

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See instructions on separate page)		JOB NUMBER <i>71-241-01-5</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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>10-23-01</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>3/8/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K Brown</i>		TITLE Records Officer
7. Item NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Patent Application Capture and Review System (PACR)		
2	Patent Application Information Retrieval (PAIR) System		
<i>cc: Agency, NWMD, NWMB, NWMW</i>			

**United States Patent and Trademark Office (USPTO)**  
**Office of the Assistant Commissioner for Patents**

**1. 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: (1) automated input (workflow) using a Commercial-off-the-shelf application; (2) a relational database to capture bibliographic data from the automated patent application process; and (3) scanned image files. The paper file wrapper is considered record copy.

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. Inputs (paper): Submitted patent applications (paper):	3. [N1-241-96-3 #4]. 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 FRC 10 years after closure. Transfer to the National Archives 40 years after closure.
4. Master Files (electronic):	4. Master Files (electronic):
a. Image File Format copy (electronic).	a. [Pending authorization]. Temporary. Verify according to established standards. Delete 5 years after submission.
b. 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.	b. [Pending authorization]. Temporary. Delete 5 years after submission.

Previously approved authority applies.  
 JMB  
 7/20/01

Previously approved authority applies.  
 JMB  
 7/20/01.

5. Outputs (paper and electronic):	5. Outputs (paper and electronic):
a. Application "as perfected" printout (paper).	a. [N1-241-96-3 #4]. 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 FRC 10 years after closure. Transfer to the National Archives 40 years after closure.
b. Electronic output to the Patent Application Location Monitoring (PALM) system	b. [Pending authorization]. Delete when transfer to PALM is verified and is no longer needed for active business use.
6. Backups.	6. [Pending authorization]. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.
7. Electronic Mail and Word Processing System Copies:	7. Electronic Mail and Word Processing System Copies:
a. 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.	a. [Pending authorization]. Destroy/delete after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. [Pending authorization]. Destroy/delete when dissemination, revision, or updating is complete.

**United States Patent and Trademark Office**  
**Patent Reengineering Systems Division (PRSD)**

**2. Patent Application Information Retrieval (PAIR) System**

The Patent Application Information Retrieval System (PAIR) contains a subset of data maintained in the Patent Application Location and Monitoring (PALM) system. This subset exists in an internal tracking database of patent applications and is presented to a defined audience of Internet users via the Internet site, using a browser and hyperlinked text from the USPTO Home Page. The many types of User Identification (ID) and Customer (ID) relationships are maintained in administrative database tables.

The system's primary function is to receive requests for patent application information from external correspondents. The system provides a means for all users to access PALM data on issued patents. PAIR also provides the public with the ability to access the status information on pre-grant publications. The system allows the Applicant/Attorney to review Bibliographic Data for the Pre-Grant Publication (PGPUB) application prior to publication and to request changes on the front page of the document. It also provides USPTO employee contact information.

Records	Disposition
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3. Inputs (electronic): Copies of patent application and pre-examination status data from PALM.	3. [Pending authorization]. Temporary. Update or delete as needed for current agency business.
4. Master files (electronic): Applicant/Attorney comments data files and bibliographic tracking data for the Pre-Grant Publication (PGPUB) application prior to publication.	4. [Pending authorization]. Temporary. Delete after pre-grant publication or 18 months whichever is sooner.
5. Backups.	5. [Pending authorization]. Temporary. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.

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*Superseded  
per e-mail  
from agency  
dated 7/20/01.*

*JUB  
7/20*

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