

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See instructions on separate page)		JOB NUMBER <i>71-241-01-4</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWM) WASHINGTON, DC 20408		DATE RECEIVED <i>3-9-01</i>	
1. FROM (Agency or establishment) U.S. Patent and Trademark Office		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of the Chief Information Officer/ Office of Data Management			
3. MINOR SUBDIVISION Data Administration Division/Records Management			
4. NAME OF PERSON WITH WHOM TO CONFER Susan K. Brown	5. TELEPHONE (703) 308-7400	DATE <i>9-25-01</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

6. 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 on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE <i>3/8/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K Brown</i>	TITLE Records Officer
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7. Item NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Please see attached item(s):  Electronic Filing System (EFS)		
<i>cc: Agency, NWMID, NWMW</i>			

**United States Patent and Trademark Office**  
**Commissioner for Patents**

**1. 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.

Records	Disposition
1. System software and updates.	1. [N1-241-96-5 #71]. Transfer to the configuration management tool prior to unit testing.
2. Life Cycle Management Documentation.	2. [N1-241-96-5 #71]. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan.
3. Input: EFS input is originated electronically by the inventor, law firm, or coporation submitting the application. Input may include standardized USPTO forms, textual information and images or drawings.	3. [Pending authorization]. Temporary. Cutoff when application/submission is accepted by the USPTO. Delete 5 years after cutoff.
4. Output (paper or electronic):	4. Output (paper or electronic):
a. Patent Application As Filed (paper).	a. [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.
b. 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).	b. [Pending authorization]. Temporary. Delete after verification of successful data transfer to receiving system.
c. Pre-grant publication information, application acknowledgements receipts (paper or electronic), and other hard copy reports and logs.	c. [Pending authorization]. Temporary. Destroy or delete when no longer needed for verification or reference.

*Previously approved authority applies. JMB 6/18/01.*

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d. Submission metadata created by EFS based on input.	d. Submission metadata created by EFS based on input.
(1). Paper.	(1). [N1-241-96-3 #4] Permanent. Print and retain in hard copy Patent Application Case File.
(2). Electronic.	(2). [Pending authorization]. Temporary. Delete after recordkeeping copy is produced and filed in the Patent Application Case File.
5. Master data: database files, electronic log data, image files.	5. Temporary. Delete after verification of successful transfer of data to other electronic systems or to hard copy.
6. Backups.	6. Back up daily and delete when replaced by a subsequent comprehensive backup. Back up tape will be used as vital record copy.

Previously approved authority applies. JWB 6/18