

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. N1-241-90-5	DATE RECEIVED 1-13-94
1. FROM (Agency or establishment) DEPARTMENT OF COMMERCE		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION PATENT AND TRADEMARK OFFICE		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION OFFICE OF A/C FOR INFORMATION SYSTEMS		DATE 5-5-94	ARCHIVIST OF THE UNITED STATES <i>Audrey Bushong Peterson</i>
4. NAME OF PERSON WITH WHOM TO CONFER JANICE PICKERING <del>JOHN WALKER</del>		5. TELEPHONE EXT. 703-308-0555 <del>457-0418</del>	
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 6 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence:  is attached; or  is unnecessary.

B. DATE 12/2/93	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>John Walker</i>	D. TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
1.	<p><b>RECORDS OF THE DIRECTORATE FOR THE AUTOMATED PATENT SEARCH (APS) SYSTEM</b></p> <p><b>PART A:</b> <b>RECORDS COMMON TO MANY OFFICES IN THE DIRECTORATES</b></p> <p><b>FILES OF PROGRAM MANAGERS.</b> Includes files of implementation managers, division managers, staff managers, and similar positions. Usually arranged by subject or task order. Correspondence and related materials relating to the task orders or other duties managed through the office. Included are baseline documents, budget files, proposals, reports, memoranda, correspondence, records relating to award fees, and documentation of other aspects of program management.</p> <p>DISPOSITION: Break file annually and bring forward any active materials.</p>		

*Copies sent to Agency, NIA, NCF, NNW, NNT, NSX 5/10/94*

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2.	<p>a. Information copies, duplicates, and background materials used for reference and convenience: Destroy when no longer needed.</p> <p>b. All other records: Transfer to the Washington National Records Center when 3 years old. DESTROY when 20 years old.</p> <p><b>OFFICE FILES OF THE TASK ORDER MANAGERS, 1984 -</b> Arranged in various ways by the different task managers, but generally in some form of subject files or files. Consists primarily of copies of three types of records:</p> <p>a. Task order management records consisting of copies of materials that are received from task managers and incorporated into correspondence and reports submitted to the APS Program Management Office;</p> <p>b. Working files for those tasks for which the task order manager is also the task manager;</p> <p>c. Information materials consisting of status reports from PRC, transmittals, printouts, reference copies of deliverables, administrative tracking data, and the like.</p> <p><b>DISPOSITION:</b></p> <p>a. Task Order Management Records: Break file annually. Destroy when three years old.</p> <p>b. Task Management Records: Break file upon completion of task. DESTROY two years after the completion of the task.</p> <p>c. Information files: DESTROY when superseded or no longer needed.</p>		
3.	<p><b>RECORDS OF TASK MANAGERS, 1984 -</b> Arranged generally by subject. Files consist of records created in completion of tasks assigned, including printouts, transmittals, correspondence, reference copies of deliverables, memoranda, reports and other materials.</p> <p><b>DISPOSITION:</b></p> <p>a. Task Management Records necessary to document</p>		

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	<p>performance: DESTROY two years after the completion of the task.</p> <p>b. Information copies: DESTROY when superseded or no longer needed.</p> <p style="text-align: center;"><b><u>PART B:</u></b> <b><u>RECORDS OF THE APS PROGRAM DIRECTOR'S OFFICE.</u></b></p> <p>4. <b>APS PROGRAM MANAGEMENT OFFICE CHRON FILE. 1984 - .</b> Consists of copies of all incoming and outgoing memos and correspondence except for correspondence with PRC.</p> <p style="padding-left: 40px;">DISPOSITION: Destroy when 3 years old.</p> <p>5. <b>APS PROGRAM MANAGEMENT COMMENT FILE.</b> Record of all comments received from task order managers. File is kept at the division level.</p> <p style="padding-left: 40px;">DISPOSITION: Destroy 6 years and 3 months after the end of the project or when 20 years old, whichever is later.</p> <p style="text-align: center;"><b><u>PART C:</u></b> <b><u>RECORDS OF THE OFFICE OF ELECTRONIC DATA CONVERSION AND DISSEMINATION</u></b></p> <p>6. <b>OFFICE PROJECT MANAGEMENT SUBJECT FILE, 1984 - .</b> Currently arranged by numeric filing system; formerly arranged alphabetically by subject. Includes project management records such as copies of contracts, invoices, meeting reports, periodic reports, studies, as well as general administrative records and a chron file.</p> <p style="padding-left: 40px;">DISPOSITION: Break file every three years and bring forward active material. Retain in office two additional years and then DESTROY.</p> <p>7. <b>CLIENT CORRESPONDENCE FILE, 1984 - .</b> Arranged by task number. Binders consisting of copies of all correspondence that goes forward to the TOM concerning the task. One part is the evaluations of performance which eventually go to the Contracting Office. Contains task description,</p>		

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deliverables schedule, monthly schedule, activities, as well as memos, printouts, progress reports, and copies of E-mail messages.

DISPOSITION: DESTROY 6 years and 3 months after the completion of the task, or after completion of audit, whichever is sooner.

8. **PTO DATA SALES SUBJECT FILES, 1984 - .** Arranged by subject. Contains files on each customer purchasing data from the PTO plus a few general administrative and reference files. Files on customers include requests for data, correspondence, invoices, deposit account forms and related materials.

DISPOSITION: Break file annually, and bring forward current material. DESTROY when two years old.

9. **STAFF WORKING FILES, 1984 - .** Arrangement varies. Consists of computer runs and reports, information copies of all correspondence, memoranda of telephone conversations, logs, grading background papers, comments and suggestions, and related materials pertaining to their task or subtask.

DISPOSITION: Break file annually. Bring forward current material. DESTROY remaining material when two years old.

**PART D: ELECTRONIC RECORDS OF THE APS SYSTEM**

10. **PATENT FULL TEXT FILE (APS FORMAT), 1971- .** The file contains the full text of each patent, including tables and chemical formulas, exclusive of drawings. Some of the fields include: filing date, serial number, patent number, patent title, issue date, inventor's name, assignee, tables, and claims. This is the format used in the PTO's internal system.

DISPOSITION: Maintain files as long as necessary for internal agency needs and then delete.

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11.	<p><b>PATENT IMAGE FILE, 1790 - .</b> This file contains more than 4,800,000 patent certificate images as they appear when issued. Images include text, formulas, and drawings.</p> <p>DISPOSITION: PERMANENT.</p> <p><del>a. Patents issued before 1986. Transfer a copy of the data files and documentation to the National Archives on a flow basis beginning in 1990.</del></p> <p><del>b. Patents issued 1986 and after. Transfer a copy of the data files and documentation to the National Archives when 5 years old.</del></p>		<p><b>TRANSFER THE IMAGE FILE, OR ANY SEGREGABLE PORTION THEREOF, TO THE NATIONAL ARCHIVES WHEN NO LONGER NEEDED FOR CURRENT AGENCY BUSINESS.</b></p>
12.	<p><b>PATENT BIBLIOGRAPHIC FILE, 1975 - .</b> This file contains the front page information of each patent exclusive of any drawings. Some of the fields in each record include: abstract, patent title, inventor's name and address, filing date, assignee, classification information, and related U.S. patent documents.</p> <p>DISPOSITION: PERMANENT</p> <p>a. Records for patents issued before 1986. Transfer a copy of the data files and documentation to the National Archives on a flow basis. <del>beginning in 1990.</del></p> <p>b. Records for patents issued 1986 and after. Transfer a copy of the data files and documentation to the National Archives when 5 years old.</p>		
13.	<p><b>PATENT MASTER CLASSIFICATION FILE (MCF), 1790 - .</b> This file contains more than 100,000 patent classification codes and subclasses required to classify patents to their appropriate technology. Available in either patent number order of classification order.</p> <p>DISPOSITION: PERMANENT. Transfer a copy, together with the documentation, to the National Archives on an annual basis.</p>		

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14.	<p><b>MANUAL OF CLASSIFICATION.</b> This file contains the titles of all classes and subclasses of the U.S. Patent Classification (USPC) System. Each record is headed by a mainline class followed by subordinate subclasses. Each record is displayed as it would appear in the printed manual of classification.</p> <p>DISPOSITION: PERMANENT. Transfer a copy to the National Archives each time the manual is updated.</p>		
15.	<p><b>PATENT ASSIGNMENT FILE, 1975 - .</b> The file contains the following information about assignments: patent number, brief codes, brief text, recording date, assignee, assignor, and other data.</p> <p>DISPOSITION: PERMANENT. Transfer a copy of the current file to the National Archives upon approval of this schedule. Transfer copies of updates when made available to the public.</p>		