



United States Patent and Trademark Office Comprehensive Records Schedule

September 2008 Edition

United States Patent and Trademark Office
Records Management

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Introduction

Regulatory Background

Records created and maintained in every office are critically important to document evidence of the functions, policies, decisions, procedures, and operations of the United States Patent and Trademark Office (USPTO). The disposition (retention, destruction, or maintenance) of these materials is governed by 44 USC 33, and 36 CFR 12. In part, the law states, "...records may not be removed from Federal custody or destroyed without regard to the provisions of agency records schedules (SF 115) approved by the National Archives and Records Administration (NARA) or the General Records Schedule (GRS) issued by NARA." The regulation (36 CFR 1228.50) also requires that agencies generate lists of records that include dispositions drawn from NARA-approved schedules or the GRS. This comprehensive schedule is such a list for the USPTO's records.

Practical Matters

In addition to the legal requirements, all USPTO employees have important practical concerns regarding the amount of space that records occupy. The movement of records to temporary storage at the Federal Records Center (FRC) or permanent custody at the National Archives of the United States is managed on a daily basis by the USPTO Records Management staff based on information contained in this schedule. Retrieval of records from storage is easier, faster, and more precise using this schedule.

Schedule Organization

This comprehensive schedule is divided into sections according to the USPTO's organizational structure. The eight main divisions are:

- Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office
- General Counsel
- Deputy Administrator For External Affairs
- Commissioner for Patents
- Commissioner for Trademarks

- Chief Information Officer
- Chief Financial Officer
- Chief Administrative Officer

An additional section is provided for Short-Term Administrative Records (STAR) common to most offices.

To locate a particular records schedule, follow the structure down through the organization. The easiest method is through the index at the beginning of each section. The index will point you to the records scheduled for a particular office. The Comprehensive Records Schedule (CRS) provides a description of the records and the corresponding authority number. The authority number indicates the authorization granted for the disposition: Either from the GRS or an SF115 approved by NARA. These are the official instructions for retaining or disposing of records.

Periodic Audit and Review

In accordance with 36 CFR 1228.50, periodic reviews will be conducted by the USPTO Records Management Staff to assure proper maintenance and disposition of records. Since new records are constantly being created, periodic reviews are necessary to schedule any new or existing records not contained in this schedule.

Further Information

For additional information regarding this schedule or any aspect of the USPTO Records Management program, please contact the USPTO Records Officer, Susan Fawcett, at 571-272-5429.

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2	General Counsel
3	Deputy Administrator for External Affairs
4	Commissioner for Patents
5	Commissioner for Trademarks
6	Chief Information Officer
7	Chief Financial Officer
8	Chief Administrative Officer
Appendix	STAR LIST (Short-Term Administrative Records)