

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER
 NJ-241-95-1

DATE RECEIVED
 3-3-95

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
 5-9-96

ARCHIVIST OF THE UNITED STATES
[Signature]

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

1. FROM (Agency or establishment)
 DEPARTMENT OF COMMERCE

2. MAJOR SUBDIVISION
 PATENT AND TRADEMARK OFFICE

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
 JOHN WALKER

5. TELEPHONE
 703-308-0588

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: 2/27/95

SIGNATURE OF AGENCY REPRESENTATIVE: *John Walker*

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 GRS OR SUPERSEDED JOB CITATION	10.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)
	<p>See Attached Items 1 through 48</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>Jessy Beume</i> 4/26/96 <i>Kathleen A. Schultz</i> 4/26/96 NARA appraiser date Agency representative date</p>		

Center for Quality Services

- 1.0 **Benchmarking Case Files** **Proposed**
Includes interviews with clients and additional documentation of the current procedures together with final recommendations.
Disposition: Break files by fiscal year. Destroy in office when 5 years old.
- 2.0 **Customer Products and Services Matrix** **Proposed**
Computer-generated charts displaying each PTO program office and the products, services, and customer types served.
Disposition: Break files by fiscal year. Destroy in office when 5 years old.
- 3.0 **Independent Quality Checks** **Proposed**
Audits and analyses of PTO program office operations. Reports include findings and recommendations for system improvements or staff training. (Program is currently inactive, but records are maintained in the event of resumption.)
Disposition: Break files by fiscal year. Destroy in office when 4 years old.
- 4.0 **Procedures Manuals - Development Records** **Proposed**
Research and development records used to create procedure manuals for the Center for Quality Services and other PTO units. The manuals were developed to improve the quality of services provided by PTO.
Disposition: Break files by fiscal year. Destroy in office when 6 years old.
- 5.0 **Quality Services Program Files** **Proposed**
Program-related correspondence and reports on matters related to the mission of the Center for Quality Services.
Disposition: Break files by fiscal year. Transfer to FRC when 5 years old. Destroy when 15 years old.
- 6.0 ^{Copies of} **Commissioner's Controlled Correspondence Files** **NC1-241-76-1 #1**
b. Revised
X. Copies of correspondence assigned by the Commissioner or Associate Commissioner requiring special attention. Files contain copy of original documents and background notes on final resolution. Organized by control number. Responses may be signed by program office or drafted for signature of Commissioner. Record copy maintained in Commissioner's files.
Disposition: X) Break files by fiscal year. Destroy when ²7 years old.

Office of Human Resources**7.0 Studies and Research Articles****NC1-241-76-1 #9
Revised**

Record copies of special research projects undertaken at the request of the Director and/or the Commissioner(s). Includes background resource materials and notes.

Disposition: ~~Transfer to ERC when 10 years old. Transfer to National Archives when 25 years old.~~

Copy closed files annually and transfer to FRC 10 years after closure. Destroy 15 years after closure.
Classification and Employment Division.

8.0 Employee Performance File~~**Proposed**~~ **GRS 1
(23) a. (4)**

Performance evaluations issued annually or more frequently if warranted. Employee performance on Form CD-516 is not filed in the OPF until an employee separates or transfers to another agency. Filed by employee name. Files are the joint responsibility of the Classification and Employment Division and Employee Relations Division.

Disposition: Destroy 4 years after date of appraisal.

Workforce Effectiveness Division**9.0 Training Catalog for Fiscal Year - Record Copy****Proposed**

Record copy of annual catalog listing courses available to PTO employees. Catalog includes policies and enrollment instructions; training plan for management and supervisor competencies; list of professional, technical, clerical, and administrative courses; ancillary courses; total quality management courses; office automation courses; video training; and course calendar. Printed catalog.

Disposition: Destroy when 3 years old.

Employee Relations Division**10.0 Employee Performance Files.**~~**Proposed**~~ **GRS 1
(23) a. (4)**

Performance evaluations issued annually or more frequently if warranted. Employee performance on Form CD-516 is not filed in the OPF until an employee separates or transfers to another agency. Filed by employee name. Files are the joint responsibility of the Classification and Employment Division and Employee Relations Division.

Disposition: Destroy 4 years after date of appraisal.

11.0 Employee Relations Database - ELECTRONIC

Suitability data is stored in this database. Suitability reports are issued by OPM on newly appointed employees. If the background check results in a negative report, the PTO may elect to terminate the employee instead of granting permanent employment status.

Disposition: Delete information in the database when no longer needed.

~~Proposed~~

GRS 20, item 3a.

12.0 Employee Relations Division Files

Policy subject files containing copies of directives from the DOC, Office of Personnel Management, and PTO Human Resources. Files are used for administrative reference in meeting the duties and responsibilities of the Employee Relations Division. Superseded directives are sometimes retained for historical reference. Includes FYI memos, case law and related information. Filed loose in folders.

Disposition: ~~Purge annually of policy records older than 20 years. Transfer to ERC when 25 years old. Destroy when 30 years old.~~

Close inactive files annually and transfer to the ERC 10 years after closure. Destroy 25 years after closure.
Labor Relations Division

Proposed

13.0 Arbitrator Research Files

Collection of decisions rendered, and used in the arbitrator selection process. sorted by arbitrator name.

Disposition: Destroy files on arbitrators no longer available for consideration annually.

Proposed

14.0 Official Time Reports

Original statements detailing the number of hours used by union members in the conduct of official union business.

Disposition: Destroy after GAO audit or when 6 years old, whichever is sooner.

Proposed

Office of Administrative Services

15.0 OAS Services Handbook

Guide to the services of the Office of Administrative Services. Contents include lost and found, security and safety, phone services, mail delivery, signage, transportation and travel, building repairs and maintenance, and key contacts by name and phone number. Record copy maintained in Administrative Files.

1. Record copy.
2. All other copies.

Disposition: 1. Destroy record copy 3 years after superseded.
2. Destroy when superseded.

NC1-241-76-1 #6
b. Proposed

16.0 Administrative Services Correspondence

Proposed

Primary file copy of all incoming or outgoing correspondence, annotated with suspense dates and including records of the action taken. Items are arranged chronologically in notebooks. Related records are retained in the Controlled Correspondence File. Called "Day File" in office.

Disposition: Break files by fiscal year. Transfer to FRC when 5 years old. Destroy when 10 years old.

17.0 <sup>Duplicate
copies of</sup> Controlled Correspondence FileNC1-241-76-1 #1
b. Revised

Copies of correspondence assigned by the Commissioner or Associate Commissioner requiring special attention. Files contain copy of original documents and background notes on final resolution. Organized by control number. Responses may be signed by program office or drafted for signature of Commissioner. Record copy maintained in Commissioner's files.

Disposition: Break files by fiscal year. Destroy when ²7 years old.

18.0 Parking Waiting List - ELECTRONIC

~~Proposed~~

Database maintained in the CCI system containing names of employees on the waiting list for parking space rental. Includes phone number and date of request. List is maintained in chronological order and is searchable by name.

Disposition: Delete record after action is taken.

GRS 20, item 3 b 2

OAS, Budget and Program Analysis

19.0 Mail Analyses Report Files

Proposed GRS 12
(6) d.

Daily, weekly, and monthly reports on the volume, types, and destinations of mail received by the In/Out Mail Unit and processed through the Application Review Processing Unit.

Disposition: Destroy when 2 years old, or when no longer needed, whichever is sooner.

20.0 Employee Locator and Finder System (ELFS) - ELECTRONIC

~~Proposed~~

Electronic phone book, maintained for all PTO staff by this Office on the PALM (Patent Application Location and Monitoring) System. Records added, deleted, or modified according to PTO staff changes.

Disposition: Update or delete records as needed.

GRS 20, item 3 b 2

OAS, Security

21.0 Security and Safety Training Materials

Proposed

Awareness training materials for security and safety programs for all PTO employees. Material includes pamphlets, brochures, and classroom handouts.

Disposition: Destroy when 5 years old.

OAS, Facilities Management Division**22.0 Facilities Management Division Files****Proposed**

Subject files by branch: Space and Telecommunications, Records and Property Management. Includes monthly reports and topics related to, or covered by each branch.

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

OAS, Records and Property Management Branch**23.0 PTO Inventory Database - ELECTRONIC****Proposed**

Inventory database of furniture and equipment valued above \$5,000 or equipment considered 'sensitive' by the PTO owner-office. System produces inventory reports for each PTO unit. Database system is part of the National Finance Center (NFC) in New Orleans. All data entry is done by Records and Property staff.

Disposition: Delete information in the database when no longer needed.

*GRS 20, item 3b2 by
ref. GRS 3, item 9.*

OAS, Official Search Unit**24.0 Request for Official Search****Proposed**

PTO Form 1216 "Request for Official Search" for patent or trademark application, abandoned application, case file, or trademark registration. At the initiation of the search, the specific record in the PALM System is annotated to show that it is being searched. Contains history of the searcher's effort over the 30 day search period and the outcome. From 50 to 250 requests are received by the Official Search Unit each day. Filed chronologically.

Disposition: Destroy when 2 years old.

25.0 Case Files Found**Proposed**

Lists of patent or trademark case files located by staff of the unit

- a. as a result of request for official searches.
- b. after the expiration of the official search period.

In both cases, PALM is updated.

Disposition: a. Destroy when 3 years old.
b. Destroy when 3 years old.

26.0 Terminated Patent and Trademark Searches**Proposed**

Documentation of search that has continued for 30 days without success. Includes the search history and a copy of the letter to the requestor detailing available options. Filed in chronological order. Lost file annotation is recorded in the PALM System.

Disposition: Destroy when 3 years old.

~~27.0 Serial Number Index to Patent Applications - MICROFILM~~

~~Microfilm copy of card file containing serial number, date, title of patent, inventor's name and address, and patent number if issued. Arranged by serial number. Date range is 1930's through 1970's. 1930's series called "Applications Index" Film canisters labeled "Inventor's Index."~~

- ~~a. Record Copy.~~
- ~~b. Reference copies.~~

~~Disposition: a. Permanent. Transfer to National Archives when no longer needed for reference.
b. Destroy when no longer needed.~~

~~NC1-241-76-1 #49 Revised~~

WITHDRAWN

Office of Budget

28.0 Budget Policy and Procedures Correspondence Files

~~NC1-241-76-1 #15~~

Correspondence files showing PTO policy and procedures governing budget administration, and reflecting expenditures for PTO programs.

~~Disposition: Permanent. Break files by fiscal year. Transfer to FRC when 10 years old. Transfer to National Archives when 25 years old.~~

Close files annually at the end of each FY and transfer to the FRC 5 years after closure. Destroy 10 years after closure.

29.0 Budget Estimate Files

NC1-241-76-1 #16

File copies of budget estimates comprising appropriation language sheets, narrative statements, and related data.

~~Disposition: Permanent. Break files by fiscal year. Transfer to FRC when 10 years old. Transfer to National Archives when 25 years old.~~

Close files annually at the end of each FY and transfer to the FRC 5 years after closure. Destroy 10 years after closure.

30.0 PTO Program Performance Files

Proposed

Documentation satisfying requirements of the Chief Financial Officers Act (CFO) of 1990 and the Government Performance and Results Act (GPRA) of 1993. GPRA requires a 5 Year Strategic Plan with triannual updates. CFO requires an annual financial report. This data is submitted in varying formats to DOC, OMB, and the Executive Office of the President.

~~Disposition: Transfer to FRC 5 years after the end of the plan. Destroy when 20 years old.~~

Close files at the end of the plan. Destroy when 20 years old.

31.0 Trilateral Statistical File

Proposed

Documentation supporting text, tables, charts, and graphs provided by the PTO for inclusion in the Trilateral Statistical Report. PTO data is combined with similar data provided by the European Patent Organization (EPO) and the Japanese Patent Office (JPO). Responsibility for the report's compilation rotates annually among the three patent offices.

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

a. Published report. Permanent. Close files annually and transfer to the FRC with Final Budget Submissions at the end of each FY. Transfer to the National Archives when 10 years old.

b. all other files. Break files at the end of each CY. Destroy when 5 years old.

NOTE - SEE NEW ITEMS LISTED ON FOLLOWING PAGE

Job No. N1-241-95-1
Office of Budget (cont'd)

#49

New
Item

Final Budget Submissions

The final approved PTO budget submission sent annually to Congress, OMB, and the Department of Commerce.

Permanent. Cutoff files annually and transfer to the FRC at the end of each FY. Transfer to the National Archives when 10 years old.

#50

New
Item

Budget Hearing Books and Background Records

Notebooks, files, budget data, and other records that are created to defend PTO budget submissions in hearings before Congress, OMB, or the Department of Commerce. The records contain retrospective budget data, memorandums, correspondence, testimony, issues papers, and similar records.

- a. **Hearing Books.** Permanent. Close files at the end of each FY and transfer to the FRC 3 years after closure. Transfer to the National Archives 10 years after closure.
- b. **Background and Subject Files.** Destroy three years after the close of the FY pertaining to the budget.

Office of Finance, Office of the Director**32.0 Administrative Finance Files****Proposed**

Administrative files including record copies of Audit Statements, Financial Statements, Internal Control Reviews, copies of Budgets, DOC Financial Management System manuals, record copies of Year End Reports 1993, copies of Chief Financial Officer Annual Reports, Statements, Five Year Financial Plans, and Joint Financial Management Integrity Files.

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

Office of Finance, Financial Accounting Division**33.0 Patent Cooperation Treaty Fees****Proposed**

A monthly report from the FFS system listing Patent Cooperation Treaty transactions by serial number, date, fee code, and amount. Reports are used to reconcile balances and for statistical reporting of international fee activity.

Disposition: Destroy when 2 years old.

34.0 Prompt Payment Reports**Proposed**

Quarterly analyses of invoice payment timeliness. Includes dollar value of savings accrued as a result of speedy payment as compared against dollar value of late payment surcharges required by the Prompt Payment Act 1992-94.

Disposition: Break files by fiscal year. Destroy when 2 years old.

Office of Finance, Receipts Accounting Cashiers**35.0 APS Search Fee Applications (Cashier Windows)****Proposed**

Application for payment of fees associated with using the Automated Patent Search (APS) system. Payment may be via deposit account, credit card, or personal check.

Disposition: Destroy when 1 year old.

Office of Finance, Status and Entity Division**36.0 Maintenance Status Report****Proposed**

Monthly status report generated by Automated Patent Search (APS) which contains patent numbers, issue dates, payment history, and due dates for maintenance fees. Used to administer the Patent Maintenance Fee program. (Report 32MO83).

Disposition: Break files by fiscal year. Destroy when 2 years old.

Office of Finance, Financial Systems Division**37.0 Federal Financial System (FFS) - ELECTRONIC**

PTO's primary integrated accounting system operated by the U.S. Geological Survey on behalf of PTO.

The systems two main modes are data maintenance, and online inquiry. Under data maintenance, specific expenditures are obligated by generating requisitions through FFS. Disbursements are entered as transactions in FFS after the receipt and approval of a proper invoice. Reports and online displays are produced through the online inquiry module.

- a. Input data is accomplished through 300 authorized terminals throughout PTO. FFS data is updated from CRDA and NFC systems through batch tape or data transfer.
- b. Master data files for 1991 to 1994 are available online, or within 20 minutes of a request for a tape load.
- c. Output files are generated under the online inquiry through report generation and document tracking capabilities. Among reports are general ledger tables, standard journal tables, monthly summary balance tables, and expenditure reports by cost center, job, program, or category designation.
- d. Backup files: daily backups exist for the most recent 60 days, and four weekly cycles are maintained.
- e. The Financial Systems Division distributes a variety of special reports throughout PTO. Standard requisitions, travel orders, purchase orders, contracts, and amendments may be produced.

Disposition: Delete data 6 years and 3 months after end of fiscal year.

~~Proposed~~

GRS 20, item 3b2 by
ref. to GRS 6, item 1a.

Office of Procurement**38.0 Federal Financial System (FFS) - ELECTRONIC**

PTO's primary integrated accounting system operated by the U.S. Geological Survey on behalf of PTO.

The systems two main modes are data maintenance, and online inquiry. Under data maintenance, specific expenditures are obligated by generating requisitions through FFS. Disbursements are entered as transactions in FFS after the receipt and approval of a proper invoice. Reports and online displays are produced through the online inquiry module.

- a. Input data is accomplished through 300 authorized terminals throughout PTO. FFS data is updated from CRDA and NFC systems through batch tape or data transfer.
- b. Master data files for 1991 to 1994 are available online, or within 20 minutes of a request for a tape load.
- c. Output files are generated under the online inquiry through report generation and document tracking capabilities. Among reports are general ledger tables, standard journal tables, monthly summary balance tables, and expenditure reports by cost center, job, program, or category designation.
- d. Backup files: daily backups exist for the most recent 60 days, and four weekly cycles are maintained.
- e. The Financial Systems Division distributes a variety of special reports throughout PTO. Standard requisitions, travel orders, purchase orders, contracts, and amendments may be produced.

Disposition: Disposition administered by Office of Finance.

~~Proposed~~

GRS 20, item 3b2
by ref. to GRS 6, item 1a.

Office of Planning and Evaluation

~~39.0 Corporate Data - ELECTRONIC~~

Proposed

~~Unique compilation serving as the initial data collection being developed for the Executive Information System (EIS). The EIS will contain data designed for PTO executives: patent, trademark, and economic statistics; employment data; and international patent and economic data. Information is gathered from sources within PTO, other government agencies, and published sources. The system can be used for trend analysis and long range planning.~~

See revised series description on attached page.

~~Disposition: Permanent. Copy data and software and transfer to the National Archives when 5 years old or in accordance with 36CFR1228.~~

~~40.0 Corporate Library~~

~~Proposed~~

~~Collection of statistical reports and documentation on data maintained as backup and in support of the Corporate Data System.~~

WITHDRAWN

~~Disposition: Permanent. Transfer records to the FRC when 10 years old. Transfer to the National Archives when 50 years old.~~

41.0 PTO Organizational Records

NC1-241-76-1 #6
b. Revised

Background records detailing reorganization of the PTO after a change in administration or when directed by the Commissioner. Reorganization order is released under DOC Administrative Order. For related records, see Administrative Issuances.

~~Disposition: b. Destroy in office when 10 years old.~~ *Permanent. Close files annually after each update and transfer to the FRC 3 years after closure. Transfer to NARA 10 years after closure.*

42.0 Patent Fee Program

Proposed

Promulgation of rules, hearing records and responses, fee correspondence, fee implementation, mailings to attorneys, and other records related to inflationary and other fee increases.

Disposition: Break files by fiscal year. Destroy in office when 20 years old.

43.0 Program Planning and Evaluation Files

NC1-241-76-1 #12
Revised

Files showing the overall development of PTO plans and the evaluation of their effectiveness. Included are one copy of each staff study, evaluation report, system study, and related correspondence and background materials.

Disposition: Break files by fiscal year. Destroy 5 years after conclusion of project.

44.0 Strategic Plans and Operational Plans - Working papers

Proposed

Strategic plans mandated by the Government Performance and Results Act. Produced at intervals of four years or less. Distributed PTO-wide, to Congress, and interested members of the public. Strategic plans present general future directions for the PTO. The operational plans are the in-house version contain specific implementation details. New plans incorporate previous data. Files include working papers.

~~Disposition: Transfer to FRC 10 years after the end of the Plan. Destroy when 25 years old.~~

Close files at end of plan or when superseded by new plan. Transfer to FRC 10 years after closure. Destroy 25 years after closure.

39. Corporate Data System

The Corporate Data system stores and manipulates data which is used to create trends analysis and long-term planning reports. These reports are run by request or routinely for other offices within PTO. The data is input manually from published sources or from the PALM reports produced by the Patent Core. The system runs on an EXCEL spreadsheet program.

- a. Corporate Library (inputs). Published sources and statistical reports collected and maintained in support of the Corporate Data System.

Destroy when no longer needed for current agency business.

- b. Data contained in the Corporate Data System

Update and delete as needed for current agency business.

- c. Reports (outputs).

Forward final report to receiving office and transfer duplicate copies to the Corporate Library (Item 39a). Destroy when no longer needed for current agency business.

45.0 Reengineering Team - Working Papers

Proposed

Studies, flowcharts, and related analyses accompanying proposed organizational, information technology, or workflow realignments which are a part of the continuing PTO business process reengineering program.

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

46.0 Statistical Models - ELECTRONIC

Proposed

spreadsheets, data files, and other electronic records
Statistical models used to analyze forecasts of PTO information.

Disposition: Destroy 3 years after discontinued use, or when no longer needed.

47.0 Contracting Out for Services (A-76)

Proposed

A-76 Circular, correspondence, and Cost Comparison Studies in central files.

Disposition: Break files by fiscal year. Destroy when 3 years old.

48.0 Trilateral Patent Data Exchange Program

Proposed

Data exchange program between European Patent Office, Japanese Patent Office and the PTO. Data is published annually on a revolving basis by the three members.

- a. PTO data reviewed and formatted for submission under the program.
- b. Office copies of feeder reports and data for submission under the program.

Disposition: a. Break files by calendar year. Destroy 5 years after publication of data.

b. Break files by calendar year. Destroy when 3 years old.