

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		LOG NUMBER <i>101-241-96-7</i>	DATE RECEIVED <i>1-18-96</i>
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 disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Data Administration Division			
4. NAME OF PERSON WITH WHOM TO CONFER Kathleen A. Schultz	5. TELEPHONE (703) 308-7400	DATE <i>4-15-97</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</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>1/3/96</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen A. Schultz</i>	TITLE <i>Records Officer</i>
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	<p>See attached items 1 - 83 (Phase VII)</p> <p><i>SEE REVISIONS APPENDED TO THIS SCHEDULE</i></p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>James Buene</i> <i>3/25/97</i> NARA Appraiser date</p> <p><i>See e-mail concurrence dated 3/24/97</i> Agency representative date</p>		

Office of Petitions

1.00 Rulemaking Correspondence Files **Proposed**

Comments received by the Office in response to the request for public comment on proposed rules and guidelines. The comments are used by the staff to draft new rule changes. The Office retains the original incoming correspondence and copies of responses.

Disposition: Break files by fiscal year. Transfer to FRC when 3 years old. Destroy when 25 years old.

2.00 Project Files **Proposed**

Files kept by staff members relating to special projects assigned to them by the director. Projects include the formulation of new rules, guidelines, and amendments to regulations the director finds necessary to formulate based on comments received by the office in response to the request for public comment on the proposed rule or amendment. The new changes are forwarded, reviewed, and signed by the Commissioner and published in the *Official Gazette* and the *Federal Register*.

- a. Original drafts.
- b. All other copies.

Disposition: a. Break files by fiscal year. Transfer to FRC when 3 years old. Destroy when 25 years old.
b. Destroy when no longer needed for reference.

3.00 Patent Term Extension Petition Files **Proposed**

An applicant's petition to the Commissioner of Patents and Trademarks for the extension of time for a response to an office action. Copies are kept of the request and the decision made by the Commissioner.

- a. Official copies (original copy of request).
- b. Public copies (duplicate file of the request and the decision made by the Commissioner).

Disposition: a. Original copy of decision to be placed in case file with the request once it has been made. Forward case file for further processing.
b. Destroy when no longer needed for reference.

Office of Patent Programs Control

4.00 Appraisal of Examiners System **Proposed**

PALM reports related to examiner appraisals. Used to analyse relationships between training, quality, and expenditure of funds, and to evaluate the examiner appraisal system.*

Disposition: Destroy when no longer needed.

5.00 Bank Card System - Approval 1990* **Proposed***

Authorizations for office credit cards with instructions on bank card use and security. Purchase documents maintained in administrative files. Used to comply with bank card regulations.*

Disposition: Destroy 2 years after authorization expires.

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|-------|--|------------------|
| 6.00 | <p>Briefing Materials
Materials used to brief new budget analysts, new directors, and others who need to be briefed on the processes and procedures of the office.
Disposition: Destroy when superseded or no longer needed.</p> | Proposed |
| 7.00 | <p>Budget Model Classics*
Models that were used in the past and had critical input to previous budgets. Used for reconstruction and research.*
Disposition: Destroy when no longer needed.</p> | Proposed |
| 8.00 | <p>Chief Financial Officer (CFO) Reports - OPPC Input
Information and data compiled by OPPC for the CFO's reports.
Disposition: Break files by fiscal year. Destroy when 3 years old.</p> | Proposed |
| 9.00 | <p>Delegations of Authority
Delegations of authority issued when duties and responsibilities have to be temporarily reassigned.
Disposition: Destroy 5 years after termination of delegation.</p> | Proposed |
| 10.00 | <p>Enterprise Model Operations Budget System - ELECTRONIC
Planning model on budget forecasting and control. System under development but currently composed of several subsystems in BASIC, DBase, and Excel. Used to generate budget documents, forecasts, and other statistical reports on production and costs for long term planning and program control.*
Disposition: Delete when no longer needed to update or produce hard copy.</p> | Proposed* |
| 11.00 | <p>Enterprise Model Working Papers
Working papers on Enterprise Model. This model will link other models so that changes in data in any one model will cause the data to be updated in all dependent models.
Disposition: Destroy when no longer needed for reference.</p> | Proposed |
| 12.00 | <p>Fee Income Working Papers
Working papers for projections of fees based on anticipated work load. Used primarily to estimate funding (budget) levels.
Disposition: Break files by fiscal year. Destroy when 5 years old.</p> | Proposed* |
| 13.00 | <p>Financial Obligation Statements Reports
Finance-produced accounting reports containing hours charged and costs. Produced in monthly and quarterly editions, superseded by the annual report. Used for research into activities as they relate to labor hours.
Disposition: Destroy when no longer needed for forecasting or research.</p> | Proposed* |
| 14.00 | <p>Government Performance Results Act (GPRA) Working Papers
Background and working papers generated to comply with the GPRA.
Disposition: Destroy when 3 years old or when no longer needed.</p> | Proposed |

- 15.00 OPPC Subject Files** **Proposed***
Program files on topics concerned with the office mission. Includes program policies and procedures; statistics and analysis of patent production, pendency, staff attrition, clerical staffing, and complexity creep; and related research topics. Contains record copy of correspondence, cost data, and program reports. These files also contain the following routine administrative records: administrative issuances, administrative procedures, personnel procedures and SF-52's, office space plans, records management, and vital records.*
Disposition: Destroy when 5 years old or when no longer needed, whichever is later.
- 16.00 PALM Reports** **Proposed***
PALM reports include but are not limited to the following: *Applications Received By Type of Technology; Exam New Case Action Profile; Class New Case Action Profile; Potential Abandonment and Examiner's Pull Listing; Examiner Combined Quarterly Review; Listing Pending Patent Application Files; and Patent Pendency Reports*. Used as a source of data for models and for other research.
Disposition: Destroy when no longer needed.
- 17.00 Patent Office Budgets** **Proposed***
Budget documents dating back to 1971. Includes details on annual funding of existing office programs, funding for new programs, government initiatives, special one-time projects, and trial projects. Used for historical research.
Disposition: Destroy when no longer needed.
- 18.00 Personal Service Reports for Patent Corps.** **Proposed***
Reports related to consulting and other personal services provided to the PTO. Used for research in budget preparation and for statistical reporting.
Disposition: Destroy when 4 years old or when no longer needed.
- 19.00 Production Planning and Evaluation (Historic Documentation)*** **Proposed***
Research materials for *Patents Strategic Planning Report* and program evaluation activities.
Disposition: Destroy when no longer needed for forecasting or research.
- 20.00 Professional Staffing Reports** **Proposed***
Monthly reports listing number of professional staff by examining group, new hires, and attrition. Issued by OPPC from Roster Databases for distribution throughout the PTO. Management tool used for budgeting of recruitment and training.
Disposition: Break files by fiscal year. Destroy when 5 years old.
- 21.00 Search and Information Research Administration (SIRA) Model Work Papers** **Proposed***
Working papers consisting of comments, references, worksheets, and drafts. Produced in development of a revised SIRA model.
Disposition: Destroy when 5 years old.

22.00 Examiners' Education Travel*

Proposed*

Reports and related working papers containing costs projections for examiners receiving training. Issued by OPPC for distribution to examining groups. Used to estimate travel costs for forecasting and budgeting purposes.*

Disposition: Break files by fiscal year. Destroy when 5 years old.

23.00 Zero Based Analysis

Proposed

Historical files of zero based analysis accounting program, instituted in 1978 and discontinued in 1979. Series of papers done for Commissioner Parker on pendency. Contains working papers, books, and reports.

Disposition: Destroy when no longer needed.

Patent Academy

24.00 Manual of Patent Examining Procedure

Proposed

The Manual is published to provide Patent and Trademark Office patent examiners with a reference copy on the practices and procedures relative to the prosecution of patent applications before the Patent and Trademark Office. It contains instructions to examiners, as well as other material in the nature of information and interpretation, and outlines the current procedures which the examiners are required or authorized to follow in appropriate cases in the normal examination of a patent application. The Manual does not have the force of law or the force of the Patent Rules of Practice in Title 37, Code of Federal Regulations.

- a. Record copy.
- b. Electronic copy.
- c. All other copies.

Disposition: a. Permanent. Transfer to the NARA when no longer needed.
b. Destroy when superseded or no longer needed.
c. Destroy when superseded or no longer needed.

25.00 Training Manuals for the APS

Proposed

Automated Patent System training manuals consist of: "Text Search and Retrieval," "Reference Manual for Text Search and Retrieval," "Manual of the APS," and "Image." These manuals are updated periodically to reflect system changes and are distributed throughout PTO.

- a. Record copy.
- b. All other copies.

Disposition: a. Retain one record copy of the training material produced when changes and updates are made. Transfer superseded or obsolete material to FRC when 3 years old, destroy when 5 years old.
b. Destroy when superseded or obsolete.

26.00 Academy Lecture Files (Training Materials)

Lectures prepared by the staff for presentation at the Academy. Lecture material covers all four educational phases of the Academy. Examples on presentations include: Categories of Invention and Claim Construction, Types of Applications, Application Requirements, Nonobviousness, Special Patent Topics, Allowance and Issue, Classification and Search, Double Patenting, Quality Review, Interference, etc. Lectures are updated as needed to reflect the changing procedures of the Patent and Trademark Office.

- a. Record copy.
- b. All other copies.

Disposition: a. Transfer to the FRC when superseded. Destroy when 5 years old.
b. Destroy when superseded or obsolete.

**NC1-241-76-1 #
34 Rev.****27.00 Academy Training Sessions Files**

Background materials relating to each academy training session. Files include: teacher/student evaluations, examiner's grades, examinations for phase two through four, schedules and dates of classes, class rosters, class attendance sheets, copies of outgoing memos informing students of class times and locations, and graduation files.

- a. Paper copy.
- b. Electronic copy.

Disposition: a. Destroy when 3 year old.
b. Delete when 10 years old.

**NC1-241-76-1 #
35 Rev.****28.00 Patent Applications Files Used For Training**

Copies of current Patent Applications used by the Academy for training students. These files are updated as needed to reflect the changing rules and procedures of the Patent and Trademark Office.

Disposition: Destroy when superseded or obsolete.

Proposed**29.00 Commercial Database Training Files**

Files related to the training of "commercial databases" used by examiners and academy students for searching purposes. The files include updated training manuals and copies of memos sent to students regarding information on classes and class schedules. The academy provides training for the following commercial databases: Lexis, Dialog, and STN.

Disposition: Destroy when superseded or obsolete.

Proposed**30.00 Law School Tuition Assistance Program Files**

Files relating to PTO's law school tuition assistance program for examiners. The file includes a folder for every participant, documents of courses completed, grades from the university, and various memos concerning fees.

Disposition: Transfer to FRC when 5 years old. Destroy when 15 years old.

Proposed

Search and Information Resources Administration (SIRA), Office of the Administrator

31.00 SIRA Administrator's Subject Files

Proposed

News articles, memos, reports, issuances, and committee handouts. Subjects include, but are not limited to, APS, budget, classification operations, GATT, monthly reports, and WIPO. Includes scanned materials available on optical disk. Used as an informational resource for SIRA.

Disposition: Review annually. Destroy when superseded or obsolete.

Classification Operations, Deputy Administrator and Director

32.00 Chron Files*

Proposed

Office copies of administrative and program correspondence. Records screened for short term administrative records and refiled in Subject Files. Used to document office activities.

Disposition: Transfer memos setting policy or outlining procedures to Subject Files annually. Destroy remainder when 3 years old.

33.00 Subject Files

Proposed

Subject files of administrative and program topics. Includes internal policy memos, copies of administrative manuals, briefings, records on conferences, topics related to classes, search files, search tools, and international patent classification. Also contains historical records related to the search files and classification groups from 1948. Used for background research on recurring topics and to document internal policies and procedures.

Disposition: Destroy when no longer needed.

International Liaison Staff

34.00 International Claims File

Proposed*

Correspondence from countries making patent claims for patent related products based on PTO bilateral agreement obligations. Used to document claims and PTO responses.

Disposition: Destroy 2 years after resolution of claim.

35.00 International Exchange Agreement File*

Proposed*

Correspondence with exchange partners regarding reciprocal exchange of patent related products. Includes requests for information on PTO practices and policies. Used to document correspondence.

Disposition: Destroy when no longer needed for PTO business.

36.00 International Liaison Training Files

NC1-241-76-1
34 b. Rev.

Includes notes and overhead projector transparencies. Used to instruct Patent Academy classes on changes in international agreements.

Disposition: Destroy when superseded or obsolete.

37.00 WIPO Circulars and Related Files**Proposed**

Correspondence and documentation produced by WIPO and its working groups. The Office of Legislation and International Affairs maintains a nonrecord copy with the disposition "Destroy when no longer needed for PTO business."

Disposition: Destroy when superseded or obsolete.

Note: This may be a record copy issue.

Classification Operations, Classification Groups**38.00 447 Slips (Application Transfer Request)*****Proposed**

Form PTO-447A received from examiners for classification dispute resolution. Includes date, serial number, reason for examiner's classification dispute, and information from the classifier on reclassification, or rejection and return to the original art unit. Filed by originating art unit. Used to document patent examiner's reasons for rejecting current classification.

Disposition: Destroy or delete when no longer needed.

39.00 Survey 447 Reports**Proposed**

Annual survey of dispute resolution activity by classifiers. Used to make decisions on handling class disputes and for projections.

Disposition: Destroy when no longer needed for projections.

40.00 Management Information System - ELECTRONIC**Proposed**

Database contains records for each classification group divided into Examiner Time File and Reclassification Project File. The Examiner Time File includes pay period, group art unit, and hours spent by each patent examiner assisting classifiers with reclassification projects and foreign patents. Reports are distributed quarterly to each group director. Used to track expended hours. Reclassification Project File contains critical information on each project, such as project leader, classifier, date project began, due date, status with % completion, number of original patents, and related data. Reports are produced quarterly and on request. Used to rate classifiers and to monitor projects.

a. Datafile.

b. Reports issued from the Examiner Time File.

c. Reports issued from the Reclassification Project File.

Disposition: a. Delete when no longer needed.

b. Destroy when no longer needed.

c. Destroy 4 years after project termination.

41.00 Production and Backup Information Files***Proposed**

Contains information used to produce the production numbers reported to the Office of Patent Program Control for classifiers and classification projects. Serves as the source for some data uploaded to the MIS and contains reports generated by this system.

Disposition: Destroy when 4 years old.

Classification Operations, International Patent Classification Group

- 42.00 International Patent Classification (IPC) Manuals** **Proposed**
Record copy sets of all IPC editions in English and French, published by WIPO. The IPC is a single classification system developed by WIPO member countries to classify international patents. New editions are published every five years in paper and on CD-ROM. This Office contributes input to this publication through work performed in IPC projects. Used to document the development of IPC classes, and as the official source copy for PTO.
a. CD-ROM editions.
b. Printed editions.
Disposition: a. Destroy when superseded by 2 editions.
b. Destroy when no longer needed for PTO business.
- 43.00 International Classification Systems** **Proposed**
Documentation manuals on classification systems from other patent organizations or countries, such as the European Patent Office Classification (ECLA), Japan, etc. Used for comparison and clarification.
Disposition: Destroy when no longer needed.
- 44.00 IPC Project Files** **Proposed**
On-going projects related to IPC updates which this Office negotiates on behalf of the U.S. in the chemical, electrical, and mechanical arts. Includes documentation, comments, and updates to documents and publications issued by WIPO. Used for work-in-progress and preparation for negotiating meetings.
Disposition: Destroy when no longer needed.
- 45.00 Lectures and Training Materials** **NC1-241-76-1
#34 b. Rev.**
Copies of Patent Academy lectures and related materials, including audiovisuals. Used to train new examiners in the IPC system and to retrain examining staff when significant changes to IPC are implemented. Record copy at Patent Academy.
Disposition: Destroy when superseded or no longer needed.
- 46.00 United States Patent Classification/International Patent Classification Concordances** **Proposed**
Record copy sets of all editions of concordances of equivalent classes for the U.S. and IPC classification systems published by PTO every 5 years. Updated by this Office as search tools for examiners. Used as the source copy for PTO.
Disposition: Destroy with related IPC Manuals when no longer needed for PTO business.
- 47.00 WIPO Authority/Policy Documents** **Proposed**
Copies of documents containing the agreement language, requirements, policies, and procedures for PTO programs operating under WIPO standards. Includes *Handbook on Industrial Property Information and Documentation*, the *Strasbourg Agreement*, and *WIPO Permanent Committee Reports on Industrial Property Information Search Information (PCIP/ISI)*. Used to ensure compliance with details of treaty agreements and to maintain minimum WIPO requirements for PTO's contributions to this body. Record copy in the Office of Legislation and International Affairs.
Disposition: Destroy when no longer needed.

48.00 WIPO Classification Publications

Proposed

Publications to which PTO is a contributor/participant, such as *Journal of Patent Associated Literature (JOPAL)* and *Official Catchword Index to [Each] Edition of the IPC*. Used as the PTO source copy for proposed changes and revisions to the publication. Record copy in the Office of Legislation and International Affairs.

Disposition: Destroy when no longer needed.*

Office of Classification Support, Data Control Division

49.00 Index to the U.S. Patent Classification System

Proposed

Easy reference index designed to help users find correct classifications. Used by PTO staff and the public as an index to patent classifications.

- a. Record copy.
- b. All other copies.

Disposition: a. Destroy when no longer needed.*
b. Delete when superseded or obsolete.

**50.00 Manual of Patent Examining Procedures (MPEP) -
ELECTRONIC**

Proposed

Publication source file for the paper and CD-ROM editions of the MPEP. Used to update the MPEP.

Disposition: Delete when superseded or no longer needed to produce CD-ROM or paper edition.

Editorial Division

51.00 Classification Definitions - ELECTRONIC

**NC1-241-76-1
#55 Rev.**

Contains descriptions and scope of each class and subclass including notes on exclusions and search references for related items. Duplicated semiannually on microfiche. Used to document the boundaries between classes/subclasses.

- a. Record copy microfiche.
- b. Datafiles.
- c. Microfiche copies.

Disposition: a. Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 30 years old.
b. Permanent. Transfer a copy with data documentation to NARA on an annual basis.
c. Indefinite. Transfer to PTO storage facility.*

52.00 Classification Orders

Proposed*

Change orders produced by reclassification projects. Includes classification changes, listing of the principal source of established and the disposition of abolished subclasses, changes to the *U.S. - International Patent Classification Concordance*, and definition changes. Used as source data to revise the Classification Definitions, and the *U.S. - I.P.C. Concordance*.

- a. Record copy microfiche.
- b. Paper copies.
- c. Microfiche copies.

Disposition: a. Retain on site for historical record.
b. Destroy draft copies when final copy issued. Destroy final copy when no longer needed.
c. Indefinite. Transfer to PTO storage facility.*

53.00 U.S. Patent Classification Manual - ELECTRONIC

**N1-241-90-5
#14 Rev.**

Contains the titles of all classes and subclasses of the U.S. Patent Classification (USPC) system. Each record is a class and subclass with its title, and displayed as it would appear in the printed *U.S. Patent Classification Manual*. Used to produce the CD-ROM, microfiche, and published versions.

- a. Datafile.
- b. Published copy.
- c. Microfiche copy.
- d. Duplicate microfiche copy.

Disposition: a. Permanent. Transfer a copy to NARA each time the manual is updated.
b. Destroy when 2 years old.
c. Destroy when no longer needed for PTO business.
d. Indefinite. Transfer to PTO storage facility.*

**54.00 Reclassification Source and Disposition List -
MICROFICHE**

Proposed

Microfiche listing of patent numbers with old and new locations in the classification system as the product of a reclassification project.

- a. Record copy.
- b. All other copies.

Disposition: a. Destroy when no longer needed.*
b. Destroy when no longer needed.

55.00 Patent Master Classification File (MCF)*

Proposed

Archival snapshot produced semiannually on microfiche listing patent number class, and subclass assignment of each patent. Produced in two sets, one in patent number order and one in classification order. Used as historical documentation of each patent's classification history.

- a. Microfiche master.
- b. All other copies.

Disposition: a. Destroy when no longer needed for PTO business.
b. Destroy when no longer needed.

Scientific and Technical Information Center (STIC) Manager

56.00 Special Studies Files

Proposed

Periodic studies completed by offices within STIC, such as "Online Commercial Database Usage Studies," Interlibrary Loan Study," and "Library Surveys." Used for tracking library usage.*

Disposition: Destroy when no longer needed.

Technical Services Branch

57.00 Accession Register

Proposed

Handwritten register of daily accessions. Lists date received, accession number, and initials of individual handling the accession. Replaced by Online Catalog System. Used to track incoming publications.

Disposition: Destroy or delete when no longer needed.

58.00 Cross-Reference Card Index

Proposed

Handwritten card index listing nonpatent literature number, date, and corresponding reel number. Used as a cross reference to microfilm holdings of nonpatent literature in various STIC information resource libraries.

Disposition: Destroy when superseded or obsolete.

Scientific Reference Branch

59.00 Online Database Search Log*

Proposed

Includes log-in date, requestor, art unit, serial number, type of search, total processing time, search costs, and other information. This log is combined with Form PTO-1590, listing requestor's name, serial number, and search topic. Used to track online usage and for input to the examiners electronic search log.

Disposition: Destroy or delete when no longer needed.

Reference Fulfillment Branch

60.00 Nonpatent Document Delivery System - ELECTRONIC

Proposed

The system delivers nonpatent reference materials to examiners upon request, through interlibrary loans. The system accesses databases listing available titles, and provides detailed records of exactly what has been requested, by whom and the progress of the acquisition process.

- a. System.
- b. Data Files.
- c. Documentation.

Disposition: a. Maintain system as long as needed for agency business, or until superseded.
b. Delete when no longer needed.
c. Transfer record copy to the Configuration Life Cycle Management when superseded or obsolete.

61.00 Interlibrary Loan Report - ELECTRONIC

Proposed

Report listing interlibrary loaned nonpatent literature circulating through the PTO. Available in hard copy upon request. Used for tracking purposes.

Disposition: Destroy or delete when no longer needed.

Chemical/Biotechnology Division

62.00 Online Catalog System (OLCAT) - ELECTRONIC

Proposed

Online search system listing cataloged titles for publications housed in the STIC Main Library, the Biotechnology/Chemical Library, and the Lutrelle F. Parker, Sr. Memorial Law Library. Individuals can search for a title by call number, title, subject keyword, series keyword, subject, etc. Used by examiners and the public as an electronic finding aid.

- a. System.
- b. Data Files.
- c. Documentation.

Disposition: a. Maintain as long as needed for agency business or until superseded.
b. Delete when related material is destroyed or transferred.
c. Transfer record copy to Configuration Lifecycle Management when superseded or obsolete.

Systems Branch

63.00 Biotechnology Sequence Listing - ELECTRONIC

Proposed

Original diskettes containing raw DNA sequence listings submitted by applicants. The sequence listing is in computer readable format (CRF) and the data is downloaded into the ABSS system. Note: Paper printout is considered the official record copy and is filed in Patent Case File. [Note: Paper printout is filed in patent case file.]

- a. Diskettes for Pending Applications.
- b. Diskettes for Issued Patents.
- c. Diskettes for Abandoned Patents.

Disposition: a. Maintain until abandoned or issued.
b. Destroy 5 years after issue.
c. Destroy 2 years after abandonment.

**64.00 Automated Biotechnology Sequence Search System
(ABSS) - ELECTRONIC****Proposed**

The ABSS system accommodates amino and nucleic acid molecular sequence searching requirements of the biotechnology and chemical examining groups. ABSS activities include searching of DNA/RNA sequences using commercial sequence searching software and processing of molecular sequence listings in computer readable form (CRF) as part of biotechnology patents. The system is available 24 hours per day, seven days a week, to support examination efforts. Note: The full DNA Sequence Listing is downloaded in hard copy and placed in the application.

- a. System software.
- b. Data files for granted patents.
- c. Data files for pending and abandoned patents.
- d. Documentation.

Disposition: a. Maintain until superseded or as long as needed for PTO business.
b. Permanent. Transfer to NARA when no longer needed for PTO business.
c. Delete data 2 years after abandonment with related case file.
d. Permanent. Transfer to NARA with data files. (SEE Software Product Assurance Div. CLC Management Library b.)

65.00 Computer Readable Format Error File**Proposed**

Original erred CRF diskette and copy of the ABSS Error Report. Lists problems experienced when processing the diskette, such as the detection of a virus or the Sequence Listing not converted to ASCII (DOS) text. Original error report is filed with application. Used to document errors.

Disposition: Destroy when corrected diskette is submitted and data is entered into ABSS and verified.

Foreign Patents Division**66.00 Foreign Patent Access System (FPAS) -
ELECTRONIC****Proposed***

FPAS provides access to full-text documents from other countries. Designed to allow examiners and library patrons to search first-page bibliographic data, titles, display a hit list, view any of the documents from the hit list, and to print the hit list, bibliographical data on a particular document, or the documents themselves. Note: CD-ROMs are scheduled separately as Foreign Patent Documents. Used to provide self-service access to foreign documents.

Disposition: Transfer to the Configuration Life Cycle Management Library when discontinued.

Translation Branch

67.00 Foreign Document Translations - ELECTRONIC

NC1-241-76-1
#130 Rev.

Original translations of foreign documents by Branch staff and contractors for use by examiners. Branch translations are exclusively electronic but contractors produce both hard copy and electronic versions. Documents are indexed by the TRACK Database. Maintained to avoid duplication of translation effort. Also used to track location of documents.*

Disposition: Destroy when no longer needed.

68.00 TRACK Database - ELECTRONIC

Proposed

Database designed to serve as an index to translations and to contain translation production and control data, including expenditures of funds and budget data. Index data includes title, location, media, and related information. Used to search for translations on file in the Branch. Production and control data includes information on in-house oral and written translations, contractor translations with delivery information, contractor fee rates, and fund obligations and balances. Files are closed out monthly and archived by fiscal year. Used for long range forecasting and statistical reporting and to produce administrative reports.

- a. System software.
- b. Index datafiles.
- c. Datafiles.

Disposition: a. Delete when superseded or obsolete.
b. Delete when no longer needed to locate translations.
c. Delete when no longer needed for statistical reporting.

Foreign Patents Branch

69.00 Foreign Patent Documents

NC1-241-76-1
#129 Rev.

Foreign patent documents received under bilateral exchange agreements with individual countries. Documents may be on one or more of the following media: microform, paper, or compact disk (CD-ROM). Documents are indexed by the Receipts Record System. Used as the source documents for foreign patent searches in accordance with the PTO's standing as an international patent search authority. Also used by examiners and the public to establish the date of receipt by the PTO for priority determinations.

- a. Record copy.
- b. All other copies.

Note: Collection contains records dating from 1617 and includes some rare and valuable records obtained before wars destroyed some countries' records.*

Disposition: a. Offer to PTDL's or the Library of Congress as part of the Gift and Exchange Program when no longer needed for PTO business.*

b. Offer to PTDL's or the Library of Congress as part of the Gift and Exchange Program when superseded or no longer needed as the archival copy.*

70.00 Journals, Periodicals, and Abstracts

Proposed

Publications related to patents received under bilateral exchange agreements with individual countries on a variety of media. Indexed by the Receipts Records System. Used to provide access to foreign patent information to PTO and to the public in accordance with PTO obligations as an international patent search facility.* Includes various media.

- a. Record copy.
- b. All other copies.

Note: Collection contains rare, out-of-print and thus valuable publications.*

Disposition: a. Offer to PTDL's or the Library of Congress as part of the Gift and Exchange Program when no longer needed for PTO business.*

b. Offer to PTDL's or the Library of Congress as part of the Gift and Exchange Program when superseded or no longer needed as the archival copy.*

71.00 Serial Records Files

Proposed*

Logs of incoming journals, periodicals, and abstracts from the late '70's to the early 90's. Replaced by Receipts Records System. Used to track the date in which particular documents were received by the Foreign Patents Branch for periods between 1978 -1992. Also includes tracking for publications received and routed to the Office of Legislative and International Affairs.

Disposition: Destroy when no longer needed for PTO business.

72.00 Copy Services Tracking System - ELECTRONIC

Proposed

System composed of two subfiles closed by fiscal year. COPY-FY contains information on reproductions of patent documents made for PTO and public patrons, including processing information. MICRO-YR contains information on microfilm usage by PTO and the public. Both datafiles are used to generate staff production data, user statistics, and data for administrative reports. The COPY-FY datafile also produces the source financial information on payments received from the public for copies.

- a. System software.
- b. Datafiles.

Disposition: a. Delete when superseded or obsolete.

b. Close datafiles at end of fiscal year. Delete when no longer needed for statistical reporting.

73.00 Receipts Records System - ELECTRONIC

Proposed

Datafiles which register the receipt of individual documents, aggregated documents on specific media, and foreign patent publications on various media. Contains receiving date, document identification, and processing information. Includes the following subfiles: CD Catalog, NVFILM (Microform Inventory Log), Bindery Catalog, Boyers Catalog, Update Catalog (Index/locator), Trademarks Database, Design Database, and Japan Abstracts Database. Used as an index/locator, as a receipt registration, to document staff production, and to produce statistical, processing, and administrative reports filed separately. Also used to track the receipt of documents.

- a. System software.
- b. Datafiles.

Disposition: a. Delete when superseded or obsolete.

b. Destroy when no longer needed for PTO business.

Office of Search Systems, Concepts Division

- 74.00 User Feedback File** **Proposed**
Notes, correspondence, and survey results used to document suggestions for improving PTO automated systems.
Disposition: Destroy when 3 years old or when no longer needed for reference.

Office of Search Systems, Evaluation Division

- 75.00 Automated Systems Trend Analysis** **Proposed**
Includes examiner time usage studies, current usage, statistical analysis, cost benefit analysis, and before and after studies. Used to anticipate future PTO automation needs.
Disposition: Destroy when no longer needed for trend analysis.
- 76.00 Reviews of Automated Patent System (APS)** **Proposed**
Includes reports from GAO, the Independent Review Team, Federal Quality Institute, Business Council, APS Industry Review Panel, Center for Quality Services, and DOC Decision Analysis Center. Used to evaluate APS.
Disposition: Destroy when no longer needed to evaluate the APS system.
- 77.00 Oversight Report File** **Proposed**
Reports to oversight groups including GSA, GAO, and Congress. Used to document PTO reporting to oversight groups.
Disposition: Destroy when 5 years old, or when no longer needed, whichever is later.
- 78.00 Automated Patent System (APS) Evaluation and Improvement File** **Proposed**
Includes user surveys, problem areas/solutions, alternative search proposals, help desk reports, bug reports, and lists of forced log-offs. Used to evaluate APS.
Disposition: Destroy when no longer needed to evaluate the APS system.
- 79.00 Evaluation Division Correspondence** **Proposed**
Correspondence includes improvements suggested by users, responses to reports, and hard copies of e-mail. Used to evaluate APS.
Disposition: Destroy when no longer needed to evaluate the APS system.

Office of Search Systems, Application Management Division

- 80.00 Programs Converted Report File** **Proposed**
Contractor provided lists of computer programs converted, module, programmer and change date. Used to document changes made to PALM.
Disposition: Transfer to Configuration Life Cycle Management Library when superseded or no longer needed.
- 81.00 Files Transferred Into Production Reports** **Proposed**
Contractor reports listing programs put into production, date, programmer, and remarks. Used to document changes to PALM.
Disposition: Transfer to Configuration Life Cycle Management Library when superseded or no longer needed.

7.
Item
No:

8. DESCRIPTION OF ITEM

9. GRS or
Superseded Citation

10. ACTION TAKEN
(NARA Use)

82.00 Engineering Change Requests

Proposed

Requests for changes in PALM program modules. Used to document reasons a module was changed.

Disposition: Transfer to Configuration Life Cycle Management Library when superseded or no longer needed.

83.00 PALM Program Listings

Proposed

PALM source code listings in COBOL. Used as computer program documentation.

Disposition: Transfer to Configuration Life Cycle Management Library when superseded or no longer needed.

Patent and Trademark Office
Revisions to Phase VII
Job No. N1-241-96-7

1 through 23: Dispositions OK.

24. Manual of Patent Examining Procedure (MPEP)

a. Record copy (Published paper copy)

PERMANENT.

- (1) Editions prior to the Sixth edition (1994): Transfer one complete edition with all revisions directly to the National Archives 40 years after MPEP is superseded by a new edition.
- (2) Sixth and later editions: Transfer one complete printed edition with all revisions to the National Archives when a new edition is published.

NOTE: if complete editions of the MPEP are available on microfilm, and can be transferred to the National Archives in accordance with provisions of 36 CFR 1230, use the disposition under subitem b.

b. Microfilm records

PERMANENT. Transfer one complete edition with all revisions to the National Archives in accordance with provisions found in 36 CFR 1230 when a new edition is published.

c. Electronic files

Update or delete when superseded, or no longer needed for current agency business.

d. All other copies

Destroy when no longer needed for reference.

25. Training Manuals for the APS. Disposition OK.

26. Published Patent Academy Lectures and Training Materials . Description and disposition revised.

- a. Record copy (all published lectures and accompanying materials). PERMANENT. Close files at the end of each FY and transfer to the FRC. Transfer to the National Archives when 10 years old. {Supersedes NC1-241-76-1, Item 34a}
- b. Electronic files. Update or delete as needed for current agency business. {New item}

Items 27 - 30. Disposition OK.

31. SIRA Administrator's Subject Files. Disposition revised.

Close inactive files at the end of each FY and destroy 5 years after closure.

32. Chron Files. Disposition OK.

33. Subject Files. Disposition revised.

Close inactive files at the end of each FY and destroy 5 years after closure.

34. International Claims Files. Disposition OK.

35. International Exchange Agreement Files. Disposition revised.

Destroy 20 years after the latest agreement expires, or when no longer needed for current reference. NOTE: these files may not be transferred to the FRC under this authority.

36. International Liaison Training Files. Disposition OK.

37. WIPO Circulars. Nonrecords. Remove note on disposition statement.

38. 447 Slips Application Transfer Request. Kathy will revise this disposition per meeting.

39. Survey 447 Reports. Disposition OK.

40. Management Information System--Electronic. Authority revised to GRS 23, Item 1.

Items 41 through 44: Dispositions OK.

45. IPC Manuals. Nonrecords or duplicate copies. NARA approval not required.

46. U.S. Patent Classification/International Patent Classification Concordances. Disposition OK.

47. WIPO Authority/Policy Documents. Nonrecord copies. NARA approval not required.
48. WIPO Classification Publications. Nonrecords. NARA approval not required.
49. Index to the U.S. Patent Classification System. Disposition revised for Item 49a.
 - a. Kathy will revise.
50. MPEP Publication Source File. Authority revised to GRS 20, Item 6.
51. Classification Definitions--Electronic. Disposition revised.
 - a. Original microfiche. Transfer to Boyers, PA for long term storage as agency vital record after inspection and verification.
 - b. Data files. Update or delete as needed for current agency business.
 - c. Microfiche copies. Destroy when no longer needed for current agency business.
52. Classification Orders. Disposition revised.
 - a. Original microfiche. Transfer to Boyers, PA for long term storage as agency vital record after inspection and verification.
 - b. Paper copies. Destroy drafts when final copy is issued. Destroy final copy when superseded or no longer needed for current business.
 - c. Microfiche copies. Destroy when no longer needed for current agency business.
53. U.S. Patent Classification Manual--Electronic and printed versions. Disposition revised.
 - a. Data files: Permanent. Transfer a copy of the file to the National Archives each time the manual is updated. {N1-241-90-5, Item 14}
 - b. Published manual (record set): Permanent. Transfer directly to the National Archives when superseded by a new edition of the manual. {New item}

NOTE: if complete editions of superseded manuals are maintained in microform format, and can be transferred to the National Archives in accordance with provisions of 36 CFR 1230, microfilm will serve as an acceptable substitute for the paper version.

 - c. Microfiche. Disposition revised.

Destroy when no longer needed for current agency business if the printed manual has already been transferred to the National Archives as specified in subitem a above.

NOTE: If the published version of the current or superseded manuals listed in subitem b above cannot be transferred to the National Archives, microfiche will serve as an acceptable substitute if it is transferred in accordance with the provisions of 36 CFR 1230. {New item}

d. Duplicate copies: Destroy when no longer needed for current agency business.

54. Reclassification Source and Disposition List--Microfiche. Disposition OK.

55. Patent Master Classification File (MCF). Disposition OK.

NOTE: The electronic version of the MCF is scheduled as permanently valuable in Job No. N1-241-90-4, Item 13. The permanent disposition is carried over in Job No. N1-241-96-5 (Phase 5), Item 52b(3).

56. Special Studies. Disposition revised.

Close inactive files at the end of each FY. Destroy 5 years after closure.

Items 57 through 60: Dispositions OK.

61. Interlibrary Loan Report--Electronic. Authority revised to GRS 20, Item 9.

62. Online Catalog System (OLCAT)--Electronic. Authority revised to GRS 20, Item 9.

63. Biotechnology Sequence Listings--Electronic. Remove last sentence of description. Disposition OK.

64. Automated Biotechnology Sequence Search System (ABSS)--Electronic. Dispositions revised.

a. Update or delete as needed as long as system is operational. Latest system documentation and program technical data should be maintained in the Configuration Management Library.

b. Update as needed for current agency business.

c. Update as needed for current agency business.

- d. Transfer system and file documentation to the Configuration Management Library. Update or delete as needed as long as system is operational.

65. Computer Readable Format Error File. Disposition OK.

Items 66 through 73: Dispositions OK. Items 67, 69, and 70 were determined to be nonrecord materials.

Items 74 through 83: Dispositions OK.

**New
Item**

84. International Liaison Staff Committee Working Papers [International Liaison Staff]

Correspondence for the Permanent Committee on Industrial Property Information (PCIPI), and the Patent Cooperation Treaty Committee for Technical Cooperation (PCT/CTC) committees. Includes working papers and notes. Used for reference purposes on international projects and assistance.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {Supersedes NC1-241-76-1, Item 68a}

**New
Item**

85. Log Books (Receipts of Foreign Documents) [Foreign Patents Branch]

Individual ledgers (Form PTO 85-19) for each country where document title, related information, and PTO receiving date are entered. Log Books were replaced in 1992 with the Receipts Records System. Used as the source record establishing the date (to determine priority) when foreign patent documents are received by PTO for years prior to 1992.

AUTHORIZED DISPOSITION: Destroy when no longer needed for current agency business. {Supersedes NC1-241-76-1, Item 127}



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

January 3, 1996

Mr. Lawrence Baume, Appraisal Archivist
National Archives and Records Administration
Records Appraisal and Disposition Division (NIR)
8601 Adelphi Road
College Park, Maryland 20740-6001

Dear Larry:

Enclosed is the SF 115 for Phase VII of the PTO 1994/1995 Records Series Inventory.
Also enclosed for use in your review and registration process are:

- List of Commonly Use Acronyms
- Inventories (including GRS and Nonrecord series)
- Key Work Index
- Location List

Please call me on (703) 308-7400 if you require addition information.

Sincerely,

Kathleen A. Schultz
Records Officer

Enclosures