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USPTO Comprehensive Records Schedule

COMMISSIONER FOR PATENTS

Record Series Detail

COMMISSIONER FOR PATENTS

1 Abandoned Applications

Applications that do not result in the grant of a patent. Abandonment occurs when the applicant fails to pay fees or submit documentation requested by the examiner within the allowed time; when claims made for the invention are not patentable or were previously patented; or when another applicant has filed an application for the same invention and can demonstrate an earlier date for the conception of the invention.

- a. Applications retained because they are referred to in an issued patent.
- b.
 - 1) Abandoned Applications dated before June 8, 1995
 - 2) Abandoned Applications dated on or after June 8, 1995.

N1-241-96-3:7

- a. Permanent transfer to the Certified Records Center 10 years after abandonment. Transfer to NARA 40 years after abandonment. (Reference Patent Case Files)
- b. 1) Destroy 20 years after closure.
2) Destroy 23 years after closure.

2 Chron or Reading File

Copies of outgoing correspondence filed chronologically and maintained solely for reference purposes.

Nonrecord

Destroy when no longer needed for current agency business.

3 Committees/Boards/Councils File

Includes meeting minutes, reports, and related papers from USPTO committees, boards, and council meetings. Used to document participation.

Internal agency committees unrelated to an agency's mission

Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Any files created and/or maintained by the committee

GRS 26, 1a

Destroy/delete when no longer needed for administrative purposes.

COMMISSIONER FOR PATENTS (Cont.)

4 Committees/Boards/Councils File

Includes meeting minutes, reports, and related papers from USPTO committees, boards, and council meetings. Used to document participation.

Internal agency committees related to an agency's mission

Committees established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

GRS 26, 1b

These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA.

5 Conferences File

Includes meeting minutes, notes, programs, handouts, authorization for training, and related papers from conferences attended. Used to document participation in conferences.

GRS 16, 8b(1)

Destroy when 3 years old.

COMMISSIONER FOR PATENTS (Cont.)**6 Electronic Filing System (EFS)**

The Electronic Filing System (EFS) is a client/Web server database application placed into production during the fourth quarter of 2000. EFS supports filing of new patent applications, Pre-Grant Publication (PGPub) submissions and nucleotide and/or amino acid sequence listings. EFS combines custom code and commercial-off-the-shelf (COTS) software to allow patent applicants and biotechnology sequence listing filers to submit documents electronically. Although applications are received and accepted by USPTO electronically, the agency retains a hard copy case file as its official record. USPTO currently accepts only Utility Patent Applications through EFS. Other application types will be added at later dates. EFS databases are maintained in Oracle. Databases contain references to objects (image files), bibliographic data and financial transaction information:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Input: EFS input is originated electronically by the inventor, law firm, or corporation submitting the application. Input may include standardized USPTO forms, textual information and images or drawings.
- d. Output (paper or electronic):
 - 1) Patent Application As Filed (paper).
 - 2) Electronic output to related PTO systems. Information electronically transmitted to the Revenue Accounting System (RAM), the Patent Application Location and Monitoring System (PALM), the Patent and Trademark Assignment System (PTAS), and the Automated Biotechnology Sequence Search System (ABSS).
 - 3) Pre-grant publication information, application acknowledgements receipts (paper or electronic), and other hard copy reports and logs.
 - 4) Submission metadata created by EFS based on input.
 - (a) Paper.
 - (b) Electronic.
- e. Master data: database files, electronic log data, image files.
- f. Backups.

7 Equal Employment Opportunity (EEO) File

Copies of statistics and general information about employee awards, policy, and sexual harassment. Used to insure USPTO policy accords with EEO regulations.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

N1-241-01-4:1

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. Temporary. Cut off when application/submission is accepted by the USPTO. Delete 5 years after cut-off.
- d. Output (paper or electronic):
 - 1) [N1-241-96-3:4]. Permanent. Print from image file format. File with the related item Patent Case Files and transfer paper to NARA when 40 years old.
 - 2) Temporary. Delete after verification of successful data transfer to receiving system.
 - 3) Temporary. Destroy or delete when no longer needed for verification or reference.
 - 4) Submission metadata created by EFS based on input.
 - (a) [N1-241-96-3:4]. Permanent. Print and retain in hard copy Patent Application Case File.
 - (b) Temporary. Delete after recordkeeping copy is produced and filed in the Patent Application Case File.
- e. Temporary. Delete after verification of successful transfer of data to other electronic systems or to hard copy.
- f. See GRS 24, 4a(1)

GRS 1, 25g

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

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| 8 | General Office Subject Files - (Direct Reports General Administration)
Correspondence, periodic reports, memorandums, and similar records that are created, received or maintained in the offices of agency direct reports to the Undersecretary of the USPTO, that pertain to general office administrative management of programs and projects, and are used primarily for short-term reference. These records include, but are not limited to, periodic reports, quality review, safety and security, records from professional organizations and associations, education and training programs, human resources, reports, delegations of authority, and the like. These records do not document significant Office oversight, direction, policy, procedures, decisions, or programs. | N1-241-05-1:8a (Previously N1-241-96-3:2)
Temporary: Close inactive files at the end of each fiscal year and destroy when 5 years old. |
| 9 | Individual Grievance File
Program Office copies of individual grievances, filed under lock and key. Used to represent the USPTO in grievance cases with representatives of labor. | GRS 1, 30a
Destroy no sooner than 4 years but no later than 7 years after the case is closed. |
| 10 | Inventors File
Programs of events, notes, and pamphlets on USPTO participation in the Bicentennial Year, National Inventor's Day, and National Inventor's Hall of Fame. Used to document USPTO activities.
NOTE: Office of Public Affairs maintains record copy. | Nonrecord
Destroy when no longer needed for reference. |
| 11 | Labor Management Relations File
Files includes copies of adverse action, procedures, alternate dispute resolutions, arbitrations, monthly briefings, bulletins, newsletters, cases in Employee Relations Branch, civil cases, general information and policy, legal assistance from the patent corps and DOC, meetings, negotiations, Trademark Society/USPTO Bargaining - historical research and questionnaires. Used to represent the USPTO position with representatives of labor. | GRS 1, 28a(1)
Destroy 5 years after expiration of agreement. |
| 12 | Management Councils and Committees Supporting Documentation
Reports and related papers from USPTO internal management councils and committees that administer policy direction and agency-wide actions. Subjects include automation, advisory operations, awards, internal controls, long range planning, management & executive training, recruitment, special laws, outreach, and communication (ethics, pride, and morale). Used to provide administrative policy direction. | N1-241-05-1:8c (Previously N1-241-96-3:6)
Temporary: Destroy when no longer needed. |

COMMISSIONER FOR PATENTS (Cont.)**13 Meeting File**

Copies of minutes, working papers, and notes from meetings. Meetings include Business Council, Commissioner's monthly staff, executive staff, and other meetings. Used to document and prepare for Meetings.

GRS 16, 8b

Destroy when 3 years old.

14 Office of Commissioner for Patents Program and Policy Subject Files

Correspondence, reports, studies, memorandums, committee papers, minutes of meetings, briefing books and papers, and similar records that pertain to overall management, oversight, and direction of Patent policies, procedures, decision, projects, and program. The records include files pertaining to the development of new USPTO automation projects such as PALM, APS, and other automated information systems; briefing books prepared for the Director and other high level officials; issue papers and reports to higher levels on USPTO programs and plans; strategic and long-range planning files; Complexity Factor files; and issues that affect the overall direction, operations, and programs, and plans of the Commissioner of Patents and the USPTO, such as computer-related inventions, emerging technology, intellectual property, biotechnology, and the like.

N1-241-96-3:1

Permanent. Close inactive files at the end of each fiscal year and transfer to the Certified Records Center 5 years after closure. Transfer to the National Archives 20 years after closure.

15 Patent Application and Location Monitoring System (PALM) EXPO

Statistical reports on patent application files such as, patent processing statistics, examiner production, docket information, etc:

- a. System software
- b. Data files.
- c. Initial documentation and updates.

N1-241-96-5:59

- a. See GRS 24, 11b
- b. Update or delete as needed for current agency business.
- c. See GRS 24, 3b(1)

COMMISSIONER FOR PATENTS (Cont.)**16 Patent Application Capture and Review System (PACR)**

Legislation has been enacted to facilitate the Pre-Grant Publication (PGPub) of each pending U.S. patent application within 18 months of its effective filing date. The Patent Application Capture and Review (PACR) system supports the patent application data capture, processing, and information requirements of PGPub. PACR electronically captures patent applications submitted in paper. PACR provides increased functionality to determine the legal completeness and integrity of the initial patent application by automatic comparison of the application with the statutory and rule requirements (formalities review). Images are then used by Product Services and the Office of Licensing and Review for security review and industrial categorization of filed applications. The system utilizes three different components to achieve these functions: automated input (workflow) using a Commercial-off-the-shelf application; a relational database to capture bibliographic data from the automated patent application process; and scanned image files. The paper file wrapper is considered record copy:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (paper or electronic source): Submitted patent applications (paper)
- d. Master Files (electronic)
 - 1) Image File Format copy (electronic).
 - 2) Data files (electronic). Bibliographic data automatically extracted from the image file format of the paper applications. The data is maintained as Extensible Markup language (XML) files in a relational database management system.
- e. Outputs (paper or electronic):
 - 1) Application "as perfected" printout (paper)
 - 2) Electronic output to the Patent Application Location Monitoring (PALM) system
- f. Backups
- g. Electronic Mail and Word Processing System Copies:
 - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
 - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

17 Patent Case Files

Case files showing the prosecution of applications for, and the granting of, a patent. Files include the original application, the patent drawing, and all materials relating to the prosecution of the application and subsequent actions by USPTO. Includes patent files for reissues. Arranged numerically by Patent Number (Supersedes NC1-241-76-1:59) (See N1-241-96-3:33 for models and exhibits):

- a. Closed (granted) patent case files selected by the Commissioner of Patents and Trademarks and the Archivist of the United States.
- b. All other closed (granted) patent case files.

N1-241-01-05:1

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. Permanent. Transfer to the Office of Initial Patent Examination. File with related records. Close patent case files at the end of each fiscal year and transfer to Certified Records Center 10 years after closure. Transfer to the National Archives 40 years after closure (N1-241-96-3:4).
- d. 1) Temporary. Verify according to established standards. Delete 5 years after submission.
2) Temporary. Delete 5 years after submission.
- e. Outputs (paper or electronic):
 - 1) Permanent. Print and transfer to the Office of Initial Patent Examination for PGPub requirement. File with related records. Close patent case files at the end of each fiscal year and transfer to Certified Records Center 10 years after closure. Transfer to the National Archives 40 years after closure (N1-241-96-3:4).
 - 2) Delete when transfer to PALM is verified and is no longer needed for active business use.
- f. See GRS 24, 4a(1)
- g. Electronic Mail and Word Processing System Copies:
 - 1) See GRS 24, 12
 - 2) See GRS 24, 12

N1-241-96-3:4

- a. Permanent. Close patent case files at the end of each fiscal year and transfer to Certified Records Center 10 years after closure. Transfer to the National Archives 40 years after closure (Supersedes NC1-241-76-1:59a).
- b. Close patent case files at the end of each fiscal year and transfer to the Certified Records Center 10 years after closure. Destroy 40 years after closure (Supersedes NC1-241-76-1:59b).

COMMISSIONER FOR PATENTS (Cont.)

18 Patent Office Professional Association (POPA) Negotiations File
 Copies of working papers used to represent the USPTO in negotiations with POPA representatives.

GRS 1, 28a(2)
 Destroy when superseded or obsolete.

19 Rule 62 Continuing Applications
 After filing the original application, a rule 62 application is filed causing abandonment of the original application. Original application is "wrapped inside", or becomes part of the 62 application:
 a. Rule 62 application results in a patent being issued.
 b. Rule 62 application is abandoned in favor of another rule 62 application.
 c. Rule 62 application becomes abandoned.

N1-241-96-3:5
 a. Transfer to Patent Case files.
 b. Maintain status of most current rule 62 application.
 c. Transfer to Abandoned Application files.

20 Statutory Invention Registration (preceded by Defensive Publication Files)
 Files showing the inventor provisionally abandoned the patent application while retaining interference rights. SIR's are filed by serial number preceded by the letter H; defensive publications are preceded by the letter "T." Used to search for prior art.
 NOTE: While technically not patents, these have a similar legal status:
 a. Closed SIR case files selected by the Director and the Archivist of the United States
 b. All other closed SIR case files.

N1-241-96-3:6
 a. Permanent. Close completed SIR case files at the end of each fiscal year and transfer to the Certified Records Center 10 years after closure. Transfer to the National Archives 40 years after closure.
 b. (See N1-241-05-1:8c)

Inventor Assistance Program

Inventor Assistance Program (Cont.)**21 Complaints Received by the USPTO**

The passage of the American Inventors Protection Act of 1999 as enacted under Public Law (P.L.) 106-113 has a number of significant impacts on the United States Patent Office (USPTO). A key provision of P.L. 106-113 is section 4001, codified at 35 U.S.C. 297, in which the USPTO is required to make complaints received by the USPTO involving invention promoters publicly available. The complaints are captured using a World Wide Web (WWW) based Commercial-off-the-shelf (COTS) application. The form includes but is not limited to the following data fields which allow the OIIP to track the nature of the complaint (formal or informal): the date a complaint was received; the date a letter was sent to the complainant; a file number; the complete name of the complainant; and the date the complaint was published on USPTO WWW page which contains the specific information for the OIIP. The total number of complaints received is estimated to be 20-30 per year:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs: Complaint forms received by mail (paper)
- d. Outputs (electronic):
 - 1) Complaint logs, registers, indexes (paper)
 - 2) Online complaint (electronic) converted from paper form received in item 3
- e. Backups.

N1-241-01:7

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. Temporary. Delete 3 years after online publication.
- d. Outputs (electronic):
 - 1) Temporary. Delete 3 years after online publication.
 - 2) Temporary. Delete 3 years after online publication.
- e. See GRS 24, 4a(1)

DEPUTY COMMISSIONER FOR PATENT EXAMINATION POLICY**22 Manual of Patent Examining Procedure**

The Manual is published to provide United States Patent and Trademark Office patent examiners with a reference copy on the practices and procedures relative to the prosecution of patent applications before the United States Patent and Trademark Office. It contains instructions to examiners, as well as other material in the nature of information and interpretation, and outlines the current procedures which the examiners are required or authorized to follow in appropriate cases in the normal examination of a patent application. The Manual does not have the force of law or the force of the Patent Rules of Practice in Title 37, Code of Federal Regulations:

- a. Record copy (published paper copy)
- b. Microfilm records
- c. Electronic files.
- d. All other copies.

N1-241-96-7:24

- a. Permanent.
 - 1) Editions prior to the sixth edition (1994): Transfer one complete edition with all revisions directly to the National Archives 40 years after the MPEP is superseded by a new addition.
 - 2) Sixth and later editions: Transfer one complete printed edition with all revisions to the National Archives when a new edition is published.
- b. Permanent. Transfer one complete edition with all revisions to the National Archives in accordance with provisions in 36 CFR 1230 when a new edition is published. (See N1-241-05-2:3)
- c. Update or delete when superseded or no longer needed for current agency business. (See N1-241-05-2:3)
- d. Destroy when no longer needed for reference.

DEPUTY COMMISSIONER FOR PATENT EXAMINATION POLICY (Cont.)**23 USPTO Non-Core Products and Publications (Extra Copies)**

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

N1-241-05-2:3 (Previously N1-241-96-7:24b)

Temporary: Destroy 2 years after superseded.

Office of Patent Legal Administration**24 Decisions Mailed Files**

Copies of petition decisions made by the Office and the OPLA Director and mailed to the applicant. Includes dismissed, denied and granted petitions. A copy is retained for reference to expedite inquiries about a decision without having to access the patent application. The original decision is retained in the case file.

Nonrecord

Destroy when no longer needed for reference.

25 General Correspondence Files

Original incoming correspondence and copies of replies regarding requests for general information.

GRS 14, 1

Destroy when 3 months old.

26 Notices Published in the Official Gazette and the Federal Register

Electronic file of notices concerning rulemaking and proposed amendments to regulations that are formulated by the Office of Patent Legal Administration, signed by the Director of the USPTO or a designee and printed for publication in the Official Gazette and the Federal Register. Used solely for convenience in preparing updates.

Nonrecord

Delete when no longer needed for reference.

27 Office of Petitions Subject File

Copies of important decisions made by the Office and the Director that serve as precedent to future decisions. The file is used as a reference tool for training new staff members.

Nonrecord

Destroy when no longer needed for reference.

Office of Patent Legal Administration (Cont.)**28 Patent Term Extension Petition Files**

An applicant's petition to the Director of the USPTO for the extension of patent term under the appropriate statute and regulations. Copies are kept of the request and the decision made by the Director:

- a. Official copies (original copy of request).
- b. Public copies (duplicate file of the request and the decision made by the Director).

N1-241-96-7:3

- a. Original copy of decision to be placed in case file with the request once a final decision has been made. Forward case file for further processing.
- b. Destroy when no longer needed for reference.

29 Petitions Database

Database containing information on decisions made by the Office of Patent Legal Administration including application number, month, and year of the decision. The database also contains codes that relate to different attributes of a case, such as code 2030 (Petition Not Timely Filed) or code 4000 (Petition Under 37 CFR 1.182). These codes are combined and used for searching purposes.

GRS 20, 4

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

30 Petitions Database Coding Sheet

Coding sheet used by the Director to update the Petitions Database. The sheet lists the month and year of the decision, serial number of the case, and the four digit codes that relate to different attributes of a case.
later.

GRS 20, 2a

Destroy after the information has been converted to an electronic medium and verified or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is

31 Rule Making Project Files

Files kept by staff members relating to special projects assigned to them. Projects include the formulation of new rules, guidelines, and amendments to regulations that are necessary based on comments received by the office in response to the request for public comment on the proposed rule or amendment. The new changes are forwarded, reviewed, and signed by the Director of the USPTO or a designee and published in the Official Gazette and the Federal Register:

- a. Original NPR, FR signed by the Director or a designee
- b. Copies of original NPR, comments and responses thereto, FR and approved supplementary materials (e.g. executive summary, flyer, training slides).

N1-241-96-7:2

- a. Break files by fiscal year. Transfer to the Certified Records Center when 3 years old. Destroy when 25 years old.
- b. Break files by fiscal year. Transfer to the Certified Records Center when 3 years old. Destroy when 25 years old.

Office of Patent Cooperation Treaty (PCT) Legal Administration**32 Article 20 Papers**

Article 20 papers are the "Communication to Designated Offices" as set forth by the Patent Cooperation Treaty. The papers consist of the international application, the priority document, and the international search report used by the Office for reference purposes:

- a. When applicant enters national phase and case file is created
- b. When applicant does not enter national phase and case file is not created.

N1-241-96-3:44

- a. Place in case file when created.
- b. Destroy 35 months from priority date.

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)

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|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 33 | Communication In Cases For Which No Other Form Is Available
Form PCT/IB/345 is sent to the Designated Office from the International Bureau in response to requests for documents. The form lists the types of documents enclosed and the date of the request. Form is maintained in the case file. | N1-241-96-3:54
Destroy when 3 years old, or when no longer needed for reference. |
| 34 | Employee Daily Production Worksheet
Daily worksheet completed by each staff member listing the amount of time spent on each task and/or to tabulate daily totals of work performed. The sheet lists totals for demands processed, DO/EO missing parts, data entry hours, priority documents mailed or ordered, meeting/conference hours, national hours/international hours, cases pulled, filed and received for national and international cases, incoming mail processed, photocopying, and other miscellaneous activities. These sheets are used by the supervisors to update office production reports. | GRS 20, 2a
Destroy after the information has been converted to an electronic medium and verified or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. |
| 35 | Employee Daily/Weekly Reporting Sheet
Worksheet used by the staff to tabulate daily totals of work performed. The sheet lists hours processing record copies and the number of substitute sheets reviewed and processed. These sheets are used by the supervisors to update office production reports. | GRS 20, 2a
Destroy after the information has been converted to an electronic medium and verified or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. |
| 36 | European Patent Office Correspondence Files
Response Letter from the European Patent Office concerning requests by USPTO on International Search Reports and references. For these cases the EPO is the acting International Search Authority. The letter also lists documents missing from cases requested, to be forwarded at a later date when located. | N1-241-96-3:50
Destroy when no longer needed for reference. |
| 37 | General Power of Attorney Files
The file contains notices designating separate power of attorney to an agent that has been appointed to represent the applicant in relation to the said international application. The files also contain correspondence from an applicant's agent concerning any updates or changes to be made to the case. The Receiving Office retains a reference copy; the original copy is retained in the case file. | N1-241-96-3:48
Destroy when 3 years old, or when no longer needed for reference. |

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)**38 International Applications (Home Copy) File**

The "Home Copy" file consists of USPTO's official copy of international applications and related papers maintained by USPTO to ensure that a complete copy of the file is always available. The files contain the following elements: an indication that the application is intended as an international application, the designation of at least one contracting state, the name of the applicant, description, and claim(s). The record copy of all international applications is maintained by the International Bureau.

N1-241-96-3:45

Transfer to Certified Records Center when 3 years old, destroy when 20 years old.

39 International Applications (Search Copy) File

The "Search Copy" file consists of a copy of the international application used by the USPTO staff to search for possible prior art in its capacity as the international searching authority. Includes the International Search Report that contains citations of documents considered to be relevant and the International Preliminary Examination Report. Also includes the International Bureau Search Copy. This file includes a copy of the International Application, the International Search Report, and the International Preliminary Examination Report. The "IB Search Copy" is retained when an applicant designates the United States Patent and Trademark Office to be the international searching authority (ISA) for the application. It is the task of the ISA to establish documentary search reports on prior art with respect to inventions which are the subject of applications. The International Bureau also maintains the record copy and the search copy for the international applications of non-U.S. designation.

N1-241-96-3:46

Transfer to Certified Records Center when 3 years old, destroy when 20 years old.

40 Legal Affairs Reference Library

The file consists of various publications used by the legal affairs staff as a reference resource including: Manual of Patent Examining Procedures; Attorneys and Agents Registered to Practice Before the United States Patent and Trademark Office; Official Gazette Notices; Regulations Under the PCT; PCT Applicant's Guide.

Nonrecord

Destroy when superseded or obsolete.

41 Legal Office Library

Library consisting mostly of WIPO publications and reference manuals used by the legal staff as a reference resource. Some of the items found in the library are: 35 USC; 37 CFR; Patent Cooperation Treaty with regulations thereunder; PCT Gazette; Official Gazette; PCT Applicant's Guide; Manual of Classification; Industrial Property Statistics; US Patents Quarterly; and the Journal of the Patent and Trademark Office Society.

Nonrecord

Destroy when superseded or obsolete.

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)**42 National Stage Case Files**

National Stage Case Files are held in Central Files for processing. Cases begin with the receipt of any paper relating to a PCT application in the National Stage in the U.S. Files include the related paperwork associated with applications for which the U.S. is designated or elected. The cases are accessed for processing and reviewed by the legal staff to determine if they are in compliance with 37 CFR 1.494-1.499, 35 U.S.C. 371, and the Patent Cooperation Treaty:

- a. Case files that meet the requirements for entry into the national stage
- b. Abandoned applications.

N1-241-96-3:47

- a. Forward for further processing as a new national application.
- b. Transfer to the Certified Records Center 3 years after abandonment, destroy when 20 years old.

43 Notification of Defects in the International Application

Form PCT/IB/313 is received from the International Bureau and identifies the defects of the said international application. Annex A to Form PCT/IB/313 lists the specific defects for the application concerning the signature, applicant, language, and title. The form is maintained in the case file.

N1-241-96-3:52

Destroy when 3 years old, or when no longer needed for reference.

44 Patent Cooperation Treaty Change Files

Copies of changes to the Patent Cooperation Treaty that are made by the World Intellectual Property Organization (WIPO). The record copy is maintained at WIPO.

Nonrecord

Destroy when no longer needed for reference.

45 PCT Applicant's Guide

Reference guide used in filing applications in the International and National Phases. The guide is the official "Procedure Before Designated and Elected Offices for International Applications Under the PCT." The guide provides information on time limits, special requirements to be complied with in connection with national and international phases, national chapters, and questions an applicant may have. This is a WIPO publication used for reference. (The record copy of these publications is located at WIPO).

Nonrecord

Destroy when superseded or obsolete.

46 PCT Central Files Request Form

Request form used by the USPTO staff to pull International and National case files from the Central File Section. The cases are pulled by various requesters throughout USPTO as needed for processing.

GRS 23, 8

Destroy when no longer needed.

47 PCT Docket Summary by Contact Representative

Report of cases "pending" an action or review by the paralegal specialist. The report lists the number of cases being handled and their status. (POWER reports)

GRS 23, 8

Destroy when no longer needed.

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)

48	PCT Notification Concerning Documents Transmitted Notifications listing documents transmitted to the applicant and the IB. Also includes an annex to the notification identifying each document transmitted by the type of document, the corresponding international application number, and, if necessary, other information. The notification is maintained in the case file.	N1-241-96-3:49 Destroy when 3 years old, or when no longer needed for reference.
49	PCT Petition Decisions for International Applications Copies of decisions made by the legal staff regarding various problems with an international application. The types of problems encountered consist of the international filing date, drawing problems (International Stage), change in designation, priority claim, defective translations of PCT Amendments and Annexes, PCT Rule 18 (applicant's qualification as a U.S. resident or national), 37 CFR 1.183 Waiver of the Rules, refund/fee problems, amendment problems, conversions, express/certificate of mail problems, 37 CFR 1.183 supervisory authority, 111 filing, bypass, demand/chapter II. The Office retains a copy for reference purposes; the original decision is placed in the case file.	N1-241-96-3:58 Destroy when 10 years old, or when no longer needed for reference.
50	PCT Weekly Exception Report Weekly PALM report for PCT "Home Copy" applications. The report lists the applications where the priority documents were not received from the Certification Branch within 17 days of the request date. Includes PCT serial number, U.S. prior serial number, request date, and the contact representative. (PALM 32WK47.) Used for tracking.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
51	POWER Reports Files Various reports from POWER listing the status of PCT applications including: PCT Docket Summary By Contact Representative, and Range of PCT Home Copy serial numbers. Also includes the Receiving Office Backlog Report showing case location, duration at location, and the number of days since receipt.	GRS 23, 8 Destroy or delete when 1 year old, or 1 year after the date of the last entry, whichever is applicable.
52	POWER Reports Files Various reports from PALM listing the status of PCT applications including ERGO Report (PALM 1099) and DO/EO Backlog Report.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
53	Priority Document Log Fax log of priority documents requested by the designated office from the International Bureau. The log includes the facsimile transmission cover sheet, the PCT number, type of document requested, and the serial number.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)

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| 54 Reference Library
Collection of publications used by the staff as a shared resource. The library consists of: Manual of Patent Examining Procedures; PCT Applicant's Guide; Attorneys and Agents Registered to Practice Before the United States Patent and Trademark Office; and the United States Patent Quarterly. | Nonrecord
Destroy when superseded or obsolete. |
| 55 Request for Certified Copy of Earlier National Application
Request form created in POWER for all incoming international applications listing the PCT number, docket number, applicant, and title. The form also lists the serial number, filing date, applicant name, and title of the national application to be copied and certified. This information is used to create the "Priority Document" (retained in case file). It is the obligation of the international applicant to submit to the International Bureau or the Receiving Office a certified copy of earlier national applications (the Priority Document). | N1-241-96-3:43
Destroy when 3 years old, or when no longer needed for reference. |
| 56 Request for International Application
International applications requested by the designated office from the International Bureau. Placed in the Case File. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 57 Request for International Preliminary Examination Reports (IPER) Log
International Preliminary Examination Reports requested by the Designated Office from the International Bureau. Placed in the Case File. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 58 Special Tasks and Projects
Record copies of incoming and copies of outgoing correspondence, handouts, and informational material relating to special tasks or projects, such as proposed rule changes or amendments, special training meetings, etc. | N1-241-96-3:57
Destroy when 5 years old, or when no longer needed. |
| 59 World Intellectual Property Organization (WIPO) Publications Files
Files of WIPO publications including: The PCT Newsletter, a monthly publication listing PCT information updates, statistics on applications filed, fee information, and the PCT seminar calendar; Basic Facts about the Patent Cooperation Treaty, a quick reference guide for individuals considering filing an international patent application; PCT Gazette, a bimonthly publication listing all the applications published under the Treaty; Regulations Under the PCT, containing the consolidated text of the Patent Cooperation Treaty that was placed in force on January 1, 1993; PCT Applicant's Guide, a reference guide used in filing applications in the International and National Phases. (Record copy of these publications is located at WIPO.) | Nonrecord
Destroy when superseded or obsolete. |

Office of Patent Cooperation Treaty (PCT) Legal Administration (Cont.)**60 World Intellectual Property Organization Reports**

Copies of WIPO reports from various committees such as the Interim Committee for Technical Cooperation and the Interim Advisory Committee for Administrative Questions. These committees discuss topics and establish guidelines, such as the "Guidelines for Drawings Under the PCT" and the "Guidelines for the Preparation of Abstracts of International Applications Under the PCT."

Nonrecord

Destroy when no longer needed for reference.

Patent Cooperation Treaty Special Programs**61 Customer Information Files**

Copies of PCT forms and WIPO publications that are sent to a customer upon request and are used by the Help Desk staff for reference.

Nonrecord

Destroy when superseded or obsolete.

63 PCT Training Files

Electronic version of training material produced by the staff for internal and external training.

GRS 20, 3b(1)

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purpose.

62 PCT Training Files

Training material produced by the staff for internal and external training. Internal training is for individuals involved in the PCT application process such as examiners, legal staff, and PCT Operations staff. PCT training is also given to external customers such as law firms and companies that deal with PCT applications. The files also include training material and information packets distributed at various conferences such as the "Secretaries and Administrators Conference" and the "American Intellectual Property Law Association Conference." The training material is updated as PCT rules and procedures change:

- a. Record copy.
- b. All other copies.

N1-241-96-3:59

- a. Retain one record copy of the training material after the changes are made. Transfer superseded or obsolete material to Certified Records Center when 5 years old, destroy when 10 years old.
- b. Destroy when superseded or obsolete.

Patent Cooperation Treaty Special Programs (Cont.)**64 Quality Review Feedback Sheet**

The legal staff conducts a sampling of Chapter 1 and 2 applications that were processed by the examining corps. The sampling includes a quality check for compliance with current rules and regulations of the PCT for the International Preliminary Examination Reports and the International Search Reports that are completed by the examiners. The feedback sheet lists the application number, the assigned group, chapter number, whether the case was approved, corrected, or returned, type of problem, and comments.

N1-241-96-3:60

Destroy when no longer needed.

DEPUTY COMMISSIONER FOR PATENT OPERATIONS**Patent Examining Groups****65 Backlog Report for Technical Support Staff**

PALM reports issued biweekly. Contains type of backlog in technical area. Backlog may include errors of omission such as files entered in the system for transfer but never mailed to destination, cases counted but not mailed, and other similar errors. Used by technical support staff to correct processing errors.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

66 BPAI Log/Database

Includes serial number, patent number, art unit, decision, and date of decision. Data is entered from Board of Patent Appeals and Interferences (BPAI) decisions noted in files returned to the examining group by the BPAI. Logs are maintained by fiscal year and used to track information related to decisions made by the BPAI and as a specialized source for examining group statistics reported monthly, quarterly, and annually.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Patent Examining Groups (Cont.)

67	Certificate of Corrections Log/Database Includes serial number, patent number, due date, and date sent. Used to track patent files sent to examiners for Certificates of Correction. Logs are used to track processing and as a source for examining group statistics reported monthly, quarterly, and annually.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
68	Critical Response Log/Database Used to track office activity deadlines and provide timely responses for the Assistant Commissioner. Lists date request received, group due date, actual due date, group person responsible, respond to, date completed, and title of request. Used as a tickler system for the group.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
69	Director's Correspondence All correspondence signed or issued by the group director and made available to the staff for reference.	N1-241-96-3:28 Close inactive files at the end of each fiscal year and destroy 3 years after closure.
70	Examiners Case Action Worksheets Form USPTO 1472 containing checked boxes for actions to be counted by technical staff. Lists serial number of case, application examiner's name, examiner's signature, and group art unit. Used to document how cases were counted.	GRS 23, 1 Destroy when 2 years old.
71	Examiners Docket Reports Docket reports for individual examiners (PALM 31BW05 A-C and 31BW06 C) and Exam/Art Unit Docket Status (PALM 37AN60, 31BW10). Reports show cases assigned to examiners in assignment order and cases assigned by art unit.	GRS 23, 1 Destroy when 2 years old.
72	Examiners Interference Files Central files compiled by examiners to check for interferences. Includes basic information on each interference. The cover of the affected application is usually photocopied and included with penciled notations. May include claims or drawings. Filed by class and subclass.	N1-241-96-3:30 Destroy when no longer needed.

Patent Examining Groups (Cont.)

<p>73 Examiners Search File Copies of printed patents. Foreign and domestic patents are arranged first by group and then by subgroup. Domestic patents are filed using the standard patent classification system. Foreign patents are filed using the International Patent Classification (IPC). The foreign patent files may also contain non-patent literature consisting of reprints and extracts from publications. Used for research by examiners in processing applications.</p>	<p>N1-241-96-3:87 Destroy when no longer needed for current agency business (Supersedes NC1-241-76-1:132).</p>
<p>74 Examiners Time and Activity Report File Biweekly report generated by the PALM system. Input is from Form USPTO 690E maintained in the Examiners Performance Plans and Evaluation Files. The reports list activities by category including training and other administrative or non-examining activities, examining activities by type, new actions, hours, and leave. Used to determine pay raises, promotions, and ratings. Retains information from the preceding 4 weeks.</p>	<p>GRS 1, 23a(5) Destroy 4 years after date of appraisal.</p>
<p>75 Examiners Unofficial Sub-Class File Examiners compilation of references, patents, and publications relating to a particular subject. Used for reference.</p>	<p>Nonrecord Destroy when no longer needed.</p>
<p>76 Floor Team Updates Log/Database (Fire Drills) Log listing floor team and alternates for fire drills, and handicapped staff.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>77 Models, Exhibits, and Specimens Models, exhibits, or specimens of the invention that accompany a patent application at the request of the patent examiner to determine if a patent should be granted and those submitted by applicant of his own volition to substantiate his claim. Also included are exhibits submitted in contested cases: a. Requested by the patent examiner b. Exhibits in contested cases c. Submitted by applicant to substantiate claims.</p>	<p>N1-241-96-3:33 a. Return to the applicant upon demand and at his expense, unless it be deemed necessary that they be preserved in the Office. b. Physical exhibits in contested cases may be returned to the parties at their expense. If not claimed within a reasonable time, they may be disposed of at the discretion of the Director. c. Offer to the Patent Museum. (608.03(a) 37 CFR 1.95. Return of models, exhibits or specimens; 715.07(d) Disposition of Exhibits)</p>
<p>78 Monthly Performance Rating for Technical Support Staff - Log/Database Log of production for each technical employee taken from daily production sheets maintained in the Production Folder. Used to ascertain the performance of the technical support staff for promotions, pay raises, and to expand their capabilities.</p>	<p>GRS 1, 23a(5) Destroy or delete 4 years after date of appraisal.</p>

Patent Examining Groups (Cont.)

79 Patent Examiners Performance Plans Evaluation Files Records related to employee goals and supervisory evaluations and supporting documentation. Used during performance evaluations and signatory authority reviews.	GRS 1, 23a(5) Destroy 4 years after date of appraisal.
80 Patent Pendency Reports Reports produced by the PALM system or other internal systems from data input at each point of processing. Used by managers to track overall production, pinpoint locations of delay, for workload scheduling, and as a source for reports. Examples: Computer Readable Format (CFR) processing reports, Potential Abandonment Listing; PCT Aging Report. EXCLUDES employee specific reports used for evaluation Purposes.	N1-241-96-3:34 Destroy when superseded or no longer needed for current agency business.
81 Petitions Awaiting Decision Reports PALM 3135 report listing every petition received, examiner it was assigned to, and what action has been taken. Used to assure rapid processing of petitions.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
82 Petitions Log/Database Includes date received, serial number, art unit, type of petition, decision, and date mailed. Logs are maintained by fiscal year and used to track Patent Application Files sent to the group or art unit for decision and as a source for examining group statistics reported monthly, quarterly, and annually.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
83 Printer Waiting/Printer Rush Log/Database Includes date received, serial number, date due, and date returned for cases received from the Office of System and Network Management for completion or correction. Logs are maintained by fiscal year and used to track the prompt processing of printer rush case files.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
84 Production Folders Daily production sheets signed by each technical employee documenting actions performed per hour/day. Filed by employee name and used in support of performance issues.	GRS 1, 23a(5) Destroy 4 years after date of appraisal.
85 Production Summary Sheet Log/Database Summary sheets of daily production by technical staff. Used to monitor staff, improve production, and generate statistical reports.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Patent Examining Groups (Cont.)

86	Quality Review Files Copies of case sheets with checked boxes and explanations on cases reviewed for quality. Used as a reference by the group director.	GRS 23, 1 Destroy when 2 years old.
87	Quality Review Log/Database Includes columns for serial number, art unit, reason, date in, and date out. Maintained by fiscal year and used to track Patent Applications returned for completion or correction by examiners and technical staff.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
88	Secretary's Briefing Book Briefing book compiled by director's secretary containing instructions on operating equipment, procedures for processing paperwork, telephone numbers of people to call for information and repairs, and other general information intended for use by temporary replacements when the secretary is away from her post.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
89	Signatory Authority Review Log/Database Log listing the steps and due dates for each examiner seeking authorization to sign documents and negotiate agreements for the USPTO. Used to ensure that each signatory review step is performed on time.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
90	Special Patent Application Reports Reports generated at the request of the Commissioner or other high level USPTO executives. Includes the tracking of applications and patents of a special nature and/or with wide public interest. Examples: reports on transgenic animal patent applications produced by Group 1800; reports on superconductivity patents produced by Group 1100. Used by USPTO executives to keep abreast of, and respond to, public relations issues.	N1-241-96-3:36 Destroy when 3 years old, or when no longer needed, whichever is later.
91	Statistical Reports/Patents to Printer PALM statistical reports to management concerning the number of patents sent to the printer and the amount of backlog.	N1-241-96-3:35 Destroy when no longer needed.

Patent Examining Groups (Cont.)**92 Supervisory Patent Examiner (SPE) Manager**

Spreadsheet totals columns and calculates points and percentages used for award amounts. Source data from PALM reports. Produces the Production & Workflow Report, a weekly report on each examiner listing the previous 14 pay periods with hours worked, production, and the amount over or under the expected production. Used by Supervisory Patent Examiners (SPEs) to track, manage, and report on examiners work production:

- a. System
- b. Reports

N1-241-96-3:32

- a. Delete when superseded or no longer needed.
- b. Destroy when updated report is received.

Office of Initial Patent Examination**93 Address Change Report**

Daily production report, listing address changes for patent applications that were entered the previous day. Report lists serial number, patent number, old addresses, location, and new addresses, with labels to be affixed (Report A16 PRODUCTION, ASAP/DIRECTOR PALM 36DA41).

GRS 23, 7a

Destroy when 3 months old.

94 Customer Correspondence

Correspondence from the applicants or their attorneys regarding the status of patent applications with a copy of the response from the Office of Initial Patent Examination.

[Status Letters are filed in the Patent application file per MPEP 8th edition]

N1-241-96-3:85

Cut off at end of fiscal year. Destroy after 3 years.

95 Customer Window Sign-in Log

Daily log of services provided to customers, includes customer name, number of documents requested, and time and date of request. Used to track services provided to the public.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

96 Disclosure Document Files

Documents submitted by inventors as evidence of the date of conception of an invention:

- a. Disclosure documents that become part of a patent application filed within two years of disclosure document filing date.
- b. Disclosure documents that do not have a corresponding patent application filed within two years of disclosure document filing date.

N1-241-96-3:88

- a. Maintain with patent application.
- b. Sent to Federal Records Center after two years. Destroy when 5 years old.

Office of Initial Patent Examination (Cont.)**97 Provisional Patent Applications**

Provisional Patent Applications are records regulated by the General Agreement on Tariffs and Trade (GATT), effective June 8, 1995 and the American Inventors Protection Act of 1999 (AIPA). These records may be relied upon, in an application that issues as a patent, to establish a U.S. filing date for an invention, among other things. Each application includes a cover sheet identifying it as a provisional application. The Provisional Patent Application may be used by examiners to determine the earliest effective filing date for a patent application:

- a. Provisional applications referred to in a patent application that issued as a. patent
- b. All others.

N1-241-02-2

- a. [Pending authorized update to N1-241-96-3:83; please reference "Patent Case Files," N1-241-96-3:4(a) and Abandoned Applications," N1-241-96-3:7]. Temporary. Close Provisional Patent Applications at the end of each fiscal year and maintain in a separate file at the USPTO Repository. Transfer to the Certified Records Center 5 years after closure. Maintain for 40 years after closure or longer if needed for agency business.
- b. [Pending authorized update to N1-241-96-3:83(b)]. Destroy after 5 years old from filing date or when no longer needed for agency business.

(Supersedes N1-241-96-3:83)

Technology Center (P/3600) -- Licensing and Review**98 Certified Copies Log**

Log of requests for certified copies of applications under Group 2200 360review. Includes name of requester, reason for request, application serial number, and date of request. Used to track access to classified or confidential material.

N1-241-96-3:40

Destroy form/pages when secrecy orders are rescinded.

99 Classified Mail Picked Up From Mail Room Vault Log

Mail log listing receipt of amendments, powers of attorney, and other documents related to security classified applications. Log includes sender name, application number, item description, and date received. Used to track classified material.

GRS 18, 5a

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

100 Hand Carried/Walk In Mail Log

Log of documents supplied by applicants, or their attorneys for inclusion in Patent Applications which may be classified. Used to track the receipt of routine and classified documents.

GRS 18, 5a

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

101 License and Review Database

Database of information on processing of security reviews of patent applications and petitions for license to file foreign patent applications. Data is input from bar code on files and is used to track cases through the 180 days allowed by law for completion. Database produces two biweekly reports:

- 1) L & R Activity Report which tracks pendency for each process from filing to secrecy order mailing. This report also includes average pendency by pay period from filing to entry in database for each year from FY92; and
- 2) L & R Backlog Report which gives pendency in days from filing for each government agency with totals. Used by management to determine where problems and backlogs occur.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Technology Center (P/3600) -- Licensing and Review (Cont.)

102 Mail Log Log of responses to applicant. Includes date of security classification, classification type, type of action, and applicant name. Used to track correspondence potentially important in security breaches.	GRS 18, 5a Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.
103 Mailing Receipts Classified Return receipts for mail sent out from the office. Used to track classified documents.	GRS 18, 2 Destroy when 2 years old.
104 Microfiche Log/Database Database log listing applications on microfiche sent to government agencies for review of national security issues or issues of government ownership. Includes names of agencies, date sent, application serial number, and related information. Used for general tracking and to track information that may become classified.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
105 NATO Log Log of responses to NATO related applications with date response was classified, type of security classification, type of action, and applicant name.	GRS 18, 5a Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.
106 New Applications With Security Classifications Log Log of applications marked "Secret" or "Confidential." Includes attorney's docket number and applicant's name. Used internally to locate sealed applications and apply serial number's issued by the Applications Branch. Also used to track the receipt of classified material that may be top secret.	GRS 18, 5a Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.
107 Paper Copy Log Log listing paper copies of patent applications substituting for the microfiche usually sent to government agencies for review of national security issues or issues of ownership. Includes names of agencies, date sent, application serial number, and related information. Used for general tracking and to track information that may become classified.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Technology Center (P/3600) -- Licensing and Review (Cont.)**108 Patent Applications Selected for Review for Security Issues**

Applications received by Group 2200 for security review by defense agencies and the Department of Energy (DOE). Group 2200 examiners also determine if the applications are allowable. These applications fall into one of the categories below.

a. Secrecy orders issued:

- 1) Applications are allowable but patents cannot be issued until secrecy orders are rescinded.
- 2) Applications abandoned by statute because subject matter of inventions are secret.

b. Cleared applications. Applications which are reviewed and cleared of security issues.

N1-241-96-3:37

- a. 1) Transfer to central files for continued processing when secrecy order is rescinded.
- 2) Transfer to USPTO repository when secrecy order is rescinded.
- b. Transfer to central files for routine processing.

109 Patent Applications Submitted Under Secrecy Orders

Sealed applications received with security classification from defense agencies or the DOE remain unprocessed until secrecy orders are rescinded. Maintained in vault and processed for annual renewal of secrecy orders:

- a. Applications under secrecy order.
- b. Applications abandoned before examiner's determination of allowability.

N1-241-96-3:38

- a. Transfer to Applications Branch for routine processing when secrecy order is rescinded.
- b. Transfer to USPTO repository as Abandoned Applications when secrecy order is rescinded.

110 PCT Log/Database

Log or database listing foreign patent applications received under the Patent Cooperation Treaty (PCT) for examiner searches. Log lists PCT application number, date received, examiner/art unit, date due, and completion date. Used to track files and ensure timely processing.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

111 P-License Requests Log (License to File a Foreign Patent)

Log of applications for foreign filing of patents. Includes applicant, attorney, date received, examiner/art unit, and government agencies contacted.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

112 P-Licenses

Petitions to the Director for license to file applications for patents in foreign countries. Petitions from inventors who have filed a national patent application are filed with their application. Those without national applications are filed by P-number.

N1-241-96-3:41

Break files by calendar year. Transfer to the Certified Records Center when 3 years old. Destroy 25 years after date of issue.

113 P-Licenses Card Index

Card index or electronic database to P-Licenses. Records include group number, filing date, serial number (P-number), applicant, invention, date of license if granted, examiner, and government agencies contacted. Filed by date. Used to find P-number necessary to recall files from storage at the Certified Records Center.

N1-241-96-3:86

Destroy when related P-license files are destroyed, or when 25 years old, whichever is sooner (Supersedes NC1-241-76-1:44).

Technology Center (P/3600) -- Licensing and Review (Cont.)

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| 114 P-Licenses Granted Log
Log of P-Licenses granted listing P-number, applicant, and date granted. Used to track files for applicants who petition for a license to apply for a foreign patent before applying for a U.S. patent. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 115 Property Rights Process Log
Log listing quantity of work processed by group. Includes data on annual quantity of 45 day letters written, forms mailed, etc. Used as a source for information and a resource for report writing. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 116 Requests For Rescinds Log
Log of requests by attorneys or applicants to have a secrecy order rescinded. Log includes application serial number, issuing agency, date of request, date mailed, and other related information. Used for tracking purposes. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 117 Retroactive Licensing Log/Database
Database log created to track requests for retroactive Foreign Filing Licenses made by applicants who belatedly discover they are subject to the licensing requirement subsequent to filing for a foreign patent. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |

Office of Patent Publication

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| 118 Bar Code Label Production Log
Log containing a list of the number ranges for bar code labels that have been issued. Bar code labels are used on case files for PALM and TRAM tracking. Bar code labels are produced daily for patents, and on request for trademarks and publications. Labels are nonrecord until they are affixed to a case file. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |
| 119 Certificates of Correction Database
Database entered on receipt of request for correction. Includes patent number, inventor, attorney, date of original issue, issue date for correction, reviewer, and other information. Used to track processing and as a record of Certificates of Corrections issued or denied since 1985. | GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable. |

Office of Patent Publication (Cont.)

<p>120 Certificates of Correction Office Copy Files Copies of certificate issued to state the fact and nature of a mistake in a patent. Filed by issue date and patent number. Used to replace lost copies. NOTE: Original is attached to printed patent and filed in Patent Case File.</p>	<p>N1-241-96-3:79 Destroy when 3 years old.</p>
<p>121 Customer Service File Copies of Form USPTO-1257 requesting allowed applications from Customer Service. Includes the serial number, clerk, time, date, and remarks. Used to track requests for allowed applications.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>122 Customer Service File Request Computer printout listing the number of allowed applications requested by Customer Service, the time that it took to find them, and the number not found. Used to track allowed applications going to Customer Service.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>123 Data Preparation Manual Instructions to contractors detailing the procedures for preparing the 8mm tapes of optically scanned images, the data tapes of claims and classifications, and bibliographic information from the PALM system. Used to print issued patents and the Official Gazette.</p>	<p>N1-241-96-3:61 Destroy when superseded or no longer needed.</p>
<p>124 Draftperson's Production Log Individual notebooks listing regular cases, sheets, and total number of approved drawings. Used to track production.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>125 Failed Issues Printout of data entry errors for issues that fail the minimum allowable error rate. Used to count errors.</p>	<p>N1-241-96-3:75 Destroy when issues are resolved.</p>
<p>126 Index of Patents Issued From the United States Patent and Trademark Office Bound volumes and CD Rom (beginning with the 2002 index) published annually listing patents that have been issued by the USPTO: a. Record copy. b. Office copy. c. All other copies.</p>	<p>N1-241-96-3:64 a. (See N1-241-05-2:1a) b. Retain for as long as USPTO is in business. c. Destroy when no longer needed for reference.</p>

Office of Patent Publication (Cont.)

<p>127 Informal Equal Employment Opportunity Complaint Files Background material such as printed e-mail messages used to document the history of various EEO complaints.</p>	<p>GRS 1, 25c(1) Destroy 2 years after final resolution of case.</p>
<p>128 Informal Equal Employment Opportunity Complaint Files: Cases not Developed Background material used to document potential EEO complaints.</p>	<p>GRS 1, 25c(2) Destroy when 2 years old.</p>
<p>129 Job Control Control documentation of production jobs executed on the mainframes. Logs maintained by each system constitute the record of system activity.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>130 Official Gazette Notices Log Log listing the title of the notice, issue date, and date sent to the printer. Used to verify the status of notices to be printed in the Official Gazette.</p>	<p>GRS 13, 2a Destroy 1 year after completion of the job.</p>
<p>131 Official Gazette of the United States Patent and Trademark Office: Patents Copies of the Official Gazette, the official publication of USPTO used to notify the public of newly issued patents, expired patents, official USPTO notices, and other related information: a. Record copy b. Copy - USPTO. c. All other copies.</p>	<p>N1-241-96-3:63 a. (See N1-241-05-2:1a) b. Retain for as long as USPTO is in business. c. Destroy when no longer needed for reference.</p> <p>NOTE: No longer in print</p>
<p>132 Patent Printing Invoices Copies of requisitions and invoices for patent print orders from the Government Printing Office (GPO). Used to check for accuracy before being sent to the Office of Finance for payment.</p>	<p>GRS 3, 3c Destroy after three years.</p>
<p>133 Patent Query Report File Control forms used as input for a report evaluating the kinds and quantity of mistakes made by the patent examiners.</p>	<p>GRS 13, 2a Destroy 1 year after completion of the of job.</p>
<p>134 Patent Withdrawal Notice File Form USPTO 302 listing patents withdrawn from publication and their substitutes. Used to reorder the sequence of patents printed in the Official Gazette.</p>	<p>GRS 13, 2a Destroy 1 year after completion of the of job.</p>

Office of Patent Publication (Cont.)

<p>135 Plant Patent Color Prints Extra copies of color prints for plant patents used for public sale.</p>	<p>Nonrecord Destroy when no longer needed for sales.</p>
<p>136 Pre-Grant Publication Project Files Copies of memos from the Project Manager relating to the publication process for PG-Pub. Also includes copies of action items, statistical data, and manuals regarding data preparation. Used for reference purposes.</p>	<p>Nonrecord Destroy when no longer needed for reference.</p>
<p>137 Preliminary Input Files for Dissemination Products and Publications Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.</p>	<p>N1-241-05-2:4 (Previously N1-241-96-3:73) Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference, whichever is sooner.</p>
<p>138 Printer Invoices Copies of audited printer invoices used to authorize payments.</p>	<p>GRS 13, 3 Destroy 3 years after close of fiscal year in which compiled or 3 years after filing of register, whichever is applicable.</p>
<p>139 Printer Production Reports Computer generated reports listing statistics such as patent number, number of pages, number of ledger offset copies to be printed, and number of one and two sided pages. Used to audit the invoices from the printer.</p>	<p>GRS 13, 3 Destroy 1 year after close of fiscal year in which compiled or 1 year after filing of register, whichever is applicable.</p>
<p>141 Production Documentation The record copy of all production job documentation. Documentation is used to diagnose problems.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>140 Production Documentation A reference library consisting of the record copy of the documentation for all production jobs executed on the A16. Documentation is used to diagnose problems.</p>	<p>GRS 20, 11a Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p>

Office of Patent Publication (Cont.)

142 Publication Tape File	Magnetic media in postscript format which are reproduced and disseminated as publications or used for reproducing a printed publication.	GRS 20, 6	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purpose.
143 Published Issues Inspection Report	A statistical selection of contractor's data entry errors. Used as a quality control for data in the patent text database and the photocomp driver tape. Also used as a criterion to determine payment to the contractor.	N1-241-96-3:77	Destroy when 3 years old.
144 Quality Assurance Information Bulletin	Bulletin and supporting documentation used to modify task orders for contractors preparing data tapes for the Official Gazette and issued patents. Also used as text for the Data Preparation Manual: Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.	N1-241-05-2:4 (Previously N1-241-96-3:62)	Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference.
145 Rejection of Grant Copies Report	Report listing the issue date, rejections, problems, time called, date, and returns. Used to remove rejected grant copies from the printing process.	N1-241-96-3:71	Destroy 2 years after issue.
146 Review and Assembly Sheets	Sheets listing errors or clearance for pre-mailing inspection of patent grants. Copies submitted to the Review and Assembly Section of the Production Control Branch. Used to document quality control. Sheets listing errors or clearance for pre-mailing inspection of patent grants. Copies submitted to the Review and Assembly Section of the Production Control Branch. Used to document quality control.	GRS 13, 2a	Destroy 1 year after completion of the job.
147 Statistical Reports Files	Copies of various statistical reports used to track the number of patents issued, Certificates of Corrections issued, and the number of errors found in the Full Patent Text Database.	GRS 23, 8	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Office of Patent Publication (Cont.)

<p>148 Status of Inventors' Copies Report Volume of patents by type and processing stages. Used to track patent applications before mailing the printed patent to the inventor.</p>	<p>N1-241-96-3:68 Destroy 2 years after issue.</p>
<p>149 Statutory Disclaimers Camera ready copies of documents which disclaim complete claim(s) of patent. Record copy is filed in patent files by issue date. Used to make reproductions for misplaced copies in the patent files.</p>	<p>N1-241-96-3:82 Destroy when 3 years old.</p>
<p>150 Statutory Disclaimers Database Database entered on receipt of Statutory Disclaimers. Includes patent number, inventor, attorney, date of original issue, approved or denied, issue date if approved, reviewer, and other information. Used to track processing and as a record of Statutory Disclaimers since 1985.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>151 Transmittal Memos File Copies of acceptance or rejection memos to the database contractor regarding inspection results on the accuracy of the Full Patent Text Database. Used for reference purposes.</p>	<p>Nonrecord Destroy when no longer needed for reference.</p>
<p>152 U.S. Patent and Trademark Office Core Publications Includes the record copy of the Official Gazette of Patents and Trademarks, which is an official publication of the USPTO of newly issued patents, trademarks, expired patents, official USPTO notices, and other related publications and indexes.</p>	<p>N1-241-05-2:1a (Previously N1-241-96-3:63a, N1-241-96-3:64a) Permanent: Transfer publicly available core publications to NARA annually when 5 years old</p>
<p>153 Weekly Issue Slips File Weekly report of patents printed listing the number of the types of patents that have been printed. Used to determine the volume of patents and what kind of patents have been issued. Also used to check the accuracy of information to be published in the Official Gazette.</p>	<p>GRS 13, 2a Destroy 1 year after completion of the of job.</p>
<p>154 Weekly Production Files Monthly files of sheets showing weekly record of daily production submitted by each employee. Used to track employee production for evaluations and grievances.</p>	<p>GRS 1, 23a(5) Destroy 4 years after date of appraisal.</p>

Office of Patent Publication (Cont.)**155 Withdrawal Letter Form File**

Forms used to remove the description, publication date, and publication serial number from the PALM system for an issued patent withdrawn from publication.

GRS 13, 2a

Destroy 1 year after completion of the print job.

Patent Training Academy**156 Allowed Cases Batch Report (PALM Report 2A20PR1)**

A preliminary report received daily from PALM listing the new cases allowed for quality sampling. Report lists serial number, examiner name, location and dates, class and subclass.

N1-241-96-1:14

Destroy when 3 months old or when no longer needed, whichever is sooner.

157 Bulk Transfer Database

Database containing information on cases that are transferred in-bulk from one group to another. Includes serial number, destination, and respective dates.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

158 Manual of Patent Examining Procedure

The Manual is published to provide United States Patent and Trademark Office patent examiners with a reference copy on the practices and procedures relative to the prosecution of patent applications before the United States Patent and Trademark Office. It contains instructions to examiners, as well as other material in the nature of information and interpretation, and outlines the current procedures which the examiners are required or authorized to follow in appropriate cases in the normal examination of a patent application. The Manual does not have the force of law or the force of the Patent Rules of Practice in Title 37, Code of Federal Regulations:

- a. Record copy (published paper copy)
- b. Microfilm records
- c. Electronic files.
- d. All other copies.

N1-241-96-7:24

- a. Permanent.
 - 1) Editions prior to the sixth edition (1994): Transfer one complete edition with all revisions directly to the National Archives 40 years after the MPEP is superseded by a new addition.
 - 2) Sixth and later editions: Transfer one complete printed edition with all revisions to the National Archives when a new edition is published.
- b. (See N1-241-05-2:3)
- c. (See N1-241-05-2:3)
- d. Destroy when no longer needed for reference.

159 Patent Applications Files Used For Training

Copies of current Patent Applications used by the Academy for training students. These files are updated as needed to reflect the changing rules and procedures of the Patent and Trademark Office.

N1-241-96-7:28

Destroy when superseded or obsolete.

Patent Training Academy (Cont.)

<p>160 Quality Review of Sample of Allowed Patent Applications Monthly report on allowed cases for quality review: a. Working papers used to prepare monthly statistical report 1) Paper 2) Electronic - Includes databases for allowed cases, abandoned cases, and reissues. b. Monthly Statistical Report 1) Paper 2) Electronic.</p>	<p>N1-241-96-1:15 a. Destroy 1 month after statistical report is issued. b. Destroy 1 month after statistical report is issued.</p>
<p>161 Quality Review Subject Files Subject files containing record copy of correspondence, reports, meetings, conferences and informational material used as a resource for the office.</p>	<p>N1-241-96-1:16 Break closed files by fiscal year, and transfer to Certified Records Center. Destroy when 10 years old.</p>
<p>162 Re-examinations Log Log book listing incoming re-examinations. Log lists receive date, reviewer, art unit, comments, completion date, and serial number.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.</p>
<p>163 Reissue Log Log book containing information on reissues. Log lists receive date, reviewer, art unit, comments, completion date, and serial number.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.</p>
<p>164 Training Manuals for the Automated Patent System (APS) Automated Patent System training manuals consist of: "Text Search and Retrieval," "Reference Manual for Text Search and Retrieval," "Manual of the APS," and "Image." These manuals are updated periodically to reflect system changes and are distributed throughout USPTO: a. Record copy b. All other copies.</p>	<p>GRS 24 a. Retain one record copy of the training material produced when changes and updates are made. Transfer superseded or obsolete material to Certified Records Center when 3 years old, destroy when 5 years old. b. Destroy when superseded or obsolete.</p>

DEPUTY COMMISSIONER FOR PATENT RESOURCES AND PLANNING

Search and Information Resources Administration

<p>165 After Final Flag Flips Report File PALM 3415 reports of attempts to backdate an entry. Used to discourage backdating. administrative, legal, audit, or other operational purposes.</p>	<p>GRS 20, 1c Destroy when the agency determines they are no longer needed for</p>
<p>166 Appraisal of Examiners System PALM reports related to examiner appraisals. Used to analyze relationships between training, quality, and expenditure of funds, and to evaluate the examiner appraisal system.</p>	<p>N1-241-96-7:4 Destroy when no longer needed.</p>
<p>167 Automation Council - Working Papers Working papers and background records related to participation on the Automation Council.</p>	<p>GRS 16, 8b(2) Destroy when 3 years old.</p>
<p>168 Backup Diskettes for Models and Office Projects Backup diskettes for software models and data, software on workstations for new planning system, new budget modeling system, and others.</p>	<p>GRS 20, 8b Delete when identical records have been deleted or when replaced by a subsequent security backup file.</p>
<p>169 Bank Card System - Approval 1990 Authorizations for office credit cards with instructions on bank card use and security. Purchase documents maintained in administrative files. Used to comply with bank card regulations.</p>	<p>N1-241-05-1:5c (Previously N1-241-96-7:5) Temporary: Destroy 2 years after authorization expires.</p>
<p>170 Budget Models and Briefings Statistical models, spreadsheets, data files and other records used to analyze forecasts of USPTO budget information. Also, models used for reconstruction and research, and materials used to brief new budget analysts, new directors and others in the USPTO. These are records not covered under the GRS or other budget retention series.</p>	<p>N1-241-05-1:6c (Previously N1-241-96-7:6, N1-241-96-7:7) Temporary: Destroy when no longer needed.</p>

Search and Information Resources Administration (Cont.)

<p>171 Center Administrative/Subject Files Record copy of correspondence, reports, and memoranda relating to support of IT program objectives.</p> <p>Records that include briefings, presentations, studies, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.</p>	<p>GRS 27, 5 Cut off annually. Destroy/delete when 5 years old.</p>
<p>172 Chief Financial Officer (CFO) Reports - OPPC Input Information and data compiled by OPPC for the CFO's reports.</p>	<p>N1-241-96-7:8 Break files by fiscal year. Destroy when 3 years old.</p>
<p>173 Delegations of Authority Delegations of authority issued when duties and responsibilities have to be temporarily reassigned.</p>	<p>N1-241-05-1:4c (Previously N1-241-96-7:9) Temporary: Destroy 5 years after termination of delegation.</p>
<p>174 Deletes of Passwords PALM 3687 reports of passwords to be deleted. Used to remove user authorization from PALM.</p>	<p>GRS 20, 1c Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>175 Engineering Change Requests Requests for changes in PALM program modules. Used to document reasons a module was changed.</p> <p>(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p>	<p>GRS 24, 3b(2) Destroy/Delete when 3 years old or 1 year after termination of system, whichever is sooner.</p>
<p>176 Enterprise Model Operations Budget System Planning model on budget forecasting and control. System under development but currently composed of several subsystems in BASIC, DBase, and Excel. Used to generate budget documents, forecasts, and other statistical reports on production and costs for long term planning and program control.</p>	<p>N1-241-96-7:10 Delete when no longer needed to update or produce hard copy.</p>

Search and Information Resources Administration (Cont.)

<p>177 Enterprise Model Working Papers Working papers on Enterprise Model. This model will link other models so that changes in data in any one model will cause the data to be updated in all dependent models.</p>	<p>N1-241-96-7:11 Destroy when no longer needed for reference.</p>
<p>178 Evaluation Division Correspondence Correspondence includes improvements suggested by users, responses to reports, and hard copies of e-mail. Used to evaluate APS.</p>	<p>N1-241-96-7:79 Destroy when no longer needed to evaluate the APS system.</p>
<p>179 Examiners' Education Travel Reports and related working papers containing costs projections for examiners receiving training. Issued by OPPC for distribution to examining groups. Used to estimate travel costs for forecasting and budgeting purposes.</p>	<p>N1-241-96-7:22 Break files by fiscal year. Destroy when 5 years old.</p>
<p>180 Fee Income Working Papers Working papers for projections of fees based on anticipated work load. Used primarily to estimate funding (budget) levels.</p>	<p>N1-241-96-7:12 Break files by fiscal year. Destroy when 5 years old.</p>
<p>181 Financial Obligation Statements Reports Finance-produced accounting reports containing hours charged and costs. Produced in monthly and quarterly editions, superseded by the annual report. Used for research into activities as they relate to labor hours.</p>	<p>N1-241-96-7:13 Destroy when no longer needed for forecasting or research.</p>
<p>182 Fund Status Reports Reports from Finance detailing expenditures by account number. Used to track expenditures.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>183 Government Performance Results Act (GPRA) Working Papers Background and working papers generated to comply with the GPRA.</p> <p>Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.</p>	<p>GRS 27, 4 Cut off annually. Destroy/delete when 5 years old.</p>

Search and Information Resources Administration (Cont.)

<p>184 Improper Attempts to Sign-On Report File PALM 2506 reports of daily failed attempts to access PALM. Used to protect PALM from unauthorized access.</p>	<p>GRS 20, 11b Destroy when superseded or obsolete.</p>
<p>185 Incidence and Distribution Reports Reports used to analyze incidence and distribution of patents or other disseminated PTO products by various characteristics such as class, type, or geography:</p>	<p>N1-241-96-4:50 (See N1-241-05-2:6h)</p>
<p>186 Information Dissemination Organization Products and Services Catalog A manual of services which are available to the public and to USPTO staff from the Center. NOTE: Manual is scheduled for completion in 1995: a. Record copy b. All other copies.</p>	<p>N1-241-96-4:8 a. (See N1-241-05-2:3) b. (See N1-241-05-2:3)</p>
<p>187 Inspector General (IG) Requested Materials Copies of materials requested by the IG. Retained to resupply IG staff.</p>	<p>Nonrecord Destroy when no longer needed.</p>
<p>188 International Claims File Correspondence from countries making patent claims for patent related products based on USPTO bilateral agreement obligations. Used to document claims and USPTO responses.</p>	<p>N1-241-96-7:34 Destroy 2 years after resolution of claim.</p>
<p>189 International Exchange Agreement File Correspondence with exchange partners regarding reciprocal exchange of patent related products. Includes requests for information on USPTO practices and policies. Used to document correspondence.</p>	<p>N1-241-96-7:35 Destroy 20 years after the latest agreement expires, or when no longer needed for current reference. NOTE: these files may not be transferred to the Certified Records Center under this authority.</p>
<p>190 International Liaison Staff Committee Working Papers Correspondence for the Standing Committee on Information Technologies (SCIT) and the Patent Cooperation Treaty Committee for Technical Cooperation (PCT/CTC) committees. Includes working papers and notes. Used for reference purposes on future projects.</p>	<p>N1-241-96-7:84 Destroy when no longer needed for current agency business (Supersedes NC1-241-76-1:68a).</p>

Search and Information Resources Administration (Cont.)

<p>191 International Liaison Training Files Includes copies of lecture materials including audiovisuals. Used to train USPTO staff and contractors, etc., on significant changes in International agreements, as needed.</p>	<p>N1-241-96-7:36 Destroy when superseded or obsolete.</p>
<p>192 Inventories of Patent Applications PALM 2A95 reports of patent applications by class and subclass received by the Office of Initial Patent Examination (OIEP). Used for short-term administrative purposes.</p>	<p>GRS 20, 3b(3) Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>193 New Hires and Attrition (Clerical) Working papers and reports related to the rate of hiring and attrition of clerical workers in the patent corps. Produced by OPPC for distribution. Used for budgeting and forecasting purposes.</p>	<p>GRS 5, 3b Destroy when 3 years after the end of the fiscal year.</p>
<p>194 OPBUDGET Records The Office of Patent Programs Control (OPPC) uses OPBUDGET to monitor and track revenue and expenditure actuals against the budget baseline. The budget baseline includes projections of revenue generated from the patent process including filing, processing, issue, and maintenance fees. Expenditures include minor items such as supplies and furniture purchases, and major items such as examiners' salaries. Actuals are monitored and reconciled with the Office of Finance records on a weekly basis against the budget baseline. Adjustments are made to the budget and/or to projected spending for the fiscal year as required. This is a standalone system, utilizing the Gentia COTS product:</p> <ul style="list-style-type: none"> a. Data b. Software c. Documentation. 	<p>N1-241-98-1:1</p> <ul style="list-style-type: none"> a. Maintain online for 2 years; maintain offline 5 years thereafter; destroy when 7 years old. b. Update as needed for current agency business. c. Transfer to the Configuration Life Cycle management Library when system is operational.
<p>195 Operating Budgets Cost statements, rough data, and similar materials used to prepare annual budget estimates. Includes duplicates of budget estimates, justifications, appropriation language sheets, narrative statements, and related schedules. Also includes working papers, supporting information, and originating offices' copies of reports submitted to budget offices.</p>	<p>GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.</p>

Search and Information Resources Administration (Cont.)

196	OPPC Subject Files Program files on topics concerned with the office mission. Includes program policies and procedures; statistics and analysis of patent production, pendency, staff attrition, clerical staffing, and complexity creep; and related research topics. Contains record copy of correspondence, cost data, and program reports. These files also contain the following routine administrative records: administrative issuances, administrative procedures, personnel procedures and SF 52's, office space plans, records management, and vital records.	N1-241-96-7:15 Destroy when 5 years old or when no longer needed, whichever is later.
197	Oversight Report File Reports to oversight groups including GSA, GAO, and Congress. Used to document USPTO reporting to oversight groups.	N1-241-96-7:77 Destroy when 5 years old, or when no longer needed, whichever is later.
198	PALM Daily System Reports Daily report of mainframe use. Only a one day sample per month is saved. Used for statistical analysis and forecasting.	GRS 20, 1c Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
199	PALM Modifications Pending Report File Contractor reports used to document delays in PALM modifications.	GRS 20, 1a Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
200	PALM Reports PALM reports include but are not limited to the following: Applications Received By Type of Technology; Exam New Case Action Profile; Class New Case Action Profile; Potential Abandonment and Examiner's Pull Listing; Examiner Combined Quarterly Review; Listing Pending Patent Application Files; and Patent Pendency Reports. Used as a source of data for models and for other research.	N1-241-96-7:16 Destroy when no longer needed.
201	Patent Office Budgets Budget documents dating back to 1971. Includes details on annual funding of existing office programs, funding for new programs, government initiatives, special one-time projects, and trial projects. Used for historical research.	N1-241-96-7:17 Destroy when no longer needed.
202	Personal Service Reports for Patent Corps Reports related to consulting and other personal services provided to the USPTO. Used for research in budget preparation and for statistical reporting.	N1-241-96-7:18 Destroy when 4 years old or when no longer needed.

Search and Information Resources Administration (Cont.)

203	Production Planning and Evaluation (Historic Documentation) Research materials for Patents Strategic Planning Report and program evaluation activities.	N1-241-96-7:19 Destroy when no longer needed for forecasting or research.
204	Professional Staffing Reports Monthly reports listing number of professional staff by examining group, new hires, and attrition. Issued by OPPC from Roster Databases for distribution throughout the USPTO. Management tool used for budgeting of recruitment and training.	N1-241-96-7:20 Break files by fiscal year. Destroy when 5 years old.
205	Project Implementation Files Includes task descriptions, task modifications, reports, notes, memos, and assignments. Used to document and control internal USPTO automation implementation projects.	GRS 16, 5 Destroy 1 year after the year in which the project is closed.
206	Project Software Development Files Files maintained by the Automated Patent System (APS) user representative containing flowcharts, working papers, requirements, user study materials, memoranda, reports, and other records used to develop the software to use the APS. Includes notebooks that document the evolution of the software, the input of the APS user staff on the development, and software user training.	N1-241-96-5:62 Transfer to the Certified Records Center 5 years after end of project or when taken out of production. Destroy 10 years after transfer to the Certified Records Center.
207	Reviews of Automated Patent System (APS) Includes reports from GAO, the Independent Review Team, Federal Quality Institute, Business Council, APS Industry Review Panel, Center for Quality Services, and DOC Decision Analysis Center. Used to evaluate APS.	N1-241-96-7:76 Destroy when no longer needed to evaluate the APS system.
208	Roster Databases Roster of USPTO employees. Condor 5 database system produces Professional Staffing Reports distributed to other USPTO offices, and is a source for planning models. NOTE: Duplicates data in the Federal Personnel System in New Orleans, but composition and formatting are different.	GRS 20, 4 Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
209	Running Plans Detailed report on production goals of examining groups. Primarily used to appraise the performance of examining directors for ratings.	GRS 1, 23a(5) Destroy 3 years after date of appraisal.

Search and Information Resources Administration (Cont.)

<p>210 Search and Information Research Administration (SIRA) Model Work Papers Working papers consisting of comments, references, worksheets, and drafts. Produced in development of a revised SIRA model.</p> <p>Records not otherwise identified in the General Records Schedule #27 that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.</p>	<p>GRS 27, 6 Cut off annually. Destroy/delete when 5 years old.</p>
<p>211 Search and Information Resources Administrator's Subject Files News articles, memos, reports, issuances, and committee handouts used as resources supporting the administration of patent information dissemination. Subjects include, but are not limited to, automation of patent processes, budgets, classification operations, monthly reports, and international intellectual property agreements and trends.</p>	<p>N1-241-05-2:6b (Previously N1-241-96-7:31) Temporary: Close inactive files at the end of each fiscal year and destroy 5 years after closure</p>
<p>212 System Problem Reports Notification of apparent bugs in PALM. Used to prepare Engineering Change Requests.</p>	<p>GRS 20, 1c Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>213 Terminal Master Listings PALM 3595 and PALM 3593 reports matching specific terminals with authorized users. Used to identify terminals with users.</p>	<p>GRS 20, 1c Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>214 Test and Evaluation Project Files Includes reports, studies, results of surveys, notes, and recommendations for the development, implementation, maintenance, and improvement of APS. Used as documentation of assignments, progress, and completion of projects.</p>	<p>GRS 16, 5 Destroy 1 year after the year in which the project is closed.</p>

Search and Information Resources Administration (Cont.)**215 User Feedback File**

Notes, correspondence, and survey results used to document suggestions for improving USPTO automated systems, under the USPTO Patent Search and Information Resources Administration Program.

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA.]

Records of Agency-wide or Departmental CIO

GRS 24, 1a

Destroy/delete when 10 years old

216 WIPO Circulars and Related Files

Correspondence and documentation produced by WIPO and its working groups. The Office of Legislation and International Affairs maintains a nonrecord copy with the disposition "Destroy when no longer needed for USPTO business."

Nonrecord

Destroy when superseded or obsolete.

217 Working Papers, Legal and Regulatory Compliance

Background and working papers generated to comply with the Government Performance Results Act (GPRA) and other legislation.

N1-241-05-1:3e (Previously N1-241-96-7:14)

Temporary: Destroy/Delete when 3 years old or when no longer needed.

218 Zero-Based Analysis

Historical files of zero-based analysis accounting program, instituted in 1978 and discontinued in 1979. Series of papers done for Commissioner Parker on pendency. Contains working papers, books, and reports.

N1-241-96-7:23

Destroy when no longer needed.

Scientific and Technical Information Center

Scientific and Technical Information Center (Cont.)**219 Accession Register**

Handwritten register of daily accessions. Lists date received, accession number, and initials of individual handling the accession. Replaced by Online Catalog System. Used to track incoming publications.

N1-241-96-7:57

Destroy or delete when no longer needed.

220 Automated Biotechnology Sequence Search System (ABSS) - Data Files

The ABSS system accommodates amino and nucleic acid molecular sequence searching requirements of the biotechnology and chemical examining groups. ABSS activities include searching of DNA/RNA sequences using commercial sequence searching software and processing of molecular sequence listings in computer readable form (CRF) as part of biotechnology patents. The system is available 24 hours per day, seven days a week, to support examination efforts.

NOTE: The full DNA Sequence Listing is downloaded in hard copy and placed in the application:

- a. System software
- b. Data files for granted patents.
- c. Data files for pending and abandoned patents.
- d. Documentation.

N1-241-96-7:64

- a. See GRS 24, 11b
- b. Permanent. Transfer to NARA when no longer needed for USPTO business.
- c. Delete data 2 years after abandonment with related case file.
- d. Permanent. Transfer to NARA with data files. (SEE Software Product Assurance Div. CLC Management Library b.).

221 Automated Biotechnology Sequence Search System (ABSS) System Backups - ELECTRONIC

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.
later.

- a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
 - (1) Incremental Backups
 - (2) Full Backups
- b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

GRS 24, 4

- a.
 - (1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
 - (2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.
- b. Destroy/delete when superseded or obsolete.

222 Biotechnology & Chemical News Bulletin

Newsletter containing searching hints, new products available in the library, and new technologies. Used as an informational resource for the public and USPTO staff.

GRS 23, 7

Destroy when 3 months old.

Scientific and Technical Information Center (Cont.)**223 Biotechnology Sequence Listing**

Original input containing raw DNA sequence listings submitted by applicants. The sequence listing is in computer readable format (CRF) and the data is downloaded into the ABSS system.

- a. Diskettes for Pending Applications
- b. Diskettes for Issued Patents
- c. Input for Abandoned Patents.

N1-241-96-7:63

- a. Maintain until abandoned or issued.
- b. Destroy 5 years after issue.
- c. Destroy 2 years after abandonment.

224 Biotechnology/Chemical Library Collection

Consists of nonpatent publications acquired by USPTO and used for reference purposes. Includes books, periodicals, microfilm, and microfiche. Also includes dial-up access to online commercial databases and access to CD-ROM databases for full-text searching. Library serves Chemical/Biotechnology Examining Groups 1800, 1500, 1200, and limited public services.

Nonrecord

Offer to PTDLs or the Library of Congress as part of the Gift and Exchange program when no longer needed for USPTO business.

225 Book Order File

Copy of examiner's or other staff member's request form for scientific and technical nonpatent literature. Includes signature of Supervisory Patent Examiner (SPE) used to authorize purchase. Copy kept to ensure order was filled.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

226 Branch Database

Includes locator information for translation reference materials permanently assigned to the Branch. Used to account for reference materials on loan from the main collection:

- a. System software
- b. Data files.

GRS 23, 8

- a. See GRS 24, 11b
- b. Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

227 Combined Search Log

Includes log-in date, requestor, art unit, serial number, type of search, total processing time, search costs, and other information. The Log is used to track requests and to generate statistics.

N1-241-96-7:59

Destroy or delete when no longer needed.

228 Computer Readable Format Error File

Original erred CRF diskette and copy of the ABSS Error Report. Lists problems experienced when processing the diskette, such as the detection of a virus or the Sequence Listing not converted to ASCII (DOS) text. Original error report is filed with application. Used to document errors.

N1-241-96-7:65

Destroy when corrected diskette is submitted and data is entered into ABSS and verified.

Scientific and Technical Information Center (Cont.)**229 Current Publications Lists**

Current listings of new books and journals acquired by STIC, for patron reference. Includes Library Acquisitions List, Journals Currently Received List, and Government Printing Office Titles List. Used by Branch to track STIC library material.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

230 Foreign Document Translations

Original translations of foreign documents by Branch staff and contractors for use by examiners. Branch translations are exclusively electronic but contractors produce both hard copy and electronic versions. Documents are indexed by the TRACK Database. Maintained to avoid duplication of translation effort. Also used to track location of documents.

Nonrecord

Destroy when no longer needed.

231 Foreign Patent Documents

Foreign patent documents received under bilateral exchange agreements with individual countries. Documents may be on one or more of the following media: microform, paper, or compact disk (CD-ROM). Documents are indexed by the Receipts Records System. Used as the source documents for foreign patent searches in accordance with the USPTO's standing as an international patent search authority. Also used by examiners and the public to establish the date of receipt by the USPTO for priority determinations:

- a. Record copy
- b. All other copies.

Nonrecord

- a. Offer to PTDLs or the Library of Congress as part of the Gift and Exchange Program when no longer needed.
- b. Offer to PTDLs or the Library of Congress as part of the Gift and Exchange Program when superseded or no longer needed.

232 Information Dissemination Product Reference

This covers information products and publications that are short-term temporary materials associated with reference and bibliographic materials that are inherently non-record but are considered short-term temporary records because of the nature of supporting the unique dissemination mission of the USPTO. Materials posted to the Web that are used for public reference are considered to be dissemination products.

The USPTO develops and constantly improves upon methods of disseminating Patent and Trademark information. The office recognizes a certain number of these methods as "search systems." These are disseminated both free of charge and through subscriptions.

N1-241-05-2:5 (Previously N1-241-96-7:62b)

Delete when no longer needed for current agency business.

233 Informational Files

Includes information on copyright laws, commercial databases, new technology, and convenience copies of documentation on the status and nature of STIC contracts. Used for reference purposes.

Nonrecord

Destroy when no longer needed.

Scientific and Technical Information Center (Cont.)**234 Interlibrary Loan Report**

Report listing interlibrary loaned nonpatent literature obtained at the request of examiners. Available in hard copy upon request. Used for tracking purposes.

N1-241-96-7:61

Destroy or delete when no longer needed.

235 IT Asset and Configuration Management Files

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

GRS 24, 3b(1)

Destroy/delete 1 year after termination of system.

NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).

236 Journals, Periodicals, and Abstracts

Publications related to patents received under bilateral exchange agreements with individual countries on a variety of media. Indexed by the Receipts Records System. Used to provide access to foreign patent information to USPTO and to the public in accordance with USPTO obligations as an international patent search facility. Includes various media:

- a. Record copy
- b. All other copies.

Nonrecord

- a. Offer to PTDs or the Library of Congress as part of the Gift and Exchange Program when no longer needed for USPTO business.
- b. Offer to PTDs or the Library of Congress as part of the Gift and Exchange Program when superseded or no longer needed.

237 Library/Lunch Room Facility Log

Log of facility use during security hours listing name, time in/out, destination and signature. Used for tracking purposes.

GRS 18, 17b

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

238 Log Books (Receipt of Foreign Documents)

Individual ledgers (Form USPTO 85-19) for each country where document title, related information, and USPTO receiving date are entered. Log Books were replaced in 1992 with the Receipts Records System. Used as the source record establishing the date (necessary to determine priority) when foreign patent documents were received by USPTO for years prior to 1992.

N1-241-96-7:85

Destroy when no longer needed for current agency business (Supersedes NC1-241-76-1:127).

Scientific and Technical Information Center (Cont.)

239 Microfilm Charge and Problem Report Form (USPTO 1401) tracks microfilm for security and collects information on problems encountered by patrons using foreign patent documents on microform. Identifies omissions or sequence errors and film quality problems. Used to document replacement of lost or damaged film and errors forwarded to vendor for correction.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
240 Non-patent Document Delivery System Backups Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	GRS 20, 8b Delete when identical records have been deleted or when replaced by a subsequent security backup file.
241 Online Catalog System (OLCAT) Online search system listing cataloged titles for publications housed in the STIC Main Library, the Biotechnology/Chemical Library, the Lutrelle F. Parker, Sr. Memorial Law Library, and the electronic information centers. Individuals can search for a title by call number, title, subject keyword, series keyword, subject, etc. Used by examiners and the public as an electronic finding aid: a. System Software b. Data files c. Documentation.	N1-241-96-7:62 a. See GRS 24, 11b b. See N1-241-05-2:5 c. Transfer record copy to Configuration Lifecycle Management when superseded or obsolete.
242 Online Catalogue (OLCAT) System Backups Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	GRS 20, 8b Delete when identical records have been deleted or when replaced by a subsequent security backup file.
243 Periodicals File Various computer related periodicals such as PC Week and Government Computer News, used for reference purposes.	Nonrecord Destroy when no longer needed for reference.
244 Processing Log Book Compilation of logs such as the CRF Errors Corrected log and the Sequence Listing Rerun Log, which tracks the daily processing of sequence listings.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

Scientific and Technical Information Center (Cont.)

<p>245 Publications File Convenience copies of publications such as the Director's Annual Reports, classification guides, and conference proceedings. Used for reference purposes.</p>	<p>Nonrecord Destroy when no longer needed for reference.</p>
<p>246 Reference Questions Log Reference desk log containing information on the type of questions asked by researchers. Lists date, type of question, user, and subject of question. Used to track topics of interest.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>247 Requisitions and Purchase Orders Original copy of requisitions and purchase orders under \$25,000. Includes Examiners Purchase Request Form for scientific and technical nonpatent literature. Used for the administration and receipt of payment. Note: Finance has delegated program function to this branch.</p>	<p>GRS 3, 3a(2)b Destroy 3 years after final payment.</p>
<p>248 Selected Articles File Convenience copies of selected articles concerning automation and general library information. Used for reference purposes.</p>	<p>Nonrecord Destroy when no longer needed for reference.</p>
<p>249 Serial Check-In Cards Handwritten serial check-in cards listing the volume number, quantity, date received, and routing number. Replaced by Online Catalog System. Used to track the routing of publications.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>250 Serial Records Files Logs of incoming journals, periodicals, and abstracts from the late '70s to the early 90s. Replaced by Receipts Records System. Used to track the date in which particular documents were received by the Foreign Patents Branch for periods between 1978 and 1992. Also includes tracking for publications received and routed to the Office of Legislative and International Affairs.</p>	<p>N1-241-96-7:71 Destroy when no longer needed for USPTO business.</p>
<p>251 Special Studies Files Periodic studies completed by offices within STIC, such as "Online Commercial Database Usage Studies," "Interlibrary Loan Study," and "Library Surveys." Used for tracking library usage.</p>	<p>N1-241-96-7:56 Destroy when no longer needed.</p>

Scientific and Technical Information Center (Cont.)

- 252 STIC ABSS System Visitor Log**
Systems Branch visitor entry log. Lists name, organization, date, purpose of visit, and time in/out. Used to track individuals entering the area.
- GRS 18, 17b**
Destroy 2 years after final entry or 2 years after date of document, as appropriate.
- 253 STIC Holdings Lists**
Reference desk copy of various holdings within STIC such as the CD-ROM Title Holdings Listing, Journals Currently Received, 1995 Periodicals Holdings, CD-ROM Product List, etc. Used for reference purposes.
- Nonrecord**
Destroy when no longer needed for reference.
- 254 STIC Information Support/Resource Accountability**
Series of EXCEL spreadsheets, prepared quarterly, that document services provided to each of the seven technology centers. Two other spreadsheets present service data for all Electronic Information Centers and STIC as a whole.
- Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.
- GRS 24, 10b**
Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.
- 255 STIC Informational Bulletins**
Bulletins such as STIC News, STIC Services Available to the Public, and Electronic Information Center Services. Made available to the public and USPTO employees as a source for information.
- GRS 23, 7**
Destroy when 3 months old.
- 256 STIC Informational Resource Collections**
Collections of journals and publications of nonpatent literature, including CD-ROM reference products such as full-text proceedings and other reference tools. Also includes access to commercial database services such as Dialog, Datastar, Orbit, Newsnet, Lexis/Nexis and others. Collections are located at the Lutrelle F. Parker Center; Sr. Memorial Law Library; the Electronic Information Center (EIC); and the STIC Main Library.
- Nonrecord**
Offer to PTDs or the Library of Congress as part of the Gift and Exchange program when no longer needed for USPTO business.
- 257 System Error Reports**
Copies of the STIC Database Problem Report Forms describing problems using the Online Catalog System. Used to ensure problem was fixed. The original report is forwarded to the catalog librarian.
- GRS 20, 1c**
Destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

Scientific and Technical Information Center (Cont.)**258 TRACK Database**

Database designed to serve as an index to translations and to contain translation production and control data, including expenditures of funds and budget data. Index data includes title, location, media, and related information. Used to search for translations on file in the Branch. Production and control data includes information on in-house oral and written translations, contractor translations with delivery information, contractor fee rates, and fund obligations and balances. Files are closed out monthly and archived by fiscal year. Used for long range forecasting and statistical reporting and to produce administrative reports:

- a. System software
- b. Index data files.
- c. Data files.

N1-241-96-7:68

- a. See GRS 24, 11b
- b. Delete when no longer needed to locate translations.
- c. Delete when no longer needed for statistical reporting.

Office of Patent Classification**259 447 Log/Database**

Log of patent applications received for classification dispute resolution. Includes pay period date, post classifier name, group, and serial number. Reports produced from this data include 447 Activity Reports, Post Cases - Biweekly Transfer Report, Average Pendency Report, and Docket Sheet. Used to track production and average pendency within the classification groups.

GRS 20, 3b(2)

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

260 447 Slips (Application Transfer Request)

Form USPTO 447A received from examiners for classification dispute resolution. Includes date, serial number, reason for examiner's classification dispute, and information from the classifier on reclassification, or rejection and return to the original art unit. Filed by originating art unit. Used to document patent examiner's reasons for rejecting current classification.

N1-241-96-7:38

Destroy or delete when no longer needed.

261 Chron Files

Office copies of administrative and program correspondence. Records screened for short-term administrative records and refiled in Subject Files. Used to document Office of Patent Classification activities.

N1-241-96-7:32

Transfer memos setting policy or outlining procedures to Subject Files annually. Destroy remainder when 3 years old.

262 Classification Definitions

Contains descriptions and scope of each class and subclass including notes on exclusions and search references for related items. Duplicated semiannually on microfiche. Used to document the boundaries between classes/subclasses:

- a. Original microfiche
- b. Data files
- c. Microfiche copies.

N1-241-96-7:51

- a. Transfer to Boyers, PA for long term storage as agency vital record after inspection and verification.
- b. Update or delete as needed for current agency business.
- c. Destroy when no longer needed for current agency business.

Office of Patent Classification (Cont.)**263 Classification Orders**

Change orders produced by reclassification projects. Includes classification changes, listing of the principal source of established and the disposition of abolished subclasses, changes to the U.S. - International Patent Classification Concordance, and definition changes. Used as source data to revise the Classification Definitions, and the U.S. - IPC Concordance:

- a. Original microfiche
- b. Paper copies
- c. Microfiche copies.

264 Foreign Patents Processed Log/Database

Includes pay period date, ending date, and unique (number of original foreign patents completed during period, by classification unit). Used to track production figures for classification of foreign patents by each classification unit.

NOTE: This activity ceased Sept. 12, 1995:

- a. Datafile
- b. Published manual (record set)
- c. Microfiche copy
- d. Duplicate copies.

265 Index to the U.S. Patent Classification System

Easy reference index designed to help users find correct classifications. Used by the USPTO staff and the public as an index to patent classifications:

- a. Record copy
- b. All other copies.

266 International Classification Systems

Documentation manuals on classification systems from other patent organizations or countries, such as the European Patent Office Classification (ECLA), Japan, etc. Used for comparison and clarification.

267 International Patent Classification (IPC) Manuals

Record copy sets of all IPC editions in English and French, published by WIPO. The IPC is a single classification system developed by WIPO member countries to classify international patents. New editions are published every five years in paper and on CD-ROM. This Office contributes input to this publication through work performed in IPC projects. Used to document the development of IPC classes, and as the official source copy for USPTO:

- a. CD-ROM editions.
- b. Printed editions.

N1-241-96-7:52

- a. Transfer to Boyers, PA for long term storage as agency vital record after inspection and verification.
- b. Destroy draft copies when final copy is issued. Destroy final copy when superseded or no longer needed for current business.
- c. Destroy when no longer needed for current business.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

N1-241-96-7:49

- a. Update as needed for USPTO business.
- b. Delete when superseded or obsolete.

N1-241-96-7:43

Destroy when no longer needed.

N1-241-96-7:42

- a. Destroy when superseded by 2 editions.
- b. Destroy when no longer needed for USPTO business.

Office of Patent Classification (Cont.)

<p>268 International Patent Classification (IPC) Project Files On-going projects related to IPC updates which this Office negotiates on behalf of the U.S. in the chemical, electrical, and mechanical arts. Includes documentation, comments, and updates to documents and publications issued by WIPO. Used for work-in-progress and preparation for negotiating meetings.</p>	<p>N1-241-96-7:44 Destroy when no longer needed.</p>
<p>269 Lectures and Training Materials Copies of Patent Academy lectures and related materials, including audiovisuals. Used to train new examiners in the IPC system and to retrain examining staff when significant changes to IPC are implemented. Record copy at Patent Academy.</p>	<p>Nonrecord Destroy when superseded or no longer needed.</p>
<p>270 Manual of Patent Examining Procedures (MPEP) Publication source file for the paper and CD-ROM editions of the MPEP. Used to update the MPEP. (SEE SECTION 7, Item 23; N1-241-96-7 # 24)</p>	<p>GRS 20, 6 Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>271 Patent Master Classification File (MCF) Archival snapshot produced semiannually on microfiche listing patent number class, and subclass assignment of each patent. Produced in two sets, one in patent number order and one in classification order. Used as historical documentation of each patent's classification history: a. Microfiche master b. All other copies.</p>	<p>N1-241-96-7:55 a. Destroy when no longer needed for USPTO business. b. Destroy when no longer needed.</p>
<p>272 PCT Cases Log Includes serial number, date in, date out, and art unit. Used to track classification of PCT applications.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>273 Production and Backup Information Files Contains information used to produce the production numbers reported to the Office of Patent Program Control for classifiers and classification projects. Serves as the source for some data uploaded to the MIS and contains reports generated by this system.</p>	<p>N1-241-96-7:41 Destroy when 4 years old.</p>

Office of Patent Classification (Cont.)**274 Reclassification Project Records**

File documenting work performed by clerical staff in the reclassification of patents and work related to the search copies. Includes monitoring records, Notice of Authority to Remove Patents (NOA), inspection records, data entry records, and form letters to examiners. Used to monitor project process.

GRS 16, 5

Destroy 1 year after the year in which the project is closed.

275 Reclassification Source and Disposition List

Listing of patent numbers with old and new locations in the classification system as the product of a reclassification project:

- a. Record copy
- b. All other copies

N1-241-96-7:54

- a. Destroy when no longer needed.
- b. Destroy when no longer needed.

276 Subject Files - Office of Patent Classification

Subject files of administrative and program topics. Includes internal policy memos, copies of administrative manuals, briefings, records on conferences, topics related to classes, search files, search tools, and international patent classification. Also contains historical records related to the search files and classification groups from 1946. Used for background research on recurring topics and to document internal policies and procedures.

N1-241-96-7:33

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

277 Survey 447 Reports

Annual survey of dispute resolution activity by classifiers. Used to make decisions on handling class disputes and for projections.

N1-241-96-7:39

Destroy when no longer needed for projections.

278 U.S. Patent and Trademark Office Core Publications

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

N1-241-05-2:1a (Previously N1-241-96-7:53a)

Permanent: Transfer publicly available core publications to NARA annually when 5 years old.

Office of Patent Classification (Cont.)**280 U.S. Patent Classification Manual**

Contains the titles of all classes and subclasses of the U.S. Patent Classification (USPC) system. Each record is a class and subclass with its title, and displayed as it would appear in the printed U.S. Patent Classification Manual. Used to produce the CD-ROM, microfiche, and published versions:

- a. Datafile
- b. Published manual (record set)
- c. Microfiche copy
- d. Duplicate copies.

279 U.S. Patent Classification Manual

Contains the titles of all classes and subclasses of the U.S. Patent Classification (USPC) system. Each record is a class and subclass with its title, and displayed as it would appear in the printed U.S. Patent Classification Manual. Used to produce the CD-ROM, microfiche, and published versions:

Published manual (record set)

281 United States Patent Classification/International Patent Classification Concordances

Record copy sets of all editions of concordances of equivalent classes for the U.S. and IPC classification systems published by USPTO every 5 years. Updated by this Office as search tools for examiners. Used as the source copy for USPTO.

282 WIPO Classification Publications

Publications to which USPTO is a contributor/participant, such as Journal of Patent Associated Literature (JOPAL) and Official Catchword Index to [Each] Edition of the IPC. Used as the USPTO source copy for proposed changes and revisions to the publication. Record copy in the Office of International Relations.

N1-241-96-7:53

- a. (See N1-241-05-2:1a)
- b. Transfer directly to the National Archives when superseded by a new edition of the manual.
NOTE: If complete editions of superseded manuals are maintained in microform format, and can be transferred to the National Archives in accordance with provisions of 36 CFR 1230, microfilm will serve as an acceptable substitute for the paper version.
- c. Destroy when no longer needed for current agency business if the printed manual has already been transferred to the National Archives as specified in sub-item "a" above.
NOTE: If the published version of the current or superseded manuals listed in sub-item "b" above cannot be transferred to the National Archives, microfiche will serve as an acceptable substitute if it is transferred in accordance with provisions of 36 CFR 1230.
- d. Destroy when no longer needed for current agency business.

N1-241-96-7:53b

Transfer directly to the National Archives when superseded by a new edition of the manual.
NOTE: If complete editions of superseded manuals are maintained in microform format, and can be transferred to the National Archives in accordance with provisions of 36 CFR 1230, microfilm will serve as an acceptable substitute for the paper version.

N1-241-96-7:46

Destroy with related IPC Manuals when no longer needed for USPTO business.

Nonrecord

Destroy when no longer needed.

Office of Patent Classification (Cont.)

- 283 World Intellectual Property Organization (WIPO) Authority/Policy Documents**
Copies of documents containing the agreement language, requirements, policies, and procedures for USPTO programs operating under WIPO standards. Includes Handbook on Industrial Property Information and Documentation, the Strasbourg Agreement. Used to ensure compliance with details of treaty agreements and to maintain minimum WIPO requirements for USPTO's contributions to this body. Record copy in the Office of International Relations.

Nonrecord
Destroy when no longer needed.

Office of Patent Automation

- 284 Information Technology (IT) Program Planning Records**
Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

GRS 27, 1
Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

- 285 IT Asset and Configuration Management Files**
Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

GRS 24, 3,b(1)
Destroy/delete 1 year after termination of system.

- 286 IT Capital Investment Records**
Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

GRS 27, 3
Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

Office of Patent Automation (Cont.)**287 IT Customer Service Files**

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

288 IT Infrastructure Design and Implementation Files

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

289 Oversight and Compliance Files

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

- a. Performance measurements and benchmarks.
- b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

GRS 24, 10a,b

- a. Destroy/delete 1 year after record is superseded or obsolete.
- b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

GRS 24, 11b,c

- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

GRS 24, 1a,b

- a. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.
- b. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.