

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

Request for Records Disposition Authority

Records Schedule Number DAA-0241-2018-0002
Schedule Status Returned Without Action

Agency or Establishment Patent and Trademark Office
Record Group / Scheduling Group Records of the Patent and Trademark Office
Records Schedule applies to Agency-wide
Schedule Subject Patent Granting and Maintenance Records Disposition Schedule
Internal agency concurrences will be provided No

Background Information

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 0 | 0 | 0 | 13 |

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

Outline of Records Schedule Items for DAA-0241-2018-0002

| Sequence Number | |
|-----------------|---|
| 1 | Patent Case Files, Granted Utility and Plant Disposition Authority Number: DAA-0241-2018-0002-0001 |
| 2 | Patent Case Files, Granted Design Disposition Authority Number: DAA-0241-2018-0002-0002 |
| 3 | Reissue Case Files, Granted Utility and Plant Disposition Authority Number: DAA-0241-2018-0002-0003 |
| 4 | Reissue Case Files, Granted Design Disposition Authority Number: DAA-0241-2018-0002-0004 |
| 5 | Reexamination Case Files, Granted Utility and Plant Disposition Authority Number: DAA-0241-2018-0002-0005 |
| 6 | Reexamination Case Files, Granted Design Disposition Authority Number: DAA-0241-2018-0002-0006 |
| 7 | Abandoned Utility and Plant Patent Applications Disposition Authority Number: DAA-0241-2018-0002-0007 |
| 8 | Abandoned Design Applications Disposition Authority Number: DAA-0241-2018-0002-0008 |
| 9 | Abandoned Reissue Applications, Utility and Plant patent Disposition Authority Number: DAA-0241-2018-0002-0009 |
| 10 | Abandoned Reissue Applications, Design Disposition Authority Number: DAA-0241-2018-0002-0010 |
| 11 | Provisional Patent Files Disposition Authority Number: DAA-0241-2018-0002-0011 |
| 12 | Patent Examination Feeder Records Disposition Authority Number: DAA-0241-2018-0002-0012 |
| 13 | Patent Post Examination Feeder Records Disposition Authority Number: DAA-0241-2018-0002-0013 |

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p data-bbox="362 414 954 457">Patent Case Files, Granted Utility and Plant</p> <p data-bbox="362 468 1133 510">Disposition Authority Number DAA-0241-2018-0002-0001</p> <p data-bbox="362 521 1469 904">Patent Case Files, Granted are the official agency case files of Utility and Plant granted patents. They are also known as the "file wrapper" or "patent file wrapper" and they contain the record of the patent grant. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the examination of a patent application as well as documentation added after grant during the active life of the file. Including but not limited to: Disclosure Document Files Electronic Filing System (EFS) Patent Term Extension Petition Files Rule 62 Continuing Applications Statutory Invention Registration (Preceded by Defensive Publication Files) Supplemental Complex Repository for Examiners (SCORE)</p> <p data-bbox="362 915 912 946">Final Disposition Permanent</p> <p data-bbox="362 968 906 1000">Item Status Withdrawn</p> <p data-bbox="362 1021 815 1053">Is this item media neutral? Yes</p> <p data-bbox="362 1074 815 1202">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="362 1212 815 1308">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="362 1319 961 1383">GRS or Superseded Authority Citation N1-241-10-1:2</p> <p data-bbox="362 1415 662 1457">Disposition Instruction</p> <p data-bbox="362 1478 1188 1564">If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records</p> <p data-bbox="362 1585 1481 1649">Cutoff Instruction Transfer to NARA 30 years after closure. "Closure" is the date of patent Issuance.</p> <p data-bbox="362 1670 1481 1776">Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after : Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of patent</p> <p data-bbox="362 1808 657 1851">Additional Information</p> |

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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What will be the date span of the initial transfer of records to the National Archives? From 1995 To 2025

How frequently will your agency transfer these records to the National Archives? Every 1 Years

Patent Case Files, Granted Design

Disposition Authority Number DAA-0241-2018-0002-0002

Patent Case Files, Granted are the official agency case files of Utility and Plant granted patents. They are also known as the "file wrapper" or "patent file wrapper" and they contain the record of the patent grant. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the examination of a patent application as well as documentation added after grant during the active life of the file. Including but not limited to: Disclosure Document Files Electronic Filing System (EFS) Rule 62 Continuing Applications Statutory Invention Registration (Preceded by Defensive Publication Files) Supplemental Complex Repository for Examiners (SCORE)

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent Issuance.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent

Additional Information

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date from the 1980's - 1990's

How frequently will your agency transfer these records to the National Archives? Every 1 Years

Reissue Case Files, Granted Utility and Plant

Disposition Authority Number DAA-0241-2018-0002-0003

Utility and Plant Reissue Case Files, Granted are the official agency case files of reissued Utility and Plant patents. They also are known as the "reissue file wrapper" and they contain the record of the reissued patent. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the examination of a reissue patent application as well as documentation added after reissue during the active life of the file. Including but not limited to: Electronic Filing System (EFS) Supplemental Complex Repository for Examiners (SCORE)

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction : Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of patent Issuance of the original patent.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after : Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of patent

Additional Information

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records date ranges from 1980's - 1990's

How frequently will your agency transfer these records to the National Archives? Every 1 Years

Reissue Case Files, Granted Design

Disposition Authority Number DAA-0241-2018-0002-0004

Design Reissue Case Files, Granted are the official agency case files of reissued Design patents. They also are known as the "reissue file wrapper" and they contain the record of the reissued patent. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the examination of a reissue patent application as well as documentation added after reissue during the active life of the file . Including but not limited to: Electronic Filing System (EFS) Supplemental Complex Repository for Examiners (SCORE)

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent Issuance of the original patent.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records vary in date range from 1980's - 1990's

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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How frequently will your agency transfer these records to the National Archives? Every 1 Years

Reexamination Case Files, Granted Utility and Plant

Disposition Authority Number DAA-0241-2018-0002-0005

Reexamination Case Files, Granted are the official agency case files of reexamination certificates issued for Utility and Plant patents. They also are known as the "reexamination file wrapper" and they contain the record of the issued reexamination certificate. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the reexamination of a Utility or Plant patent as well as documentation added after issuance of the reexamination certificate during the active life of the file. Including but not limited to: Electronic Filing System (EFS) Supplemental Complex Repository for Examiners (SCORE)

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of patent issuance of the original patent.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of patent

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date from 1980's - 1990's

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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How frequently will your agency transfer these records to the National Archives? Every 1 Years

Reexamination Case Files, Granted Design

Disposition Authority Number DAA-0241-2018-0002-0006

Design Reexamination Case Files, Granted are the official agency case files of reexamination certificates issued for design patents. They also are known as the "design reexamination file wrapper" and they contain the record of the issued reexamination certificate. This series also covers official related indices or finding aids. These records are comprised of various actions associated with the reexamination of a design patent as well as documentation added after issuance of the reexamination certificate during the active life of the file. Including but not limited to: Electronic Filing System (EFS) Supplemental Complex Repository for Examiners (SCORE)

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent Issuance of the original.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of patent

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date from 1980's - 1990's

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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How frequently will your agency transfer these records to the National Archives? Every 1 Years

Abandoned Utility and Plant Patent Applications

Disposition Authority Number DAA-0241-2018-0002-0007

- Appraisal notes: {MPEP 203.05 defines an abandoned application as, "inter alia", one which is removed from the Office docket of pending applications: (A) through formal abandonment by the applicant or by the attorney or agent of record; (B) through failure of applicant to take appropriate action at some stage in the prosecution of a non-provisional application; or (C) for failure to pay the issue fee Including but not limited to: Disclosure Document Files Electronic Filing System (EFS) National Stage Case Files (including serialized 35 USC 371 applications in which the basic national fee was not paid) Rule 62 Continuing Applications Statutory Invention Registration

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-241-10-1:3

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction : Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of abandonment.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after : Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of abandonment.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date from 1980's - 1990's

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

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How frequently will your agency transfer these records to the National Archives? Every 1 Years

Abandoned Design Applications

Disposition Authority Number DAA-0241-2018-0002-0008

Appraisal notes: {MPEP 203.05 defines an abandoned application as, "inter alia", one which is removed from the Office docket of pending applications: (A) through formal abandonment by the applicant or by the attorney or agent of record; (B) through failure of applicant to take appropriate action at some stage in the prosecution of a non-provisional application; or (C) For failure to pay the issue fee. Including but not limited to: Disclosure Document Files Electronic Filing System (EFS) Rule 62 Continuing Applications Statutory Invention Registration

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction : Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of abandonment.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after : Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of abandonment.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range from 1980's - 1990's

How frequently will your agency transfer these records to the National Archives? Every 1 Years

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
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Records Schedule: DAA-0241-2018-0002

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| 9 | <p>Abandoned Reissue Applications, Utility and Plant patent</p> <p>Disposition Authority Number DAA-0241-2018-0002-0009</p> <p>- Appraisal notes: {MPEP 203.05 defines an abandoned application as, "inter alia", one which is removed from the Office docket of pending applications: (A) through formal abandonment by the applicant or by the attorney or agent of record; (B) through failure of applicant to take appropriate action at some stage in the prosecution of a non-provisional application; or (C) for failure to pay the reissue fee. Electronic Filing System (EFS</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of issuance of the original patent.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is the date of issuance of the original patent.</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown Textual records range in date from 1980's - 1990's</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p> |
| 10 | <p>Abandoned Reissue Applications, Design</p> <p>Disposition Authority Number DAA-0241-2018-0002-0010</p> |

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

- Appraisal notes: {MPEP 203.05 defines an abandoned application as, "inter alia", one which is removed from the Office docket of pending applications: (A) through formal abandonment by the applicant (acquiesced in by the assignee if there is one) or by the attorney or agent of record; (B) through failure of applicant to take appropriate action at some stage in the prosecution of a non-provisional application; or (C) for failure to pay the issue fee Including but not limited to: Electronic Filing System (EFS

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Permanent: Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of issuance of the original patent.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after : Cutoff after closure. Transfer to NARA 25 years after closure. "Closure" is the date of issuance of the original patent.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date 1980's - 1990's

How frequently will your agency transfer these records to the National Archives? Every 1 Years

Provisional Patent Files

Disposition Authority Number DAA-0241-2018-0002-0011

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
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The official agency case files of provisional patent applications. They contain the record of the provisional application. This series also covers official related indices or finding aids.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is one year from the date of filing.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after Cutoff after closure. Transfer to NARA 30 years after closure. "Closure" is one year from the date of filing.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Textual records range in date from 1980's - 1990's

How frequently will your agency transfer these records to the National Archives? Every 1 Years

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Patent Examination Feeder Records

Disposition Authority Number DAA-0241-2018-0002-0012

- Records, content or artifacts used in the patent examination process to create, update, or modify other records when those records are covered by a NARA-approved schedule. Includes system data that is extracted and loaded or included into another system or file.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

| | | |
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| | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | GRS or Superseded Authority Citation | N1-241-10-1:4.4 |
| | Disposition Instruction | |
| | Cutoff Instruction | Destroy when no longer needed. Papers scanned into business support system (e.g., IFW or SCORE) are no longer needed 1 year after scanned into IFW or SCORE and confirmation there are no outstanding Petitions to correct electronic record. |
| | Retention Period | Destroy when no longer needed. Papers scanned into business support system (e.g., IFW or SCORE) are no longer needed 1 year after scanned into IFW or SCORE and confirmation there are no outstanding Petitions to correct electronic record. |
| | Additional Information | |
| | GAO Approval | Not Required |
| 13 | Patent Post Examination Feeder Records | |
| | Disposition Authority Number | DAA-0241-2018-0002-0013 |
| | - Records which are added to a patent case file after the examination has concluded. Includes, but is not limited to, records of Re-Issues, Patent Term Adjustment Petition Files and petitions such as petitions to the Director of the USPTO for the adjustment of patent term under the appropriate statute and regulations. Includes but not limited to: Statutory Invention Registration | |
| | Final Disposition | Temporary |
| | Item Status | Withdrawn |
| | Is this item media neutral? | Yes |
| | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | GRS or Superseded Authority Citation | N1-241-10-1:4.5 |

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2018-0002

Disposition Instruction

Cutoff Instruction

Destroy after Confirmation that file has been added to the Granted Patent Case File.

Retention Period

Destroy immediately after after Confirmation that file has been added to the Granted Patent Case File

Additional Information

GAO Approval

Not Required

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0241-2018-0002**

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|-----------------------|----------------|-------------------------------|--|
| 12/15/2017 | Certify | Ivan King | Records Management Specialist | Office of the Chief Information Office - Records and Information Governance Division |
| 07/31/2018 | Return Without Action | Valerie Terray | Archives Specialist | National Archives and Records Administration - Records Management Services |

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