# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE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Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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All items are active in full except item a-1-2 which is partially superseded for records concerning 2017 and later agency budget submissions.

#### SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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	SUF	9 GRS OR PERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	U S Patent and Trademark Offi	ce		see attached	
	Intellectual Property Admini	stration			i
	These records are unique to the intellectual property programs a Office	administration of agency t the U S Patent and Trademark			
	a- Intellectual Property Program Ad 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

# a-2 - 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

## a-4 - 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

## a-7 - Agency Director's Internal Web Log (Blog)

#### **b - IP Legal Activities**

# **b-1** - 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

# b-2 - 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

# **b-3** - 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

# b-4 - 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

# b-5 - 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

#### a-1 - 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

# a-3 - 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

# a-4 - 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

# a-6 - 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

## a-7 -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

# **b-1** - 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 US 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

# b-2 - 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

# **b-3** - 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

# **b-4** - 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

# **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

	Office of the Chief Administ	rative Office	r – Crosswa	alk/Anno	otation
SF115 Item	SubBucket and Description	Main Retention	New Retention Period	Current Citation	Current Series Title
Current Ir	<u>iformation</u>				
N1-241- 09-1	Intellectual Property Administration				
	Policy development, direction and management of the primary USPTO program functions and services.  a-1-1 Agency Director's Actions and Subject Files	Permanent Transfer when 25 years old.	No change	N1- 241-09- 1, a1.1	a-1 Undersecretary and Director Actions
	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 Permanent:				
Changes I	Requested to the Records Schedule				
N1-241- 09-1	Intellectual Property Administration				
	Policy development, direction and management of the primary USPTO program functions and services.  a-1-1 Undersecretary/Director and Capstone Official Actions and Subject Files	Permanent Transfer when 25 years old.	No change	N1- 241-09- 1, a1.1	a-1 Undersecretary/Director and Capstone Official Actions
	Official records of the Undersecretary/Director and Capstone Officials. These documents include but are not limited to the implementation of the agency mission and function such as: - Memoranda, reports, and briefings - Delegations of authority and directives - Management initiatives and reviews - Agency organizational charts				

_	Strategic plans		
	Calendars		
-			
-	Final copies of speeches delivered		
	by the		
	Undersecretary/Director/Capstone		
	Officials, or on their behalf		
_	Briefing booklets and transcripts		
-	Journals and meeting notes		
-			

		Intelle	ctual Property (II	P) Administration	n		
SF115	subBucket and		New Retention	ĺ		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
1.a	IP Program Administrat						
1.a.1	Undersecretary and Dir						
		ction and management of the		-			
		velopment, legislative and i	nternational relation	s activities that effe	ctively implement, gi	rant, maintain, and	
	promote the U.S. IP syste		8 LIBIT				
1.a.1.1	Agency Director's Action						
		ency head and their deputy					
	the implementation of the	e agency mission and funct	ion such as				
	- memoranda, reports, a	_					
l	- delegations of authority						
	- Management initiatives	and reviews					
	- agency organization						
	- Mandated Strategic Pla	ins					
	- Director's Calendars	ara aratar.					
	- Subject files of the Und		or on thour bobalf				
	- Briefing booklets and tr	es delivered by the Director	, or on their benan				
		anscripts I property (IP) case files an	d ID logiclative files				
	- international intellectua	i property (iP) case liles and	u ir iegisiatīve tiles				
		Permanent	Permanent-	N1-241-95-1 44	Strategic Plans	Office of Corporate	
		Permanent	Transfer when 25	1111-241-30-1 44	and Operational	Planning	
			years old		Plans Working	i idining	
			years old		Papers		
					, aporo		
		Permanent	Permanent-	N1-241-96-1 1a	Director's Files	UNDER SECRETARY	
, '			Transfer when 25			OF COMMERCE FOR	
			years old			INTELLECTUAL	
						PROPERTY AND	
	1					DIRECTOR OF THE	
						USPTO	
		Permanent	Permanent-	N1-241-96-1 4	Speech Files	UNDER SECRETARY	
		Fermanent	Transfer when 25	111-271-30-17	Special Files	OF COMMERCE FOR	
			years old			INTELLECTUAL	
			years old			PROPERTY AND	
						DIRECTOR OF THE	
ŧ						USPTO	
						00110	

SF115	subBucket and		New Retention			Current Office of	I
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
ilein	Description	Permanent	Permanent- Transfer when 25 years old	N1-241-96-1·40	Deputy Director's Files	Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the USPTO	Allo
		Permanent	Permanent- Transfer when 25 years old	N1-241-96-1 5a	Director's Calendars	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
		Permanent	Permanent- Transfer when 25 years old	N1-241-96-6 37	Proposed Intellectual Property Legislation Files	DEPUTY ADMINISTRATOR FOR EXTERNAL AFFAIRS	OLIADS
		Permanent	Permanent- Transfer when 25 years old	N1-241-96-6 38	International Intellectual Property Activities Case Files	Office of International Relations	OLIADS
		Permanent	Permanent- Transfer when 25 years old	N1-241-97-1 6	BPAI Speeches	BOARD OF PATENT APPEALS AND INTERFERENCES	
		Permanent	Permanent- Transfer when 25 years old	N1-241-95-1 41	USPTO Organizational Records	Office of Corporate Planning	
		Permanent	Permanent- Transfer when 25 years old	N1-241-95-1 30	USPTO Program Performance Files	Office of Corporate Planning	
.a.1.2	Corporate Decisions			•	•		
	Official USPTO corporate	e-level decision records w rilateral Statistical Report	•	• •	•	al budget submissions,	
		Permanent	Permanent Transfer 10 years after close of file	New Record Series	Management Council Decisions	GENERAL COUNSEL	
					1	I .	

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SF115	subBucket and		New Retention			Current Office of	410
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent	N1-241-95-1 31a	Trilateral	Office of Corporate	
			Transfer 10 years		Statistical File	Planning	
			after close of file				
			İ			ĺ	
		Permanent	Permanent	N1-241-95-1 49	Final Budget	Office of Corporate	
			Transfer 10 years		Submissions	Planning	
			after close of file				
		Permanent	Permanent	N1-241-95-1 50a	Budget Hearing	Office of Corporate	
		Permanent	Transfer 10 years	N1-241-95-1 50a	Books and	Planning	
			after close of file		Background		
			arter close of file		Records		
			<u> </u>		records		
<u>.1.3</u>		rnal Public Web Log (Blog				anala anandirar	
		s Blog and comments recei	ved, on such topics	as patent examinat	ion process, agency	goals, spending	
	authority, and major publ		T	T = .	1	I	
		Permanent	Permanent	New Record	N/A	N/A	
			Transfer when 5	Series			
			yaers old				
1.a.1.4	Rule Reviews and Rule	making	-				
		the development, clearance	e, and processing of	of proposed and fina	al rules for publicatio	n in the Federal	
	Register and copies of re	esponses after publication					
		Temporary	Temporary	N1-241-96-1 11	Rule Review File	OFFICE OF GENERAL	
			Destroy 25 years			LAW	
			after closure				1
1.a.2	National Medal of Tech	nology and Innovation (N	MTI)				
	Those are formarly Notes	onal Medal of Technology fil	os/ropords from DO	C and transferred t	o PTO in March of 2	008	•
			es/records from DC	C and transferred to			
1.2.1	Successful Nomination	V-124	fours latters of			on shout the confusiont	
		ation Files such as nominati					
		cription of the achievement,					
		ology, which is the highest I	ionor awarded by ti	ie President of the	onited States for tec	rinological innovation	
	Arranged by year, there	under by norninee					
		Permanent	Permanent Cut	N1-040-01-1 6a	National Medal of	UNDER SECRETARY	
		1	off files annually,	(Transferred	Technology and	OF COMMERCE FOR	
			transfer to the	series from Dept	Innovation	INTELLECTUAL	
			National Archives	of Commerce)	Nominations	PROPERTY AND	
			and Records		Records	DIRECTOR OF THE	
			Administration 10		(Successful)	USPTO	
			years after cutoff				

SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
a.2.2	Minutes of the NMTI Ev						
	!	espondence documenting	the annual evaluation	n by committee of the	ne nominations for t	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	
	1		transfer to the	series from Dept	Technology	INTELLECTUAL	
	1		National Archives	of Commerce)	Evaluation	PROPERTY AND	
			and Records		Committee	DIRECTOR OF THE	
			Administration 10			USPTO	
			years after cutoff				
			yours area outen				
a.2.3	NMTI Program Subject						
	Letters, memorandums,	reports, and other corresp	oondence related to the	ne activities and fun	ctions of the office	Arranged by subject	
	1,111	Temporary	Temporary Cut	N1-040-01-1 8	National Medal of	UNDER SECRETARY	
	ı		off files annually,	(Transferred	Technology	OF COMMERCE FOR	
	1		destroy 5 years	series from Dept	Program Subject	INTELLECTUAL	
			after cutoff	of Commerce)	Files	PROPERTY AND	
		1					
			and date	1		DIRECTOR OF THE	
						DIRECTOR OF THE USPTO	
.a.2.4	Unsuccessful Nominat	ion Files	distribution of the state of th	,		1	·
.a.2.4	NMTI unsuccessful Nom	ination Files such as nom	ination forms, letters			USPTO nation about the	
a.2.4	NMTI unsuccessful Nom		ination forms, letters			USPTO nation about the	
a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	unation forms, letters chievement, and other	supporting docum	entation submitted o	nation about the nominee	
a.2.4	NMTI unsuccessful Nom	ination Files such as nom	ination forms, letters thievement, and other Temporary Cut	N1-040-01-1 6b	entation submitted of	uspto nation about the n behalf of the nominee UNDER SECRETARY	
a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	Temporary Cut off files annually,	N1-040-01-1 6b (Transferred	National Medal of Technology and	uspto nation about the nominee UNDER SECRETARY OF COMMERCE FOR	
.a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	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	
a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	Temporary Cut off files annually,	N1-040-01-1 6b (Transferred	National Medal of Technology and Innovation Nominations	USPTO  nation about the in behalf of the nominee  UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	
a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	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 in behalf of the nominee  UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
a.2.4	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	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 in behalf of the nominee  UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	
	NMTI unsuccessful Nom	nination Files such as nomeam), description of the ac	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 in behalf of the nominee  UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE	
	NMTI unsuccessful Nom applicant (individual or te	nination Files such as nomeam), description of the ac	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	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	
a.3	NMTI unsuccessful Nom applicant (individual or te	nination Files such as nomeam), description of the ac  Temporary	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	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	
.a.3	NMTI unsuccessful Nom applicant (individual or te	Temporary  on of USPTO activities, sur	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	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	
.a.2.4 .a.3	NMTI unsuccessful Nom applicant (individual or te	Temporary  on of USPTO activities, su	Temporary Cut off files annually, destroy 3 years after cutoff	N1-040-01-1 6b (Transferred series from Dept of Commerce)	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	
a.3	NMTI unsuccessful Nom applicant (individual or te	Temporary  Tomos of USPTO activities, sur releases and agency form	Temporary Cut off files annually, destroy 3 years after cutoff  ch as outreach, officianications  al public communications	N1-040-01-1 6b (Transferred series from Dept of Commerce)	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  ewhere in the schedule	

•							
SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	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	·,— ··.)i	1 20,000				
		nd photos of high-level US on-Director high-level USP		entation of USPTC	public affairs progra	ams and events	
		Permanent	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 Administration	n Records of Sensitive A	Archival Nature				
	This item includes public needs per 36 CFR1228 exhibit photographs, and include Newsletter photographs	affairs photographs (anal 184 These include portra tother photographs docun ographs, and other photographs of social ever	log and digital) and no hits of key United Stat nenting USPTO progi raphs used in interna	es Patent and Trad rams and public affa I USPTO announce	emark Office officials airs services NOTE ments or bulletins, ro	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	

SF115	subBucket and		New Retention	<u> </u>		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
1.a.3.4		each Program Administra	tive Files	•			
	Core project administrati	on of public affairs projects	Files containing rea	cord copy of corre	spondence, reports,	background papers	
		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>		
	Protection Act of 1999 (F	d maintenance of IP rights of Public Law 106-113) to advision and trade sers of the USPTO	se the Undersecreta	ary of Commerce fo	r Intellectual Propert	y and the Director of the	
1.a.4.1	Official Records of the	Patent and Trademark PA	\Cs				
		ee meeting files consisting on and briefings, meeting tra					
		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	\Cs			•	
	Working files consisting the Committees	of general letters and mem	orandum, forms, rep	oorts, and other ma	terials related to adm	ninistrative functions of	
		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 riking procedures (NOTE O	naterials, and other	related papers rega			

SF115	subBucket and		New Retention		I	Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Temporary	Temporary Transfer original files to Office of General Counsel Destroy reference copies when no longer needed by the PACs	New Record Series		GENERAL COUNSEL	
.a.5	Long-Term IP Program	Administrative					
	Records of various admillionger-term use	nistrative activities which su	upport the efforts of	he Intellectual Prop	erty program admin	stration needed for	
.a.5.1	IP Program Administra	tive Files					
	These may include action	nat contain program record nable matters of an interna other offices, and include t	l administrative natu the following	re, be applied by ar	office that receives	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	
1.a.6	Short-Term IP General	Program Administration	<u> </u>	1		1	

SF115	subBucket and		New Retention			Current Office of	<u> </u>
Item	Description	Main Retention	Period		Current SeriesTitle	Record	AIS
	needed for long-term use controlled correspondent level offices of the USPT	nistrative activities which sue. These include working pope files, internal speaker's for which do not have a direct that it basic steps in the preparagraph opies of documents.	apers, Public Affairs iles, which support ct bearing on a trans	reports, program r the efforts of daily a saction, intermediate	esearch background dministrative efforts e drafts of documen	d files, copies of for managing the high ts and worksheets that	
1.a.6.1	IP Program Office Disc	retionary Activity Record	s and Subject Files	•			
	Temporary short-term ac USPTO Includes the followed	Iministrative records which owing	reflect retentions of	the General Record	s Schedule in intent	but are unique to the	
		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
		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	

SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
		Temporary	Temporary Destroy when 2 years old	N1-241-96-1 1b	Director's Files	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE USPTO	
W		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 Inter	rnal Web Log (Blog)					<u> </u>
		Blog and comments rece ation and activities impact	ing USPTO workforc	e, and agency goals	May include copie	s of the external blog	
		Temporary	Temporary Destroy when 2	New Record Series	N/A	N/A	
1.b	IP Legal Activities			•			
1.b.1	Intellectual Property Le	gal Activity					
		vities for Intellectual Prop PTO decisions in court ar					

SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
1.b.1.1	Agency Precedential Co		I eriou	Ourient Oitation	Tourient oches into	1 Accord	٨١٥
1.0.1.1		d to intellectual property (IP	) litigation with legal	political and/or his	storical significance	of permanent value	
		the following types of recor		, political, artaror rik	otorioai oigiiiioarioo	or pormanone value	
		,					
	- USPTO litigation files for	or cases designated by a U	S Court as binding	precedent in patent	t and trademark law,		
	- USPTO litigation files for	or cases that changed USP	TO examining or gra	anting procedures,		-	
	LICOTO litigation files fo	or cases in which a decision	on the merite has u	nound from the LLC	Suprama Court on		
	- 05P10 illigation files it	or cases in which a decision	i on the ments has i	ssued from the O S	Supreme Court, an	lu	
	- USPTO litigation files for	or cases concerning the pat	enting of landmark t	echnologies			
		files may consist of the follo					
		SPTO employees used as					
		oosing counsel or other fede					
	from decisions of the US	PTO Director and the USP	TO's administrative	boards concerning	trademark or patent	rights	
		Permanent	Permanent	N1-241-96-1 6a	Court Cases	OFFICE OF THE	
			Transfer to the			SOLICITOR	
			National Archives				
			when 30 years old				
		Permanent	Permanent	New Record	Trademark	OFFICE OF THE	
			Transfer to the	Series	Appeals Files	SOLICITOR	
			National Archives				
			when 30 years old				
						055105 05 71 15	
		Permanent	Permanent	N1-241-96-1 7	Trademark	OFFICE OF THE	
1			Transfer to the		Appeals Files	SOLICITOR	
			National Archives				
			when 30 years old				
		Permanent	Permanent	New Record	Index to Appeals	GENERAL COUNSEL	
			Transfer to the	Series	Case		
			National Archives				
			when 30 years old				
					1		l

SF115	subBucket and		New Retention	1		Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent Transfer to the National Archives when 30 years old	New Record Series	Employee (Examiner's) Testimony	GENERAL COUNSEL	
b.1.2	Solicitor's Office Recor	ds Related to Non-Prece	l dential Court Case	<b>S</b>	<u> </u>		
	U.S. Court as binding pre	d to IP litigation that is non- ecedent in patent and trade	mark law,			not designated by a	
	These USPTO litigation functioning such items as the Federal Courts, court	or cases that have little or no files may include copies of background materials, draft t papers, correspondence, istrative boards concerning	certified depositions is and notes for testi and briefs and legal	s of USPTO employ mony, indices used memoranda in app	ees used as testimo to identify patent an	d trademark appeals in	
		Temporary	Temporary Destroy 30 years after date of appeal/closure	N1-241-96-1 41	Index to Appeals Cases (of the General Counsel)	OFFICE OF THE 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	
1.b.1.3	Correspondence of the	Office of the Solicitor an	nd the General Cou	nsel			

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
	Includes a record copy o	f correspondence, historica	al memoranda and s	ubject files prepare	d by the Office of the	Solicitor for use by the	
		Temporary	Temporary	N1-241-96-1 12	Correspondence	OFFICE OF THE	
		, ,	Destroy when 10		of the Office of the	SOLICITOR	
			years old		General Counsel		
	11 11 11 11 11		1. D	late of Etter			
.b.1.4	Non-Administrative IP	Law Internal Managemen	it, Program, and Su	bject Files			
		ined by individual attorney					
		Includes reference materi				les, and documentation	
	of review of legal activities	es of USPTO offices Inclu	des attorney working	g files and legal adv	ice files		
		T	Tomporore	N4 244 06 5:205	Dropood Datast	DOADD OF DATENT	
		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	
		Tomporer	Temporary	N1-241-96-1 13	Subject Files -	GENERAL COUNSEL	
		Temporary	Temporary	N1-241-90-1 13	Office of the	GENERAL COUNSEL	
			Destroy when no				
			longer needed		General Counsel		
l.b.2	Patent Appeal, Interfer	ence and Trial Activity	_ <b>.</b>			•	
1.0.2	atent Appeal, interior	choc, and man Activity					
1.0.2	1.	_	ent appeals and inter	ferences include the	e following reviewing	g ex parte appeals from	
1. <i>1</i> .2	Records concerning judi	cial activities involving pate					
	Records concerning judi	cial activities involving pate	patents, reviewing a	ppeals from advers	e decisions of exam		
	Records concerning judicativerse decisions of examiner parte reexamination	cial activities involving pate aminers on applications for a proceedings, and determ	patents, reviewing a	ppeals from advers	e decisions of exam		
1.b.2.1	Records concerning judicativerse decisions of examiner parte reexamination	cial activities involving pate	patents, reviewing a	ppeals from advers	e decisions of exam		
	Records concerning judicativerse decisions of examiner parte reexamination	cial activities involving pate aminers on applications for a proceedings, and determ	patents, reviewing a	ppeals from advers	e decisions of exam		
	Records concerning judicativerse decisions of examiner parte reexamination	cial activities involving pate aminers on applications for a proceedings, and determ	patents, reviewing a	ppeals from advers	e decisions of exam		
	Records concerning judicativerse decisions of examiner parte reexamination	cial activities involving pate aminers on applications for a proceedings, and determ	patents, reviewing a	ppeals from advers	e decisions of exam		
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case	cial activities involving pate aminers on applications for a proceedings, and determ ses - Open to the Public	patents, reviewing a ining priority and pate	ppeals from advers entability of inventio	e decisions of exam n in interferences	iners in ex parte and	
	Records concerning judicatives decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, I	cial activities involving pateraminers on applications for a proceedings, and determines - Open to the Public oriefs, decisions and other	patents, reviewing a ining priority and patents documents related to	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-p	hysical exhibits These	
	Records concerning judicatives decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, I	cial activities involving pate aminers on applications for a proceedings, and determ ses - Open to the Public	patents, reviewing a ining priority and patents documents related to	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-p	hysical exhibits These	
	Records concerning judicatives decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, I	cial activities involving pateraminers on applications for a proceedings, and determines - Open to the Public oriefs, decisions and other	patents, reviewing a ining priority and patents documents related to	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-p	hysical exhibits These	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pateraminers on applications for a proceedings, and determines - Open to the Public oriefs, decisions and other	patents, reviewing a ining priority and patents documents related to	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-p	hysical exhibits These	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pateraminers on applications for a proceedings, and determines - Open to the Public oriefs, decisions and other	patents, reviewing a ining priority and patents documents related to	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-p	hysical exhibits These	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pater aminers on applications for a proceedings, and determines and the Public briefs, decisions and other are open to the public because	patents, reviewing a ining priority and patents and patents and patents related to use at least one patents.	o the interference cannot or at least one pro-	e decisions of exam n in interferences  ase, including non-published application	hysical exhibits These is involved in the	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pateraminers on applications for a proceedings, and determines - Open to the Public oriefs, decisions and other	patents, reviewing a ining priority and patents documents related to use at least one patents.	eppeals from advers entability of invention	e decisions of exam n in interferences  ase, including non-published application  Interference Case	hysical exhibits These is involved in the	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pater aminers on applications for a proceedings, and determines and the Public briefs, decisions and other are open to the public because	patents, reviewing a ining priority and patents documents related to use at least one patents.  Permanent Transfer to	o the interference cannot or at least one pro-	e decisions of exam n in interferences  ase, including non-published application	hysical exhibits These is involved in the  BOARD OF PATENT APPEALS AND	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pater aminers on applications for a proceedings, and determines and the Public briefs, decisions and other are open to the public because	patents, reviewing a ining priority and patents and patents related to use at least one patents.  Permanent Transfer to National Archives	o the interference cannot or at least one pro-	e decisions of exam n in interferences  ase, including non-published application  Interference Case	hysical exhibits These is involved in the	
	Records concerning judicativerse decisions of examiner parte reexamination  Patent Interference Case  Depositions, testimony, Interference Case files a	cial activities involving pater aminers on applications for a proceedings, and determines and the Public briefs, decisions and other are open to the public because	patents, reviewing a ining priority and patents documents related to use at least one patents.  Permanent Transfer to	o the interference cannot or at least one pro-	e decisions of exam n in interferences  ase, including non-published application  Interference Case	hysical exhibits These is involved in the  BOARD OF PATENT APPEALS AND	

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SF115	subBucket and		New Retention	0		Current Office of	۸,۰
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent	N1-241-96-5 11b		BOARD OF PATENT	
	1		Transfer to		Files	APPEALS AND	
			National Archives			INTERFERENCES	
			40 years after				
			close of case				
		Permanent	Permanent	N1-241-96-5 12b	Index to Patent	BOARD OF PATENT	
			Transfer to		Interferences	APPEALS AND	
			National Archives			INTERFERENCES	
			40 years after				
	1		close of case				
		Permanent	Permanent	N1-241-96-5 16a	Interference	BOARD OF PATENT	
			Transfer to		Exhibits	APPEALS AND	
•			National Archives			INTERFERENCES	
			40 years after				
			close of case				
1.b.2.2	Settlement Agreements		- 18 (NO. 17 - 11	<del>-</del>			
	Cattle and A suppose and a	petween parties Filed by i		but mountained con	arataly from the Inte	rforonce Cone File et	
		order to maintain privacy					
		Permanent	Permanent	N1-241-96-5 14	Interference	BOARD OF PATENT	
			Transfer to		Settlement	APPEALS AND	
			National Archives		Agreements	INTERFERENCES	
			40 years after				İ
			close of case				1
1.b.2.3	Patent Appeal Cases				A.:.		
	Decisions made by the B	oard in appeals, Petitions	to the Director which	result from reques	ts related to superint	tending the functions of	
	the BPAI, and petitions u			·		-	
	W	Permanent ·	Permanent	N1-241-96-5 10a	Ex Parte Petitions	BOARD OF PATENT	
			Decision and		to the Director	APPEALS AND	
			appeal case			INTERFERENCES	
			documentation				
			goes into the				
			Patent Case File,				
			see Patent Case				
			File for specific				
			retention				
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Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Permanent	Permanent Decision and appeal case	N1-241-96-5 8a	BPAI Appeals Decision Files	BOARD OF PATENT APPEALS AND INTERFERENCES	
			documentation goes into the Patent Case File,				
			see Patent Case File for specific				
			retention				
b.2.4	Interference Proceeding	gs under DOE and NAS	A Acts	*****			
	Separate series of case t	files relating to the Depart	tment of Energy and N	IASA claime to nate	ante that may have h	een developed under	
		Not for Public Access F					
	one or two cases per year		testricted decess orny	Tor outer government	ont agonolog 1 hoo t	are row in named, with	
	, ,		In.	IN4 044 00	Durana	DOADD OF DATENT	
		Permanent	Permanent Transfer to	N1-241-96-	Proceedings	BOARD OF PATENT	
		Permanent	Transfer to	N1-241-96- 5 15a,b	Under DOE and	APPEALS AND	
		Permanent			1	t i	
		Permanent	Transfer to National Archives		Under DOE and	APPEALS AND	
		Permanent  Permanent	Transfer to National Archives when 40 years old Permanent		Under DOE and	APPEALS AND INTERFERENCES BOARD OF PATENT	
			Transfer to National Archives when 40 years old  Permanent Transfer to	5 15a,b	Under DOE and NASA Acts	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND	
			Transfer to National Archives when 40 years old  Permanent Transfer to National Archives	5 15a,b N1-241-96-5 12a	Under DOE and NASA Acts	APPEALS AND INTERFERENCES BOARD OF PATENT	
			Transfer to National Archives when 40 years old  Permanent Transfer to	5 15a,b N1-241-96-5 12a	Under DOE and NASA Acts	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND	
b.2.5			Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old	5 15a,b N1-241-96-5 12a	Under DOE and NASA Acts	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND	
b.2.5	Patent Interference Cas	Permanent	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic	5 15a,b N1-241-96-5 12a	Under DOE and NASA Acts  Index to Patent Interferences	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES	
.b.2.5	Patent Interference Cas	Permanent ses - Closed to the Publ	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary	5 15a,b N1-241-96-5 12a	Under DOE and NASA Acts  Index to Patent Interferences	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES	
.b.2.5	Patent Interference Cas	Permanent  Ses - Closed to the Publibriefs, decisions and othe	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary Destroy 40 years	5 15a,b N1-241-96-5 12a the interference c	Under DOE and NASA Acts  Index to Patent Interferences	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES	
.b.2.5	Patent Interference Cas	Permanent  Ses - Closed to the Publibriefs, decisions and othe	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary	5 15a,b N1-241-96-5 12a the interference c	Under DOE and NASA Acts  Index to Patent Interferences	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES	
.b.2.5	Patent Interference Cas	Permanent  ses - Closed to the Publoriefs, decisions and other  Temporary	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary Destroy 40 years	5 15a,b N1-241-96-5 12a the interference c	Under DOE and NASA Acts  Index to Patent Interferences	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES	
	Patent Interference Cas Depositions, testimony, b	Permanent  ses - Closed to the Public Priefs, decisions and other Temporary  rference Case Tracking	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary Destroy 40 years after close of case	5 15a,b N1-241-96-5 12a  o the interference c	Under DOE and NASA Acts  Index to Patent Interferences  ase, including non-pi	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES  hysical exhibits These	
	Patent Interference Cas Depositions, testimony, b  Patent Appeal and Inter Consists of administrative	Permanent  ses - Closed to the Publoriefs, decisions and other  Temporary	Transfer to National Archives when 40 years old  Permanent Transfer to National Archives when 40 years old  ic r documents related to Temporary Destroy 40 years after close of case	5 15a,b  N1-241-96-5 12a  the interference colless process of app	Under DOE and NASA Acts  Index to Patent Interferences  ase, including non-place and interference including non-place in the patent interference in the patent in the pa	APPEALS AND INTERFERENCES  BOARD OF PATENT APPEALS AND INTERFERENCES  hysical exhibits These e activities, includes	

SF115	subBucket and		New Retention			Current Office of	
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
.ø. <mark>2.7</mark>	Administrative Reports	of the BPAI					
		es and status, such as bac icludes but is not limited to				staffing, production	
		Temporary	Temporary	N1-241-96-5 22	BPAI	BOARD OF PATENT	1
		remporary	Destroy 5 years after the end of the fiscal year for which the report was prepared		Administrative Reports	APPEALS AND INTERFERENCES	
.b.2.8	Recusal Statements of		Destroy 5 years after the end of the fiscal year for which the report		Administrative	APPEALS AND	
.b.2.8			Destroy 5 years after the end of the fiscal year for which the report was prepared		Administrative Reports	APPEALS AND INTERFERENCES	
1.b.2.8		the BPAI	Destroy 5 years after the end of the fiscal year for which the report was prepared		Administrative Reports	APPEALS AND INTERFERENCES	

SF115	subBucket and		New Retention	1		Current Office of		
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS	
	issues, rulemaking comm directives, hearing calend	eeded for various non cas nents and reviews (where dars, copies of notices of function statements, orga	BPAI is not office of i decision, subject files	record), predecesso	or operating procedu	ires and former		
	, and the second	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							
	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	ppeal Activity	, , , , , , , , , , , , , , , , , , , ,					
	registrations, reviews and	ds of review for adverse of d decisions on adversary s involving applications for	proceedings by partie	s opposing or seek	ing to cancel tradem			
1.b.3.1	Trademark Trial and Ap	peal Proceedings and f	Related Indexes					
	Case files of Board hear	ings and decisions on adv	ersary proceedings in	nvolving the following	g			
		mark registrations, pplications for concurrent appeals taken from the T			to allow registration o	of a trademark and		

			II _/ tallillion and alloli_				
SF115	subBucket and		New Retention			Current Office of	,
Item	Description	Main Retention	Period	Current Citation	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
b.3.2	Trademark Trial and Ap	l ppeal Administrative Files	<u> </u> 				
	limited to the following pand tracking reports, refe	n-case administrative record proceedings' correspondent erence reports, system gen e proceeding correspondent	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

SF115	subBucket and		New Retention	T	1	Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
		Temporary	Temporary Delete/return when case is terminated or when no longer needed whichever is first	N1-241-01-02 1d	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		
		nd administrative activity r		llment and disciplin	e of attorneys and p	ractitioners	
1.b.4.1	Enrollment Examinatio	n		~~~	10	V-48	
	Record copy of examina	tions given to new registra	ants applying to practi	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	ster Maintenance File	es			

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SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period		Current SeriesTitle		AIS
	1	orneys or agents registere	·		ted files Includes th	ne following	
	1 ' '	Attorneys or Agents regis	stered to practice beto	ore the USPTO,			
	- new registrant files,						
		o registered Attorney and					
		it applications, - moral cha	aracter investigation f	iles,			
	<ul> <li>complaint files,</li> </ul>						
		Temporary	Temporary Destroy 60 years	N1-241-01-8 1a	Case Folders of Registered	OFFICE OF ENROLLMENT AND	
			after close of entire registrant		Attorneys and Agents	DISCIPLINE	
			file		95		
		Temporary	Temporary	N1-241-01-8 1b	Case Folders of	OFFICE OF	
	1		Destroy 60 years		Registered	ENROLLMENT AND	
			after close of		Attorneys and	DISCIPLINE	
			entire registrant		Agents		
			file				
		Temporary	Temporary	N1-241-96-1 36a	Closed Complaint		
			Destroy 60 years	L		ENROLLMENT AND	
			after close of		Proceeding is	DISCIPLINE	
			entire registrant		Initiated		İ
			file				
		Temporary	Temporary	N1-241-96-1 8	Disciplinary Files	OFFICE OF THE	
			Destroy 60 years			SOLICITOR	
			after close of				
			entire registrant				<b>!</b>
			file				
		Temporary	Temporary	N1-241-01-8 2a	Closed Complaint Files - No	OFFICE OF ENROLLMENT AND	
			Destroy 60 years			1	
			after close of		Disciplinary	DISCIPLINE	
			entire registrant		Proceeding is		
			file		Initiated		
		Temporary	Temporary	N1-241-01-8 2b	,	OFFICE OF	
			Destroy 60 years		Files - No	ENROLLMENT AND	
			after close of		Disciplinary	DISCIPLINE	1
			entire registrant		Proceeding is		
			file		Initiated		

SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention  Temporary	Period Temporary	N1-241-01-8 3b		Record OFFICE OF	AIS
			Destroy 60 years after close of entire registrant file			ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 4a	Applications	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-01-8 4b	Applications	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1 37	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	Registered	OFFICE OF ENROLLMENT AND DISCIPLINE	
		Temporary	Temporary Destroy 60 years after close of entire registrant file	N1-241-96-1.36b	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 36c	Closed Complaint Files - Disciplinary Proceeding is Initiated	OFFICE OF ENROLLMENT AND DISCIPLINE	

				,			
SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS
		Temporary	Temporary	N1-241-97-13_	OED-Complaint	OFFICE OF	
			Destroy 60 years		Tracking	ENROLLMENT AND	
			after close of			DISCIPLINE	
.b.4.3	Subject Files Related T	o Enrollment and Disci	pline		1		-
	,		<b>-</b>				
						de la la de de	
	Correspondence and rep	ports related to enrollmen					
		Temporary	Temporary	N1-241-96-1 38	1	OFFICE OF	
			Destroy when 15			ENROLLMENT AND	
			years old			DISCIPLINE	
					Discipline		
1.b.4.4		n Answer Sheets – Uns					
	Test results of enrollmen	nt examinations for unsuc					
		Temporary	Temporary	N1-241-96-1 30b	Enrollment	OFFICE OF	
			Destroy when 3		Examinations	ENROLLMENT AND	
			months old or		Completed by	DISCIPLINE	
			after appeals		Applicants	i	
	1		process has		' '		
			expired,				
			whichever is later				
				L			
l.b.4.5		es, Office of Enrollment			Prollmont and Discu	aline program	
	Records from the Admin	Istrative Law Office perta		T	T	I program	
		Temporary	Temporary				
			Destroy 5 years				
			after final decision				
).4.6	<b>Enrollment Examinatio</b>	n Answer Sheets – Suc	cessful Applicants	-th	•	,, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
	I		ssful applicants Exar	mination answers de	etermine that applica	ents for registration failed	
	Test results of enrollmen	nt examinations for succe		adon anonoro			
	Test results of enrollmen			N1-241-96-1 30a	i Enrollment	IOFFICE OF	
	Test results of enrollmen	Temporary	Temporary	N1-241-96-1.30a	Enrollment	OFFICE OF	
	Test results of enrollmen		Temporary Destroy after	N1-241-96-1.30a	Examinations	ENROLLMENT AND	
	Test results of enrollmen		Temporary Destroy after grades are	N1-241-96-1.30a	Examinations Completed by	l I	
		Temporary	Temporary Destroy after grades are registered		Examinations Completed by Applicants	ENROLLMENT AND	
1.b.4.7			Temporary Destroy after grades are registered		Examinations Completed by Applicants	ENROLLMENT AND	
1.b.4.7		Temporary	Temporary Destroy after grades are registered		Examinations Completed by Applicants	ENROLLMENT AND	

SF115	subBucket and		New Retention			Current Office of			
ltem	Description	Main Retention	Period	Current Citation	Current SeriesTitle		AIS		
	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.								
		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		
	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	N1-241-96-1 42	Director's Decision Files	OFFICE OF ENROLLMENT AND DISCIPLINE			
			business						
<u> 5.5</u>	Short-Term IP Legal Ac		business						
<u> </u>	Records of various IP leg	dministration Activity gal administrative activities ne IP legal activities of the U	business such as general cor	respondence files, v	working papers, con	nmittee files, and			
<u>5.5</u> 1.b.5.1	Records of various IP leg statements supporting th	gal administrative activities	business such as general cor USPTO			nmittee files, and			

SF115	subBucket and		New Retention			Current Office of	
Item	Description	Main Retention	Period	Current Citation	Current SeriesTitle	Record	AIS
		Temporary	Temporary	New Record	Short-Term IP	GENERAL COUNSEL	
			Destroy 2 years	Series	Legal Activity		
			after statements		Administrative		
			and procedures		Functional		
			superseded		Statements and		
					Procedural		
					Records		
1.b.5.2	Short-Term IP Legal Ad	ctivity Office Operational	Records	***************************************			
						1	
		e to the USPTO, but having					
		ls include production repor					
	reference reports, trackii	ng of reports, index of app	eals proceedings and	their location and t	oibliographic informa	tion, copies of reports to	
	the Director, copies of tre	end analysis and long-term	n planning reports, in	put forms used to tra	ack and update pate	nt and trademark data,	
	and copies of review cor	mments for proposed othe	r than that in the offic	e of record for the re	egulation, and admir	nistrative subject files	
	1	Temporary	Temporary	New Record	Short-Term IP	GENERAL COUNSEL	
		Temporary	Temporary Destroy when 2			GENERAL COUNSEL	
		Temporary	Destroy when 2	New Record Series	Short-Term IP Legal Activity Office	GENERAL COUNSEL	
		Temporary			Legal Activity Office	GENERAL COUNSEL	
		Temporary	Destroy when 2		Legal Activity Office Discretionary and	GENERAL COUNSEL	
		Temporary	Destroy when 2		Legal Activity Office Discretionary and Operational	GENERAL COUNSEL	
***			Destroy when 2 years old	Series	Legal Activity Office Discretionary and Operational Records		
		Temporary	Destroy when 2 years old  Temporary		Legal Activity Office Discretionary and Operational Records Controlled	UNDER SECRETARY	
			Destroy when 2 years old  Temporary Destroy when 2	Series	Legal Activity Office Discretionary and Operational Records Controlled Correspondence	UNDER SECRETARY OF COMMERCE FOR	
			Destroy when 2 years old  Temporary	Series	Legal Activity Office Discretionary and Operational Records Controlled	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	
			Destroy when 2 years old  Temporary Destroy when 2	Series	Legal Activity Office Discretionary and Operational Records Controlled Correspondence	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND	
*****			Destroy when 2 years old  Temporary Destroy when 2	Series	Legal Activity Office Discretionary and Operational Records Controlled Correspondence	UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL	