

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See instructions on separate page)		JOB NUMBER <i>N1-241-01-8</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWM) WASHINGTON, DC 20408		DATE RECEIVED <i>7-17-01</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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>10-9-01</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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>7/9/01</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K. Brown</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 GRS OR SUPERSEDED JOB CITATION	10.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)
	Please see attached item(s):  USPTO Office of Enrollment and Discipline (changes to existing dispositions)		
1	Case Folders of Registered Attorneys and Agents	N1-241-96-1 #32	
2	Closed Complaint Files - No Disciplinary Proceeding is Initiated	N1-241-96-1 #35	
3	Data Sheets	N1-241-96-1 #34	
4	Unsuccessful Applications	N1-241-97-1 #2	
	<i>cc: Agency, NWMW</i>		

United States Patent and Trademark Office  
Office of Enrollment and Discipline

Records	
<p><b>1. Case Folders of Registered Attorneys and Agents (40/47)</b></p> <p>Application folders of attorneys or agents registered to practice before the USPTO. Filed in alphabetical order by registrant name. Includes requests to change address or name, and related data, and copies of certificates of good standing.</p> <p><del>a. Case folders.</del></p> <p><del>b. Addenda to case folders stored at the FRG.</del></p> <p><del>c. Microfilm copy of case folders.</del></p> <p>d. Electronic Mail and Word Processing System Copies:</p> <p>(1) 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.</p> <p>(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p><b>1. [N1-241-96-1 #32]</b></p> <p><del>a. Break files in 6-month increments and retire to FRG.</del></p> <p><del>b. Destroy when 60 years old.</del></p> <p><del>c. Retire to the FRG in 1- or 4-ft. increments. Destroy when 60 years old.</del></p> <p><del>d. Destroy when no longer needed for reference.</del></p> <p>d. [Authorization pending]. Electronic Mail and Word Processing System Copies:</p> <p>(1) Destroy/delete after the recordkeeping copy has been produced.</p> <p>(2) Destroy/delete when dissemination, revision, or updating is complete.</p>

Previously approved  
authority of  
FNBS  
9/30/01

<p><b>2. Closed Complaint Files - No Disciplinary Proceeding is Initiated (42/49)</b></p> <p>Complaint letters, related correspondence, and supporting documentation on complaints about an attorney or agent registered to practice or an applicant for registration before the USPTO. Filed alphabetically by registrant name.</p> <ul style="list-style-type: none"> <li>a. Routine cases where no formal warning is issued.</li> <li>b. Significant cases where a formal warning is issued</li> <li>c. Electronic Mail and Word Processing System Copies: <ul style="list-style-type: none"> <li>(1) 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.</li> <li>(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</li> </ul> </li> </ul>	<p><b>3. [N1-241-96-1 #35]</b></p> <ul style="list-style-type: none"> <li>a. Close file on completion of USPTO investigation. Retire to FRC 5 years after closure or death, whichever is first. Destroy 30 years after closure.</li> <li>b. Close file on completion of USPTO investigation. Retire to FRC 10 years after closure or death, whichever is first. Destroy 30 years after closure.</li> <li>c. [Authorization pending] Electronic Mail and Word Processing System Copies: <ul style="list-style-type: none"> <li>(1) Destroy/delete after the recordkeeping copy has been produced.</li> <li>(2) Destroy/delete when dissemination, revision, or updating is complete.</li> </ul> </li> </ul>
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3. Data Sheets (44/51)

Record of current registrations filed alphabetically by registrant name. Revised data sheets and correspondence submitted by registrants are attached to original sheet, along with copies of certificates of good standing and undertaking. Used as the official file of current registrations.

- ~~a. Data sheets of deceased registrants.~~
- ~~b. Data sheets of inactive registrants.~~
- c. Electronic Mail and Word Processing System Copies:
  - (1) 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.
  - (2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

5. [N1-241-96-1 #34]

- ~~a. Retire to ERC 1 year after death of registrant; destroy 10 years after retirement to FRC.~~
- ~~b. Retire to FRC 10 years after inactive status; and destroy 30 years after retirement to FRC.~~
- c. [Authorization pending]. Electronic Mail and Word Processing System Copies:
  - (1) Destroy/delete after the recordkeeping copy has been produced.
  - (2) Destroy/delete when dissemination, revision, or updating is complete.

Reviewed  
approved  
authority  
applied  
7/30/01  
JMS

4. Unsuccessful Applications (53/60)

Includes correspondence, application, transcripts, and related records. Used to process requests for refunds and to document completed actions if the applicant continues at a later time. Also used to document reasons for denial, which are referred to when applicants reapply after satisfying deficiencies.

- ~~e. Approved to take exam.~~
- ~~b. Not approved to take exam.~~
- c. Electronic Mail and Word Processing System Copies:
  - (1) 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.
  - (2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

13. [N1-241-97-1 #2]

- ~~a. Retire to FRG 1 year after last activity. Destroy when 30 years old.~~
- ~~b. Retire to FRG when 1 year after last activity. Destroy when 30 years old.~~
- c. [Authorization pending]. Electronic Mail and Word Processing System Copies:
  - (1) Destroy/delete after the recordkeeping copy has been produced.
  - (2) Destroy/delete when dissemination, revision, or updating is complete.

*Previously approved authority applied. 7/30/01 JWS*