

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER *NI-241-98-2*

DATE RECEIVED *7-16-98*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE *11-17-98* ARCHIVIST OF THE UNITED STATES *John W. Carl*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
Patent and Trademark Office

2. MAJOR SUBDIVISION
Office of the Chief Information Officer/ODM

3. MINOR SUBDIVISION
Records Management

4. NAME OF PERSON WITH WHOM TO CONFER **Kathleen A. Schultz**
5. TELEPHONE **(703) 308-7400**

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 3 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 *7/14/98* SIGNATURE OF AGENCY REPRESENTATIVE *Kathleen A. Schultz* 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 GRS OR SUPERSEDED JOB CITATION	10.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	See attached list of items 1-5		

DEC -2 1998 MIT copy to Agency, NARA NWM

Patent and Trademark Office
Proposed Records Dispositions

Office of the Chief Information Officer

1. Network and Systems Operations and Maintenance Records

Formal reports to the Chief Information Officer which document system problems, resolutions, and maintenance deemed necessary to avoid future problems. May include but not limited to Root Cause Analysis reports. Used by the CIO and staff to track problems which result in the outage or major loss of functionality of production information systems.

- a. Record copy retained for the CIO.
- b. All other copies.

Disposition:

- a. Destroy when five years old, or when no longer needed, whichever is later.
- b. Destroy when no longer needed.

2. Job Application Rating System (JARS)

JARS provides internal controls and streamlining of labor intensive personnel processes. The system complies with instructions from the Office of Personnel Management (OPM) for the fair and open hiring of applicants for federal employment, performing all functions currently supported by OPM. Applicants for employment at the PTO submit job applications primarily by means of the Internet. Managers may view qualified Patent Examiner applications accompanied by electronic images of supplemental documentation. The system allows documents to flow electronically between users. Supervisory Patent Examiners (SPEs) and sector representatives view all listings of all applicants for the sector. SPEs and sector representatives may request automatic issuance of Certification of Eligibility.

- a. System software.
- b. Initial documentation and updates.
- c. System data bases
- d. Incoming paper documents (SF 171s, resumes, etc.) and Supporting paper documents (transcripts, DD 214, etc.)
 - 1. If applicant is hired.
 - 2. If applicant is not hired.
- e. Online electronic applications
- f. Certificates of Eligibility (copy)
- g. Reports on applicants

Disposition:

- a. Maintain as long as needed for PTO business, or until superseded.
- b. Transfer to the Configuration Life Cycle Management Library when system is operational.
- c. Delete information when 2 years old.

- d. 1. Retain in Official Personnel File.
2. Destroy 2 years after scanned to automated system and validated.
- e. Delete when 2 years old.
- f. Destroy when 2 years old (Reference GRS 1, #5.).
- g. Destroy when no longer needed for reference.

Patent Search Room

3. PSRBadge System

The PSRBadge System consisting of several components is a COTS badging package accessed via the PTO network and linked by the public user (user) identification (ID) number to a custom developed activity tracking system. The badging component captures user ID data into a data base and is used by the Public Search Services Program to provide badges to users; eventually ID number and status (valid/active) will link to physical access monitoring of public access areas. The activity tracking component manages file folder access by the users . Badging component data contains information about the users and user status information; tracking component data contains file folder information.

The badging component of the PSRBadge System captures the following customer information: 1) user name; 2) address; 3) phone number; 4) ID as number and barcode; 5) signature; 6) user's photo; 7) user company information, if appropriate; 8) birth date; and 9) ID verification. The system tracks and manages file folder requests, orders, file check in/out and holds, date, and time. Only authorized PTO staff may access system data.

- a. System software
- b. Initial documentation and updates
- c. User data
- d. User photo
- e. User ID card
- f. User reports

Disposition:

- a. Maintain as long as needed for PTO business, or until superseded.
- b. Transfer to the Configuration Life Cycle Management Library when system is operational.
- c. Update as needed. Maintain as long as the system is operational.
- d. Update as needed. Maintain as long as the system is operational
- e. Classify ID cards as invalid, at expiration or suspension.
- f. Destroy when no longer needed (See N1-241-96-4, #19, Customer Infraction Files).

General Information Services Division

4. Enterprise Call Center System (ECC)

The ECC is a telephony system incorporating several COTS packages utilizing the PTO network for transmission of productivity data. Several call centers within the PTO are serviced by this centralized call center infrastructure, which tracks incoming calls from initial contact to completion. The system includes Automated Call Distribution, Interactive Voice Response, Computer-telephony Integration equipment, software, and functions.

- a. System software
- b. Initial documentation and updates
- c. Reports produced by system.

Disposition:

- a. Maintain as long as needed for PTO business, or until superseded.
- b. Maintain with system as long as system is operational.
- c. Destroy when 2 years old, or when no longer needed. (GRS 23, 1)

Reference: "Activity Reports" as #536 under Associate Commission and Chief Financial Officer section (#3) of the 1997 PTO Comprehensive Records Schedule.

Office of Finance

5. Revenue Accounting Management (RAM) - Electronic

The Revenue Accounting and Management (RAM) system supports the processing of receipts and deposit account transactions throughout PTO. The purpose of RAM is to record accurately the revenue receipts (cash, credit cards, EFT, and checks) that accompany applications, purchase of copies, and deposit account activity (deposits and refunds). Replacing the Cash Receipts Deposit Accounts (CRDA) system, RAM processes fee accounting transactions and updates the Federal Financial System (FFS) daily. The system also provides features to allow the Receipt Accounting Division to quickly respond to customer inquiries about fees processed and deposit account activity.

- a. System software.
- b. Data files.
- c. Initial documentation and updates.

Disposition

- a. Delete two years after superseded or upgraded.
- b. Destroy 26 years after filing payment. (Allowing 20 years for the life of the patent, and 6 years for litigation limitation.)
- c. Maintain by system developer.