

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-241-92-2</i>	DATE RECEIVED <i>1-31-92</i>
1. FROM (Agency or establishment) U.S. 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 disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. <i>Acting</i>	
3. MINOR SUBDIVISION Office of Enrollment and Discipline			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Pickering	5. TELEPHONE (703) 308-0590	DATE <i>3/10/93</i>	ARCHIVIST OF THE UNITED STATES <i>Raymond A. ...</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 2 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 2-17-93	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Hall Pickering</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 GRS OR SUPERSEDED JOB CITATION	10.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)
	SEE ATTACHED PAGES		
<i>Copies sent to agency, NCF, NN-W, NNT 3/15/93</i>			

**Patent and Trademark Office
Office of Enrollment and Discipline**

1. Closed Complaint Files - No Disciplinary Proceeding is Initiated

Files contain correspondence, complaint letters, and supporting documentation relating to the complaint.

- a. Routine Cases where no formal warning or reprimand is issued.

AUTHORIZED DISPOSITION: Close file on completion of PTO investigation and microfilm. Break files every two years and transfer to WNRC in cubic-foot blocks. Destroy 10 years after closure. (Microfilm is non-record reference copy).

- b. Significant Cases where a formal warning or reprimand is issued.

AUTHORIZED DISPOSITION: Close file on completion of PTO investigation and microfilm. Break files every two years and transfer to WNRC in cubic-foot blocks. Destroy 20 years after closure. (Microfilm is non-record reference copy).

2. Closed Complaint Files - Disciplinary Proceeding is Initiated

Files contain correspondence, complaint letters, investigation reports, administrative hearing records, final decisions, and supporting documentation.

AUTHORIZED DISPOSITION: Close file on completion of formal disciplinary hearing and decision and microfilm. Break files every two years and transfer to WNRC in cubic-foot blocks. Destroy 50 years after closure. (Microfilm is non-record reference copy).

3. Reinstatement Correspondence

Correspondence and supporting records relating to appeals for reinstatement as a registered attorney or agent following disciplinary action.

AUTHORIZED DISPOSITION: Close files after decision on reinstatement is completed. Break closed files every five years and transfer to WNRC. Destroy ~~when the latest records are~~ 20 years ~~and~~ after closure.

4. Database of Significant Complaints and Investigations

Database of all significant complaints against attorneys and agents including name, date of charge, nature of the complaint, summary of disposition, date of disposition, and status codes.

AUTHORIZED DISPOSITION: Delete records when 20 years old or when no longer needed for current agency business (GRS 23/8).

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. N1-241-92-2	DATE RECEIVED 1-31-92
1. FROM (Agency or establishment) DEPARTMENT OF COMMERCE		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION U.S. 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 ENROLLMENT & DISCIPLINE			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Janice Pickering</i> JANICE PICKERING	5. TELEPHONE EXT. (703) 305-8740	DATE	ARCHIVIST OF THE UNITED STATES
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 2 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. **SEE REVISED SF 115**

B. DATE	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
1.	<p>RECORDS OF THE OFFICE OF ENROLLMENT AND DISCIPLINE</p> <p><u>Files for Complaints - Where No Disciplinary Action is Taken.</u> Files contain correspondence, complaint letters, and supporting documents.</p> <p>a. Routine Cases. Close file upon completion of investigation. Film files. Retire paper to WNRC and DESTROY 10 years from date of closing. (Film is non-record reference copy).</p> <p>b. Significant Cases. Close files upon completion of investigation. Film files. Retire paper to WNRC and DESTROY 20 years from date of closing. (Film is non-record reference copy).</p>		
2.	<p><u>Files for Complaints - Where Disciplinary Action is Taken.</u> Files contain complaint letters, correspondence, supporting documents, and decisions.</p> <p>DISPOSITION: Close file upon completion. Film file. Retire paper to WNRC and DESTROY 50 years after close of investigation. (Film is non-record reference copy).</p>		
3.	<p><u>Reinstatement Correspondence.</u> Correspondence and other records relating to appeals for reinstatement as a registered attorney or agent.</p> <p>DISPOSITION: Close file after decision on reinstatement is made. Transfer to WNRC when 5 years old. DESTROY after 20 years.</p>		

Request for Records Disposition Authority - Continuation

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4.	<p>Data Base of Significant Complaints and Investigations. Database of all significant complaints against attorneys and agents. Database includes name, date of charge, nature of complaint, summary of disposition, date of disposition, and various status codes.</p> <p>DISPOSITION: Delete records when 20 years old.</p>		