

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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
 Data Administration Division

4. NAME OF PERSON WITH WHOM TO CONFER
 Kathleen A. Schultz

5. TELEPHONE
 (703) 308-7400

LEAVE BLANK (NARA use only)

JOB NUMBER
 NI-240-96-2

DATE RECEIVED
 11-09-95

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
 6-10-96

ARCHIVIST OF THE UNITED STATES
John W. Carl

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: 11/6/95 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 GRS OR SUPERSEDED JOB CITATION	10.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)
	See attached items 1-8 (Phase III)		

All changes to this proposed schedule have been approved by:

Jerry Burre 5/29/96 *Kathleen A. Schultz* 5/29/96
 NARA appraiser date Agency representative date

Standard Form 115
submission to the
National Archives and Records Administration

for

PHASE III
of the 1994/95
Records Series Inventory
Patent and Trademark Office

Prepared by

NCI Information Systems, Inc.

in accordance with
Contract 50-PAPT-4-00007
November, 1995

Central Computer Technical Support Division

1 Requirements and Technical Specifications

~~NCI-241-76-1-#23~~

Rev-

NEW ITEM

Copies of statements or work, technical requirements, or technical specifications relating to mainframe enhancements, or a part of ADP requirements or task orders relating to such enhancements.

- Disposition: a. ~~Transfer record copy to the FRG 2 years after termination of a fielded system, or a system that is terminated prior to fielding. Destroy when 10 years old.~~
- b. Delete electronic version two years after termination of a fielded system, or a system that is terminated prior to fielding.
- c. Destroy extra copies when no longer needed.

SEE REVISED STATEMENT

Office Automation Support Division

2 ~~Micro Scene Newsletters~~ AND OTHER INTERNAL STAFF PUBLICATIONS AND SIMILAR PUBLICATIONS Proposed

The "Micro Scene Newsletter" is written by this Office as a forum for the dissemination of automation information in the PTO microcomputer support community, where comments and feedback are welcomed and encouraged.

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

- Disposition: a. Destroy when five years old.
- b. Destroy when no longer needed.

Infrastructure Cabling Services Branch

3 PTOnet Fiber Optic Backbone and Line Drop Plan Proposed

a. ~~The set of diagrams which map the PTOnet cabling and data communication lines throughout the 13 PTO buildings. Required in order to manage the varied resources, and to allow for a planned growth of the systems without interrupting service.~~

b. Electronic version of the set of diagrams which map the PTOnet cabling and data communication lines throughout the 13 PTO buildings. Maintained via computer assisted design (CAD) software.

- Disposition: a. Destroy 1 year after updated.
- b. Destroy 1 year after updated.

MASTER FILES

Production Support Services

4 Examiners Time & Activity Reports Proposed

A copy of the most recent 3 months of reports that measure, tabulate, and report patent examiners' performance. Originals delivered to program offices. Materials protected by Privacy Act, and must be destroyed.

Disposition: Destroy when 3 months old.

Boyers Facility Services Branch

5 A16 and Amdahl Backup Tapes - ELECTRONIC

Proposed

System backup tapes described under Computer Operations Services which are stored in secure storage at Boyers. Specific reels are inventoried daily and cataloged in the Vault List. Cumulatively, they represent a 12 month retrospective span. Tapes older than 12 months are recycled.

Disposition: Recycle system backup tapes when 1 year old.

Office of Operating Systems Support

6 Service Level Commitment Program Policy

~~NCI 241-761-104~~
NEW ITEM

Record copy of document that defines the policies for articulating and executing the standard services and duties performed by the Office for PTO computer systems users. Document is the basis for the execution of specific Service Level Agreements between OCTO and client program offices.

Disposition: Transfer to FRC 2 years after expiration of plan or program. Destroy when 20 years old.

7 Service Level Agreements

~~NCI 241-761-104~~
NEW ITEM

Record copy of agreements between OCTO and program offices defining service and support levels in quantified terms of workload, hardware, software, user ID support, help desk, and documentation. The agreements also define standards and ad hoc reports documenting the continuing validity of the agreement. SEE REVISIONS ON ATTACHED PAGE

Disposition: Transfer to FRC 2 years after expiration of plan or program. Destroy when 20 years old.

Security and Analysis Team

8 AUTOMATED INFORMATION SYSTEMS AND NETWORK SECURITY
~~Special Reports and Studies~~ ACCREDITATION RECORDS

~~NCI 241-761-104~~
NEW ITEM

Reports on inquiries from individuals or offices that relate to specific topics regarding technical security matters that affect OCTO.

Disposition: Transfer to FRC when 10 years old. Destroy when 20 years old.

SEE REVISIONS ON ATTACHED PAGE

**Patent and Trademark Office
Summary of Revisions to Job No. N1-241-96-2**

Item
No.

1. Requirements and Technical Specifications

Disposition revised to state:

- a. Textual records: Close files after termination of a fielded system, or when a system is terminated prior to fielding, and transfer to the FRC 2 years after close. Destroy 10 years after closure.
- b. Electronic records: Delete electronic version 2 years after termination of a fielded system, or a system that is terminated prior to fielding.
- c. Duplicate copies: Destroy or delete when no longer needed for current agency business.

2. Newsletters and Other Internal Staff Publications

Series title revised to "Newsletters and other Internal Staff Publications"

3. PTONet Fiber Optic Backbone and Line Drop Plan

Subitem 3a revised to state "The master set of diagrams ..."

- a. Disposition for 3a revised to state "Destroy 1 year after plans are updated."
- b. Disposition for 3b revised to state "Destroy 1 year after master files are updated."

6. Service Level Commitment Program Policy

This is a new item and does not supersede NC1-241-76-1, Item 24 as stated.

7. Service Level Agreements

This is a new item and does not supersede NC1-241-76-1, Item 24 as stated.

Disposition revised to state: "Close files at the expiration of the agreement and transfer to the FRC 2 years after close. Destroy 5 years after closure."

8. Automated Information Systems and Network Security Accreditation Records

This is a new item and does not supersede NC1-241-76-1, Item 11 as stated.

The series title was changed to "Automated Information Systems and Network Security Accreditation Records"

The series description was revised to state:

"Reports and studies related to technical security and automated information system security, including accreditation documentation and plans, system security reviews, risk analyses and assessments, countermeasures and safeguards recommendations, contingency and disaster recovery plans, and similar records."

Disposition revised to state: "Close files after study is superseded or obsolete, and transfer to the FRC. Destroy 7 years after closure."