-01-1 6b (Transferred series from Dept	National Medal of Technology and Innovation	USPTO nation about the in behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
1.a.2.4	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	Temporary Cut off files annually, destroy 3 years	N1-040-01-1 6b (Transferred series from Dept	National Medal of Technology and Innovation Nominations	USPTO nation about the n behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	
1.a.2.4 1.a.3	NMTI unsuccessful Nom	ination Files such as nomi am), description of the act	Temporary Cut off files annually, destroy 3 years	N1-040-01-1 6b (Transferred series from Dept	National Medal of Technology and Innovation Nominations Records	USPTO nation about the n behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
	NMTI unsuccessful Nom applicant (individual or te Public Affairs	ination Files such as nomi am), description of the act	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	entation submitted of National Medal of Technology and Innovation Nominations Records (Unsuccessful)	USPTO nation about the n behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
	NMTI unsuccessful Nom applicant (individual or te <b>Public Affairs</b> Promotion and publication	ination Files such as nomination Files such as nominam), description of the act	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	entation submitted of National Medal of Technology and Innovation Nominations Records (Unsuccessful)	USPTO nation about the n behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
1.a.3	NMTI unsuccessful Nom applicant (individual or te <b>Public Affairs</b> Promotion and publication <b>Public Affairs - Agency</b>	mation Files such as nomination Files such as nominaam), description of the act Temporary	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	entation submitted of National Medal of Technology and Innovation Nominations Records (Unsuccessful)	USPTO nation about the in behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
1.a.3	NMTI unsuccessful Nom applicant (individual or te Public Affairs Promotion and publication Public Affairs - Agency	on of USPTO activities, such	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	entation submitted of National Medal of Technology and Innovation Nominations Records (Unsuccessful)	USPTO nation about the in behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
1.a.3	NMTI unsuccessful Nom applicant (individual or te Public Affairs Promotion and publication Public Affairs - Agency	Temporary Temporary Tormal Public Communi- releases and agency forma	Temporary Cut off files annually, destroy 3 years after cutoff th as outreach, offici- ications	N1-040-01-1 6b (Transferred series from Dept of Commerce)	entation submitted of National Medal of Technology and Innovation Nominations Records (Unsuccessful)	USPTO nation about the n behalf of the nominee UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent Transfer when 30 years old	N1-241-96-1 23	News Release Files	Office of Public Affairs	
a.3.2	Public Media Materials				L		
		nd photos of high-level USF on-Director high-level USP	PTO officials, documentation of USPTO public affairs programs and events TO Officials				
		-	Permanent Transfer 5 years after close of file	N1-241-96-1 19	Exhibit Files	Office of Public Affairs	
		Permanent	Permanent Transfer 5 years after close of file	N1-241-96-1 26	Biographical Sketches and Portraits	Office of Public Affairs	
^		Permanent	Permanent Transfer 5 years after close of file	N1-241-96-1 27a	Audiovisual Files - NONTEXTUAL MEDIA	Office of Public Affairs	
		Permanent	Permanent Transfer 5 years after close of file	N1-241-96-1 43	Posters	Office of Public Affairs	
		Permanent	Permanent Transfer 5 years after close of file	N1-241-97-1 4	Articles Files	Office of Public Affairs	
		Permanent	Permanent Transfer 5 years after close of file	New Record Series	Non-Director High- Level Speeches	GENERAL COUNSEL	
.a.3.3	Program Administratio	n Records of Sensitive A	rchival Nature	1			
	This item includes public needs per 36 CFR1228 exhibit photographs, and include Newsletter photo	affairs photographs (analogiant of the second secon	og and digital) and no ts of key United Stat enting USPTO prog aphs used in interna	es Patent and Trad rams and public aff I USPTO announce	emark Office official airs services NOTE ments or bulletins, re	s and senior executives, This item does not	
		Permanent	Permanent Transfer 3 years after close of file	N1-241-96-1 20b	Photographs and Negatives	Office of Public Affairs	

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SF115	subBucket and		New Retention			Current Office of			
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS		
1.a.3.4	Public Affairs and Outr	each Program Administra	tive Files	· · · · · · · · · · · · · · · · · · ·					
	Core project administrati	on of public affairs projects	Files containing rea		spondence, reports,				
		Temporary	Temporary Destroy when 10 years old	N1-241-96- 1 24a,b	Educational Outreach Program Files	Office of Public Affairs			
		Temporary	Temporary Destroy when 10 years old	N1-241-96-1 25	Public Affairs Subject Files	Office of Public Affairs			
1.a.4	Patent and Trademark	Public Advisory Committe	ees (PACs)		•• <u>•</u> ••				
	Impinge on the grant and maintenance of IP rights of various IP stakeholders They were created by statute in the American Inventors Protection Act of 1999 (Public Law 106-113) to advise the Undersecretary of Commerce for Intellectual Property and the Director of the USPTO on the management of the patent and trademark operations The PACs consist of US Citizens chosen to represent the Interests of the diverse users of the USPTO								
l.a.4.1	Includes official committe	Patent and Trademark PA ee meeting files consisting of es and briefings, meeting tra	of but not limited to a	agendas, committe ocumenting the com	e correspondence, n nmittee accomplishm	ninutes, final reports, ients			
		Permanent	Permanent Transfer to NARA 15 years after close of file	N1-241-01-3a	Records of the Public Advisory Committees	Patent Public Advisory Committee			
1.a.4.2	Working Papers of the	Patent and Trademark PA	NCs		-1				
	Working fulles consisting of general letters and memorandum, forms, reports, and other materials related to administrative functions of the Committees								
		Temporary	Temporary Destroy When 3 years old	N1-241-01-3b	Records of the Public Advisory Committees	Patent Public Advisory Committee			
1.a.4.3	Reference Copies of R	ulemaking Files of the Pa	tent and Trademar	k PACs					
	Copies of rule changes,	review notes, background r iking procedures (NOTE O	naterials, and other	related papers rega					

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SF115	subBucket and		New Retention		l	Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
		Temporary	Temporary	New Record Series	Reference Copies of Rulemaking Files of the Patent and Trademark PACs	GENERAL COUNSEL	
.a.5	Long-Term IP Program	Administrative	· · · · · · · · · · · · · · · · · · ·				
	Records of various adminion longer-term use	nistrative activities which su	upport the efforts of t	the Intellectual Prop	perty program admin	stration needed for	
a.5.1	IP Program Administrat						
	USPTO Includes files the These may include action	ministrative records which r nat contain program records nable matters of an interna other offices, and include t	s of an administrative I administrative natur the following	e support nature an re, be applied by an	nd which are common office that receives	n to USPTO offices and takes action on	
		Temporary	Temporary Destroy when 5 years old	N1-241-95-1 31b	Trilateral Statistical File	Office of Corporate Planning	
		Temporary	Temporary Destroy when 5 years old	N1-241-95-1 45	Reengineering Team Working Papers	Office of Corporate Planning	
		Temporary	Temporary Destroy when 5 years old	N1-241-95-1 48a	Trilateral Patent Data Exchange Program	Office of Corporate Planning	
			-				
		Temporary	Temporary Destroy when 5 years old	N1-241-96-7 77	Oversight Report File	Search and Information Resources Administration	

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SF115	subBucket and		New Retention			Current Office of				
Item	Description	Main Retention	Period		Current SeriesTitle	Record	AIS			
	Records of various administrative activities which support the efforts of the Intellectual Property program administration and are not needed for long-term use These include working papers, Public Affairs reports, program research background files, copies of controlled correspondence files, internal speaker's files, which support the efforts of daily administrative efforts for managing the hig level offices of the USPTO which do not have a direct bearing on a transaction, intermediate drafts of documents and worksheets the do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents									
.a.6.1	IP Program Office Discretionary Activity Records and Subject Files									
	Temporary short-term administrative records which reflect retentions of the General Records Schedule in intent but are unique to the USPTO Includes the following									
		Temporary	Temporary Destroy when 2 years old	N1-241-96-1 2a,b	Controlled Correspondence Files	Office of Corporate Planning	EDMS			
		Temporary	Temporary Destroy when 2 years old	N1-241-96-1 3	Index to Controlled Correspondence	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	EDMS			
<u>-</u>		Temporary	Temporary Destroy when 2 years old	N1-241-96-1 39	Speech Files	OFFICE OF ENROLLMENT AND DISCIPLINE				
		Temporary	Temporary Destroy when 2 years old	N1-241-95-1 48b	Trilateral Patent Data Exchange Program	Office of Corporate Planning				
		Temporary	Temporary Destroy when 2 years old	N1-241-97-1 1	Speaker's Files	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO				
		Temporary	Temporary Destroy when 2 years old	N1-241-96-1 28	Controlled Correspondence Files	Office of Public Affairs				

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SF115	subBucket and		New Retention			Current Office of				
Item	Description	Main Retention Temporary	Period Temporary Destroy when 2 years old	Current Citation N1-241-96-1 1b	Current SeriesTitle Director's Files	Record UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	AIS			
		Temporary	Temporary Destroy when 2 years old	New Record Series	Low/Mid-Level Official Presentation/Spee ch Files	GENERAL COUNSEL				
		Temporary	Temporary Destroy when 2 years old	New Record Series	Management Council Calendars	GENERAL COUNSEL				
1.a.7	Agency Director's Inte	rnal Web Log (Blog)			•					
	of encouragement, legislentries	ation and activities impac	Temporary Destroy when 2	New Record	s May include copie	es of the external blog				
1.b	IP Legal Activities									
1.b.1	Intellectual Property Legal Activity									
	These are records of act decisions, defense of US The General Counsel is r legal advisor in assuring authority to hear appeals pursuant to 35 U S C § 7 The Office of the Solicito works in collaboration with	PTO decisions in court a responsible for overall ma the provision of legal adv from decisions in enrolin 122 for releasing informa r serves as legal counsel th the Department of Cor	and administrative tribu anagement of the divis vice and representation nent and discipline ma tion concerning paten to the USPTO on inter nmerce on interagence	unals, and regulations on and acts as the n for the agency Thatters, and to detern t applications ellectual property (IF cy IP law matters	n of persons practici Under Secretary an ne General Counsel nine whether special	ng before the USPTO Id Director's principal has also been delegated circumstances exist Solicitor's Office also				

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
1.b.1.1			Fenou	Ourrent Oitation	Current Genes Thie		
1.b.1.1	These records consist of - USPTO litigation files for - USPTO litigation files for - USPTO litigation files for - USPTO litigation files for These USPTO litigation	ourt Cases d to intellectual property (IF f the following types of reco or cases designated by a U or cases that changed USP or cases in which a decision or cases concerning the pat files may consist of the follo ISPTO employees used as	rds S Court as binding TO examining or gra n on the merits has is tenting of landmark t	precedent in paten anting procedures, ssued from the U S echnologies are used to prepare	t and trademark law, Supreme Court, an	d In court copies of	
		Posing counsel or other fede PTO Director and the USP Permanent					
		Permanent	Permanent Transfer to the National Archives when 30 years old	New Record Series	Trademark Appeals Files	OFFICE OF THE SOLICITOR	
		Permanent	Permanent Transfer to the National Archives when 30 years old	N1-241-96-1 7	Trademark Appeals Files	OFFICE OF THE SOLICITOR	
		Permanent	Permanent Transfer to the National Archives when 30 years old	New Record Series	Index to Appeals Case	GENERAL COUNSEL	

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SF115	subBucket and		New Retention	· · · · · · · · · · · · · · · · · · ·		Current Office of			
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS		
nem	Description	Permanent	Permanent	New Record	Employee	GENERAL COUNSEL			
		i ermanent	Transfer to the	Series	(Examiner's)				
			National Archives		Testimony				
			when 30 years old		l				
			When 50 years old						
.b.1.2	Solicitor's Office Recor	rds Related to Non-Prec	edential Court Case	s					
		d to IP litigation that is not ecedent in patent and trad		clude - USPTO litig	ation files for cases	not designated by a			
		or cases that have little or							
	These USPTO litigation files may include copies of certified depositions of USPTO employees used as testimony in court cases including such items as background materials, drafts and notes for testimony, indices used to identify patent and trademark appeals in the Federal Courts, court papers, correspondence, and briefs and legal memoranda in appeals from decisions of the USPTO Director and the USPTO's administrative boards concerning trademark or patent rights								
		Temporary	Temporary	N1-241-96-1 41	Index to Appeals	OFFICE OF THE			
		Temporary	Destroy 30 years after date of appeal/closure		Cases (of the General Counsel)	SOLICITOR			
		Temporary	Temporary Destroy 30 years after date of appeal/closure	N1-241-96-1 6b	Court Cases	OFFICE OF THE SOLICITOR			
		Temporary	Temporary Destroy 30 years after date of appeal/closure	N1-241-97-1 9	Examiners Testimony	OFFICE OF THE SOLICITOR			
		Temporary	Temporary Destroy 30 years after date of appeal/closure	N1-241-96-5 20a	Proposed Patent Laws and Rules	BOARD OF PATENT APPEALS AND INTERFERENCES			

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SF115	subBucket and		New Retention			Current Office of				
Item	Description	Main Retention	Period		Current SeriesTitle		AIS			
	Includes a record copy of	f correspondence, historical								
		Temporary	Temporary	N1-241-96-1 12		OFFICE OF THE				
			Destroy when 10		of the Office of the	SOLICITOR				
			years old		General Counsel					
l.b.1.4	Non-Administrative IP I	Law Internal Management	, Program, and Su	bject Files	I					
		uned by individual attorneys	•	-		-				
	complete assignments Includes reference materials and duplicated official correspondence located in other files, and documentation of review of legal activities of USPTO offices Includes attorney working files and legal advice files									
		Temporary	Temporary	N1-241-96-5 <sup>.</sup> 20b	Proposed Patent	BOARD OF PATENT				
			Destroy when no		Laws and Rules	APPEALS AND				
			longer needed			INTERFERENCES				
		Temporary	Temporary	N1-241-96-1 13	Subject Files -	GENERAL COUNSEL				
			Destroy when no		Office of the					
			longer needed		General Counsel					
1.b.2	Patent Appeal, Interfere	ence, and Trial Activity	L	1	• • • •					
		cial activities involving pater								
		aminers on applications for p				iners in ex parte and				
	inter parte reexamination	n proceedings, and determin	ning priority and pate	entability of inventio	n in interferences					
1.b.2.1	Patent Interference Cas	ses - Open to the Public								
			·····			These				
		briefs, decisions and other d								
		ire open to the public becau	se at least one pate	ent or at least one pl	ublished application	is involved in the				
	Interference									
		Permanent	Permanent	N1-241-96-5 11a	Interference Case	BOARD OF PATENT				
			Transfer to		Files	APPEALS AND				
			National Archives			INTERFERENCES				
			40 years after							
			close of case							
			close of case							

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent Transfer to National Archives 40 years after close of case	N1-241-96-5 11b		BOARD OF PATENT APPEALS AND INTERFERENCES	
	Permanent	Permanent Transfer to National Archives 40 years after close of case	N1-241-96-5 12b		BOARD OF PATENT APPEALS AND INTERFERENCES		
r		Permanent	Permanent Transfer to National Archives 40 years after close of case	N1-241-96-5 16a	Interference Exhibits	BOARD OF PATENT APPEALS AND INTERFERENCES	
1.b.2.2	Settlement Agreements	5			I		
		Permanent	Permanent Transfer to National Archives 40 years after close of case	N1-241-96-5 14	Interference Settlement Agreements	BOARD OF PATENT APPEALS AND INTERFERENCES	
l.b.2.3	Patent Appeal Cases		1	1	. <b>1</b>		
	Decisions made by the B the BPAI, and petitions u	Board in appeals, Petitions t Inder 35 USC 135(c)	o the Director which	n result from reques	ts related to superint	ending the functions of	
		Permanent <sup>,</sup>	Permanent Decision and appeal case documentation goes into the Patent Case File, see Patent Case	N1-241-96-5 10a	Ex Parte Petitions to the Director	BOARD OF PATENT APPEALS AND INTERFERENCES	

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SF115	subBucket and	· · · · · · ·	New Retention		T	Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
	Description	Permanent	Permanent	N1-241-96-5 8a	BPAI Appeals	BOARD OF PATENT	
		Fermanent	Decision and	111-241-90-5 08	Decision Files	APPEALS AND	
			appeal case		Decision Files	INTERFERENCES	
			documentation			INTERPERENCES	
			goes into the				
			Patent Case File,				
			see Patent Case				
			File for specific				
			retention				
						1	
1.b.2.4	Interference Proceeding	gs under DOE and NASA	Acts				
·							
		files relating to the Departn					
		Not for Public Access Re	estricted access only	/ for other governme	ent agencies Files a	are few in number, with	
	one or two cases per yea	r					
		Permanent	Permanent	N1-241-96-	Proceedings	BOARD OF PATENT	
			Transfer to	5 15a,b	Under DOE and	APPEALS AND	
			National Archives	,	NASA Acts	INTERFERENCES	
			when 40 years old				
		Permanent	Permanent	N1-241-96-5 12a	Index to Patent	BOARD OF PATENT	
			Transfer to		Interferences	APPEALS AND	
			National Archives			INTERFERENCES	
			when 40 years old				
				,			
1.b.2.5		ses - Closed to the Public	· · · · · · · · · · · · · · · · · · ·				
	Depositions, testimony, b	priefs, decisions and other	and the second	o the interference c	ase, including non-p	hysical exhibits These	
		Temporary	Temporary				
			Destroy 40 years				
			after close of case				
1.b.2.6	Patent Appeal and Inte	rference Case Tracking	-				
	Consists of administrativ	e records that track workflo	ow actions and busin	ess process of app	eals and interferenc	e activities, includes	
		e status, disposition of the o					
		e tracking Currently BPAI					
					stang bysterny as the		

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SF115	subBucket and		New Retention	I		Current Office of	T
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
		Temporary	Temporary Destroy 5 years after close of case	N1-241-96-5 7a	Appeals Case Tracking System (ACTS) - ELECTRONIC	BOARD OF PATENT APPEALS AND INTERFERENCES	ACTS
		Temporary	Temporary Destroy 5 years after close of case	N1-241-96-5 7b	Appeals Case Tracking System (ACTS) - ELECTRONIC	BOARD OF PATENT APPEALS AND INTERFERENCES	ACTS
		Temporary	Temporary Destroy 5 years after close of case	N1-241-96-5 17b	Index to Patent Interference Exhibits	BOARD OF PATENT APPEALS AND INTERFERENCES	ACTS
1.0.2.7	Administrative Reports	of the BPAI	_ <b>I</b>	<u> </u>			
		es and status, such as back icludes but is not limited to	• •	•		staffing, production	
		Temporary	Temporary Destroy 5 years after the end of the fiscal year for which the report was prepared	N1-241-96-5 22	BPAI Administrative Reports	BOARD OF PATENT APPEALS AND INTERFERENCES	
1.b.2.8	Recusal Statements of	the BPAI					
	Statements by members	of the Board recusing then	nselves from cases	in which a particulai			
		Temporary	Temporary Destroy when superseded or destroy 2 years after member leaves Board	New Record Series	Recusal Statements of the BPAI	GENERAL COUNSEL	
1.b.2.9	Non Case-Related Adm	inistrative Records for B	PAI				

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•			II _Auministration_	CIUSSWAIK_IU_ZO_	10				
SF115	subBucket and	· ·	New Retention			Current Office of			
Item	Description	Main Retention	Period		Current SeriesTitle		AIS		
	issues, rulemaking comm directives, hearing calend	eeded for various non case nents and reviews (where I dars, copies of notices of d function statements, organ	BPAI is not office of lecision, subject files	record), predecesso	or operating procedu	res and former			
		Temporary	Temporary Destroy when 2 years old	N1-241-96-5 23	BPAI Correspondence Subject Files	BOARD OF PATENT APPEALS AND INTERFERENCES			
		Temporary	Temporary Destroy when 2 years old	N1-241-96-5 28	BPAI Function Statements and Administrative Procedures	BOARD OF PATENT APPEALS AND INTERFERENCES			
		Temporary	Temporary Destroy when 2 years old	N1-241-96-5 10b	Ex Parte Petitions to the Director	BOARD OF PATENT APPEALS AND INTERFERENCES			
1.b.2.10	Physical Exhibits	L	- 1	1		P			
	Physical exhibits for interference proceedings Received infrequently								
		Temporary	Temporary Offer to interference party after the case is terminated Destroy unwanted exhibits	N1-241-96-5 16b	Interference Exhibits	BOARD OF PATENT APPEALS AND INTERFERENCES			
1.b.3	Trademark Trial and Ap	opeal Activity		J	L	A A A A A A A A A A A A A A A A A A A			
	registrations, reviews and	ds of review for adverse de d decisions on adversary p s involving applications for	roceedings by partie	s opposing or seek	ing to cancel tradem				
1.b.3.1	Trademark Trial and Ap	opeal Proceedings and R	elated Indexes						
	Case files of Board hear	ings and decisions on adve	ersary proceedings in	volving the followin	g				
	-oppositions to the registration of trademarks, -petitions to cancel trademark registrations, -proceedings involving applications for concurrent use registrations of trademarks, and -ex parte board decision appeals taken from the Trademark examining attorneys' refusals to allow registration of a trademark and publication in the Official Gazette								

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period		Current SeriesTitle	Record	AIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-96-5 1a	Opposition Files	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-96-5 2a	Cancellation Files	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-96-5 3	Concurrent Use Proceedings	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-96-5 2a,b	Cancellation Files	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-96-5 4b	Ex Parte Appeal Proceedings (Abandoned Appeals)	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Permanent	Permanent Transfer 5 years after close of case	N1-241-97-1 7	TTAB Case Index	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
1 b.3.2	Trademark Trial and Ap	l opeal Administrative Files	5				
	limited to the following and tracking reports, refe	n-case administrative reco proceedings' corresponden erence reports, system gen proceeding corresponden	ce, automatically ge erated workflow rep	nerated letters, que orts, decision assigi	ue files to employee nment logs, hearing	s for action, productivity calendars, data and	
		Temporary	Temporary Delete/return when case is terminated or when no longer needed whichever is first	N1-241-01-02 1c2	Trademark Trial and Appeal Board Information System (TTABIS)	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS

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•				CIUSSWAIK_10_20_	1		
SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Temporary	Temporary Delete/return when case is terminated or when no longer needed whichever is first	N1-241-01-02 1d	Trademark Trial and Appeal Board Information System (TTABIS)	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Temporary	Temporary Delete/return when case is terminated or when no longer needed whichever is first	N1-241-01-02 1e	Trademark Trial and Appeal Board Information System (TTABIS)	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
		Temporary	Temporary Delete/return when case is terminated or when no longer needed whichever is first	N1-241-96-5 5	Exhibits Filed with Testimony (TTAB)	TRADEMARK TRIAL AND APPEAL BOARD	TTABIS
1.b.4	Attorney and Agent En	rollment and Discipline	Activity		1		
	Involves USPTO legal ar	nd administrative activity n	ecessary for the enro	liment and disciplin	e of attorneys and p	ractitioners	
1.b.4.1	Enrollment Examinatio	n			14 -	v	
	Record copy of examinat	tions given to new registra	ints applying to praction	ce before the USP1	0		
		Permanent	Permanent Transfer directly to NARA when 10 years old	N1-241-96-1 29	Enrollment Examination	OFFICE OF ENROLLMENT AND DISCIPLINE	
1.b.4.2	Enrollment and Discipl	ine Application and Ros	ter Maintenance File	25	L		

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SF115	subBucket and		New Retention	T		Current Office of	
Item	Description	Main Retention	Period		Current SeriesTitle		AIS
		orneys or agents registere			ted files Includes th	ne following	
	- new registrant files,	Attorneys or Agents regis	·	ore the USPTO,			
		o registered Attorney and	÷				
	1	nt applications, - moral cha	aracter investigation f	iles,			
	<ul> <li>complaint files,</li> </ul>						
		Temporary	Temporary Destroy 60 years after close of	N1-241-01-8 1a	Case Folders of Registered Attorneys and	OFFICE OF ENROLLMENT AND DISCIPLINE	
			entire registrant file		Agents		
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 1b	Case Folders of Registered Attorneys and Agents	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1 36a	Closed Complaint Files - Disciplinary Proceeding is Initiated	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1 8	Disciplinary Files	OFFICE OF THE SOLICITOR	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 2a	Closed Complaint Files - No Disciplinary Proceeding is Initiated	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 2b	Closed Complaint Files - No Disciplinary Proceeding is Initiated	OFFICE OF ENROLLMENT AND DISCIPLINE	

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SF115	subBucket and		New Retention	Crosswalk_10_28_		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 3b	Data Sheet Files	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 4a	Unsuccessful Applications	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 4b	Unsuccessful Applications	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1 37	Reinstatement Correspondence	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 3a	Data Sheet Files	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant	N1-241-01-8 1c	Case Folders of Registered Attorneys and Agents	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1.36b	Proceeding is Initiated	ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1 36c	Closed Complaint Files - Disciplinary Proceeding is Initiated	OFFICE OF ENROLLMENT AND DISCIPLINE	

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SF115	subBucket and		New Retention	<u> </u>		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	1	AIS
itein	Beschption	Temporary	Temporary	N1-241-97-1 3_	OED-Complaint	OFFICE OF	/
		remporary	Destroy 60 years	in 2 m or 1 or	Tracking	ENROLLMENT AND	
			after close of		liteening	DISCIPLINE	
				ľ			
.b.4.3	Subject Files Related T	o Enrollment and Discipl	ine				
	Correspondence and rep	orts related to enrollment a	and discipline activiti	es resulting in attori	ney registration and	discipline Includes	
		Temporary	Temporary	N1-241-96-1 38	Program Subject	OFFICE OF	
			Destroy when 15		Files of the Office	ENROLLMENT AND	
			years old		of Enrollment and	DISCIPLINE	
					Discipline		
.b.4.4	Enrollment Examinatio	l n Answer Sheets – Unsud	cossful Annlicant	s			
		t examinations for unsucce			determine that appl	icants for registration	
		Temporary	Temporary	N1-241-96-1 30b	Enrollment	OFFICE OF	
		remporary	Destroy when 3		Examinations	ENROLLMENT AND	
			months old or		Completed by	DISCIPLINE	
			after appeals		Applicants		
			process has				
			expired,				
			whichever is later				
l.b.4.5		es, Office of Enrollment a					
	Records from the Admin	istrative Law Office pertain		unique to USPTO E	nrollment and Disci	pline program	
		Temporary	Temporary				
			Destroy 5 years				
			after final decision				
).4.6	Enrollment Examinatio	n Answer Sheets – Succe	essful Applicants				
7110							
	<b>T</b>	1	Ed analyzanta Eve		termine that applies	nto for requiretion foiled	<u> </u>
	lest results of enrolimer	t examinations for success			Enrollment	ants for registration failed	
		Temporary	Temporary	N1-241-96-1.30a	Examinations	ENROLLMENT AND	
			Destroy after			DISCIPLINE	
			grades are		Completed by		
			registered		Applicants		
1.b.4.7	Enrollment and Discipl	ine Roster of Attorney's a	and Agents Regist	ered to Practice Be	etore the USPIO		
							1

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SF115	subBucket and	Main Datantian	New Retention Period	Current Cutation	Current SeriesTitle	Current Office of Record	AIS		
Item	Description	Main Retention eys and agents registered f					AI5		
		hose attorneys and agents	•						
		Temporary	Temporary Destroy when superseded	N1-241-96-1 31	Registration Ledgers	OFFICE OF ENROLLMENT AND DISCIPLINE	OEDIS		
		Temporary	Temporary Destroy when superseded	N1-241-96-1 33a	Roster Attorneys and Agents Registered to Practice Before the USPTO	OFFICE OF ENROLLMENT AND DISCIPLINE	OEDIS		
		Temporary	Temporary Destroy when superseded	N1-241-96-1 33b	Roster Attorneys and Agents Registered to Practice Before	OFFICE OF ENROLLMENT AND DISCIPLINE	OEDIS		
.b.4.8	Director's OED Decisio				•				
	Reference copies of non-interlocutory decisions issued by the Commissioner for examination regrades, denials of entry, Office of Enrollment and Discipline (OED) disciplinary hearings or decisions, determinations of technical and scientific qualifications, and to practice before the USPTO Used by OED staff for reference purposes								
		Temporary	Temporary Destroy when no longer needed for current USPTO business	N1-241-96-1 42	Director's Decision Files	OFFICE OF ENROLLMENT AND DISCIPLINE			
՝ <b>ხ.</b> 5	Short-Term IP Legal Ac	dministration Activity		. I	······································				
		gal administrative activities ne IP legal activities of the l		respondence files,	working papers, com	muttee files, and			
I.b.5.1	Short-Term IP Legal Ad	ctivity Administrative Fur	nctional Statements	and Procedural R	lecords				

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SF115	subBucket and		New Retention			Current Office of			
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS		
		Temporary	Temporary Destroy 2 years after statements and procedures superseded	New Record Series	Short-Term IP Legal Activity Administrative Functional Statements and Procedural Records	GENERAL COUNSEL			
b.5.2	Records         Records deemed unique to the USPTO, but having short-term general administrative value that does not warrant long-term retention to the office These records include production reports, case logs, data on all cases ready for a decision, log of public requests for files, reference reports, tracking of reports, index of appeals proceedings and their location and bibliographic information, copies of reports to the Director, copies of trend analysis and long-term planning reports, input forms used to track and update patent and trademark data, and copies of review comments for proposed other than that in the office of record for the regulation, and administrative subject files								
		Temporary	Temporary Destroy when 2 years old	New Record Series	Short-Term IP Legal Activity Office Discretionary and Operational Records	GENERAL COUNSEL			
		Temporary	Temporary Destroy when 2	N1-241-96-1 2c	Controlled Correspondence Files - Duplicates	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL			