

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-241-96-005

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 06/30/2022

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1a was superseded by N1-241-09-001, item 1.b.3.1

Item 2a was superseded by N1-241-09-001, item 1.b.3.1

Item 2b was superseded by N1-241-09-001, item 1.b.3.1

Item 3 was superseded by N1-241-09-001, item 1.b.3.1

Item 4b was superseded by N1-241-09-001, item 1.b.3.1

Item 5 was superseded by N1-241-09-001, item 1.b.3.2

Item 6 was removed

Item 7a was superseded by N1-241-09-001, item 1.b.2.6

Item 7b was superseded by N1-241-09-001, item 1.b.2.6

Item 8a was superseded by N1-241-09-001, item 1.b.2.3

Item 9 was removed

Item 10a was superseded by N1-241-09-001, item 1.b.2.3

Item 10b was superseded by N1-241-09-001, item 1.b.2.9

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Item 11a was superseded by N1-241-09-001, item 1.b.2.1

Item 11b was superseded by N1-241-09-001, item 1.b.2.1

Item 12a was superseded by N1-241-09-001, item 1.b.2.4

Item 14 was superseded by N1-241-09-001, item 1.b.2.2

Item 15a was superseded by N1-241-09-001, item 1.b.2.4

Item 15b was superseded by N1-241-09-001, item 1.b.2.4

Item 16a was superseded by N1-241-09-001, item 1.b.2.1

Item 16b was superseded by N1-241-09-001, item 1.b.2.10

Item 17b was superseded by N1-241-09-001, item 1.b.2.6

Item 20a was superseded by N1-241-09-001, item 1.b.1.2

Item 20b was superseded by N1-241-09-001, item 1.b.1.4

Item 22 was superseded by N1-241-09-001, item 1.b.2.7

Item 23 was superseded by N1-241-09-001, item 1.b.2.9

Item 26 was superseded by N1-241-05-002, item 3

Item 28 was superseded by N1-241-09-001, item 1.b.2.9

Item 31 was superseded by N1-241-03-001, item 1

Item 33 was removed as it duplicated item 40

Item 59b was superseded by N1-241-10-001, item 4.2

Item 64b was superseded by N1-241-01-002, item 1-5a

Item 64b was also shown as superseded by N1-241-06-002, item 4

Item 65b was superseded by N1-241-05-002, item 5

Item 66b was superseded by N1-241-06-002, item 6

Item 67b was superseded by N1-241-05-002, item 1d

Item 67c was superseded by N1-241-05-002, item 5

Item 68a was not appraised because it was covered by the GRS

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)  
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  
N1-241-96-5

DATE RECEIVED  
12-21-95

### 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  
5-14-97

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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/20/95	<i>Kathleen A. Schultz</i>	<i>Records Officer</i>

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 - 69 (Phase V)</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>Tracy Beume</i> 3/25/97 <i>See e-mail concurrence dated 3/24/97</i> NARA appraiser date Agency representative date</p>		

**Standard Form 115**  
submission to the  
**National Archives and Records Administration**

for

**PHASE V**  
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  
December, 1995

## Trademark Trial and Appeals Board (TTAB)

### 1.00 Opposition Files

NC1-241-76-1 #86 Rev.

Correspondence and other papers pertaining to the opposition to a trademark application for registration, including opposition complaint, answer to complaint, requests to extend time to take some action, trial orders, notices of reliance, testimony, exhibits, motions, all outgoing actions taken by the Board in response to incoming requests, requests for oral hearings, the decision of the TTAB, the appeal to court and the decision of the court. Filed by case number. Used to judge the merits of an opposition to a trademark application. After final resolution, this file is used for public reference.

**Disposition:** Permanent. Transfer to NARA when no longer needed for PTO business.

### 2.00 Cancellation Files

NC1-241-76-1 #86 Rev.

Correspondence and other papers related to a petition to cancel a trademark registration including the petition for cancellation, answer to the petition, requests to extend time to take some action, trial orders, notices of reliance, testimony, exhibits, motions, all outgoing actions taken by the Board in response to incoming requests, requests for oral hearings, the decision of the TTAB, the appeal to court and the decision of the court. Filed by case number. Used to judge the merits of a petition to cancel a registered trademark. After final resolution, this file is used for public reference.

**Disposition:** Permanent. Transfer to NARA when no longer needed for PTO business.

### 3.00 Concurrent Use Files

NC1-241-76-1 #86 Rev.

Correspondence and other papers related to an application to register a mark which is being used by another in a different geographical area of the United States. The applicant names said party(ies) as an exception to exclusive use of the mark and names the territory in which the concurrent use applicant is using the mark. These papers include the response to the concurrent use, requests to extend time to take some action, trial orders, notices of reliance, testimony, exhibits, motions, all outgoing actions taken by the Board in response to incoming requests, requests for oral hearings, the decision of the TTAB, the appeal to court and the decision of the court. Filed by case number. Used to judge the merits for concurrent use of a registered trademark. After final resolution, this file is used as public reference.

**Disposition:** Permanent. Transfer to NARA when no longer needed for PTO business.

- 4.00 **Ex Parte Appeal Cases** NC1-241-76-1 #89 Rev.  
Correspondence and other papers relating to an application for trademark registration in which the trademark examining attorney will not allow the publication of the trademark in the *Official Gazette*. An appeal of this decision is made to the TTAB. This file can contain notice of appeal, appeal brief, requests to extend time to file the appeal brief or to take some action, requests to suspend, amendments, requests for reconsideration, requests for jurisdiction, the examining attorney's brief, reply brief, request for oral hearing, all outgoing actions taken by the Board in response to an incoming paper, the decision of the TTAB, the appeal to court, and the decision of the court. Filed by case number. This schedule applies only to files that are abandoned.

**Disposition:** Destroy 2 years after date of abandonment.

- 5.00 **Exhibits Filed with Testimony** Proposed  
Exhibits used to present cases before the TTAB. Filed by terminal digits of the case number.

**Disposition:** Return to the originator after the expiration of the limit of appeal.

- 6.00 **Disqualification Files** Proposed  
Testimony, correspondence, and court papers used to determine the existence of conflict of interest by an attorney representing a party in an inter parte proceeding before the TTAB. If such a conflict is found the attorney may be disqualified from representing a party before the TTAB.

**Disposition:** Destroy 10 years after closure.

### Board of Patent Appeals and Interferences (BPAI)

- 7.00 **Appeals Case Tracking System (ACTS) - ELECTRONIC** Proposed  
Database producing reports for Administrative Patent Judges (APJ). Types of reports include monthly, docket, production, and oldest unheard cases. Majority of data updated from the PALM system. Includes some of the information contained in the Index of Appellants Card File and the Appellant Tracking and Assignment Card File, both of which have been superseded by ACTS. Index of Appellants Cards are arranged by appellant name and group number; cards were not converted to ACTS. Appellant Tracking and Assignment Cards is an Acme Visible Record System with printed paper stapled to each card. Used to assign judges to appeals cases. Last record dated 1994; not converted to ACTS.
- a. Electronic data.
  - b. Index of Appellants Card Files.
  - c. Appellant Tracking and Assignment Card File.

**Disposition:** a. Permanent. Archive data older than 5 years. Transfer relevant index data to NARA with patent records.  
b. NC1-241-76-1 #32 Rev. Permanent. Transfer to FRC when no longer needed. Transfer to NARA when 30 years old.  
c. Transfer to FRC when no longer needed. Destroy 30 years after last entry.

- 8.00 BPAI Appeals Decision Files** **NC1-241-76-1 #31 Rev.**  
Decisions made by Board of Patent Appeals and Interferences in ex parte appeals. Files include copies of decisions filed by month/year.  
a. Record copy.  
b. BPAI copy.  
**Disposition:** a. Filed in patent application files.  
b. Break files by fiscal year. Destroy when 5 years old.
- 9.00 Disqualification Files** **Proposed**  
Testimony, correspondence, and court papers used to determine the existence of conflict of interest by a patent practitioner. If such a conflict is found the patent practitioner may be disqualified and subject to disciplinary action.  
**Disposition:** Destroy 10 years after closure.
- 10.00 Ex Parte Petitions to the Commissioner** **NC1-241-76-1 #52 Rev.**  
Petitions to the Commissioner to overturn the examiner's determination not to issue a patent based on acts or omissions by applicant, e.g., failure to respond in time, failure to pay maintenance fees, or applicant's taking issue with a requirement, objection, or alleged abuse of discretion.  
a. Record copy.  
b. All other copies.  
**Disposition:** a. Filed in Patent Application File.  
b. Break files by fiscal year. Destroy when 2 years old.
- 11.00 Interference Case Files** **NC1-241-76-1 #69 Rev.**  
Form 850 and depositions, exhibits, testimony, briefs, decisions, and other documents related to the interference case are maintained in expansion folders and filed by interference number.  
a. Cases that are heard.  
b. Cases that are terminated before being heard.  
**Disposition:** a. Permanent. Transfer to FRC 10 years after the interference terminates. Transfer to NARA when 40 years old.  
b. Transfer to FRC 10 years after the interference terminates. Destroy when 40 years old.
- 12.00 Index to Patent Interferences** **NC1-241-76-1 #71 Rev.**  
Tracking index by interference number. Each 5"x 8" card contains the following entries: Interference Record; Title; Interference number; DIV (group number); and Statements Due. The last entry is a handwritten list of documents submitted by parties to the interference with dates of submission. Additional cards are affixed to the original if entries exceed available space. Card files begin with interference number. 90,000 up to current cases. (103,544, Dec. 1994.) Information in these cards was previously recorded in ledgers. Ledger vols. 68, no. 66,665 to vol. 92, no. 89,999 are in current use for reference. These indexes are to be replaced by an electronic tracking system in 1996.  
a. Card file and ledgers.  
b. Electronic tracking data.  
**Disposition:** a. Permanent. Transfer to NARA when latest entry is 20 years old.  
b. Permanent. Transfer portions of the index that correspond to Interference Files when transferred to NARA.

**13.00 Interference Card File to All Parties**

NC1-241-76-1 #71 Rev.

Alphabetic cross reference to parties in interference cases. Each 3" x 5" card lists the parties, the patent #s, and the interference number. Handwritten or typed.

- a. Card files.
- b. Electronic index data. (Under development)

**Disposition:** a. Permanent. Transfer to NARA when latest entry is 20 years old.  
b. Permanent. Transfer portions of the index that correspond to Interference Files when transferred to NARA.

**14.00 Interference Settlement Agreements**

NC1-241-76-1 #75 Rev.

Settlement agreements between parties. Filed by interference number but maintained separately from the Interference Case File at the request of parties in order to maintain privacy.

**Disposition:** Permanent. Transfer to FRC 10 years after the interference terminates. Transfer to NARA when 40 years old.

**15.00 Proceedings Under DOE and NASA Acts**

NC1-241-76-1 #74 Rev.

Separate series of case files relating to the Department of Energy and NASA claims to patents that may have been developed under contract to these entities. Files are few in number, one or two cases per year.

**Disposition:** Permanent. Transfer to FRC 10 years after the proceeding terminates. Transfer to NARA when 40 years old.

**16.00 Interference Exhibits**

Proposed

Interference exhibits held for court hearings to prevent alteration or tampering.

- a. Paper records.
- b. Physical exhibits.

**Disposition:** a. File in Interference File at termination of Interference.  
b. Offer to interference party after case is terminated. Destroy unwanted exhibits.

**17.00 Index to Interference Exhibits**

NC1-241-76-1 #72 Rev.

a. Card file of exhibits for interference cases pending hearings in the Court of Appeals for the Federal Circuit. Handwritten cards list documents for each case and give their storage location in the Exhibit Room. Predecessor ledgers were not located.

- b. Electronic index (under development).

**Disposition:** a. Destroy card 3 years after case terminated.  
b. Delete record 3 years after case terminated.

**18.00 Classified Records**

Proposed

Classified records involved in appeals or interferences maintained at the BPAI according to current directives and regulations for classified records.

**Disposition:** When secrecy order is lifted, dispose of in accordance with approved PTO disposition instructions for the related records.

**19.00 Delegation of Authority**

Proposed

Delegations of authority to or from various BPAI personnel.

**Disposition:** Destroy 5 years after termination of delegation.

- 20.00 Proposed Patent Laws and Rules** **NC1-241-76-1 #6 Rev.**  
Files documenting the development, clearance and processing of proposed and final rules for publication in the Federal Register and copies of responses after publication.  
a. When BPAI is the office of record.  
b. Office copies of BPAI comments and reviews submitted to the PTO office of record for that regulation.  
**Disposition:** a. Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 25 years old.  
b. Destroy when 5 years old.
- 21.00 Report to the Commissioner of Patents** **Proposed**  
BPAI Report to the Commissioner contains information on major decisions and statistics. It is published in the *Annual Report of the Commissioner of Patents*.  
**Disposition:** Destroy office copy after published version is received and verified.
- 22.00 BPAI Administrative Reports** **NC1-241-76-1 #7 Rev.**  
Activity Reports and Status, Backlog Reports, Chairman's Monthly Report, Docket Report, Fee Income Reports, PALM Reports, Process Productivity and Staffing Reports, Production Reports, Reversal Reports, and other BPAI routine reports.  
**Disposition:** Break files by fiscal year. Destroy when 10 years old.
- 23.00 BPAI Correspondence** **Proposed**  
Includes correspondence with the Solicitor, BPAI judges, examiners, and with the public on matters that do not pertain to a specific case, or which cannot be filed in case files. Also included are copies of other program correspondence not included under other series descriptions.  
**Disposition:** Break files by fiscal year. Transfer to the FRC when 7 years old. Destroy when 15 years old.
- 24.00 BPAI Document Copies** **Proposed**  
Backup copies of documents filed in patent files or in the Interference File used to obviate the need to recall files from examining groups or from the PTO repository. Included are Commissioner's Petitions, petitions to make special: reinstatement of appeals, requests for reconsiderations, decisions vacated, withdrawal of attorney, intention to withdraw exhibit, chairman or chief judge's decisions, decisions on priority, decisions on access or withdrawal of attorneys, decisions on petitions, and other copies.  
**Disposition:** Destroy when 3 years old or when no longer needed for reference, whichever is later.
- 25.00 Chairman's Subject Files** **Proposed**  
Subject files on topics for reference, including copies of regulations, directives, long range PTO proposals, studies, reports, and other documents EXCLUDING record copies of documents provided for elsewhere in this schedule.  
**Disposition:** Destroy when superseded or when no longer needed.
- 26.00 Publishing Decisions** **Proposed**  
Records of the selection of certain decisions of the BPAI for publication. Decisions are normally confidential, however, some are selected because of their importance to patent law, and published with consent of the parties concerned.  
**Disposition:** Break files by fiscal year. Destroy when 10 years old.

**27.00 Recusal Statements****Proposed**

Statements by members of the Board recusing themselves from cases in which a particular company or law firm has an interest.

**Disposition:** Destroy when superseded or destroy 5 years after member leaves board.

**28.00 BPAI Function Statements and Administrative Procedures****NC1-241-71-1 #6 Rev.**

Organization statements and charts documenting the essential organization, staffing, and procedures of the office.

**Disposition:** Destroy 2 years after superseded.

**Chief Information Officer****29.00 Subject Files of the Office of the Chief Information Officer****Proposed**

Correspondence, reports, background papers, policy issuances, and related material concerning the management of the offices which report to the Chief Information Officer. Generally, materials relate to the initiation, procurement, development, operation, evaluation, and termination of Automated Information Systems (AIS) throughout the PTO.

**Disposition:** Break files by fiscal year. Transfer to FRC when 7 years old. Destroy when 20 years old.

**Technical Plans, Policy and Oversight Staff****30.00 Automated Program Management System - ELECTRONIC****Proposed**

PTO Automated Information System (AIS) project managers use an automated program management system to help plan projects, satisfy information and reporting needs, and to track progress against plans. The system includes a proprietary software application called CAT (Control and Analysis Tool). Individual managers can develop and/or modify network project plans using their desktop computers to update the CAT system as necessary. PTO management uses system reports to assess project progress. The system can simulate "what-if" situations for management to determine the effect of adding resources or changing the schedule. Additionally, the system tracks planned and actual schedules, descriptions of all activities, deliverable schedule and acceptance, actual hours for internal project staff, and operating plan budgets for all program elements. This system is administered through the Office of the Chief Information Officer.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer record copy to the Configuration Life Cycle Management Library when system is operational.

- 31.00 Chief Information Officer Budget Files\*\*** **Proposed\*\***  
Cost statements, rough data, and similar materials used to prepare annual budget estimates. Includes budget estimates, justifications, correspondence, reports, spreadsheets, trend analysis, appropriation language sheets, narrative statements, and related schedules. Used to forecast budget.  
**Disposition:** Destroy 1 year after the close of the fiscal year covered by the budget or when no longer needed for reference.
- 32.00 Information Technology Plans\*\*** **Proposed\*\***  
Includes correspondence, analysis, evaluation, and other reports and studies. Used to prepare PTO's Strategic Information Technology Plan.  
**Disposition:** Destroy when no longer needed for reference.
- 33.00 Data Modeling and Standardization Projects\*\*** **Proposed\*\***  
Records relating to the provision of support for developing systems, including data management plan guidance, data modeling, and data element standardization. Includes documentation and software. Used to develop and implement PTO's Information Resource Management policy, procedures, and standards.  
**Disposition:** Transfer to the Center for Electronic Records when superseded, discontinued, or no longer needed for reference.

### Office of System Architecture and Engineering

- 34.00 Technical Reference Model Development Papers** **Proposed**  
Office coordinates the development of the PTO Technical Reference Model. This tool maps PTO information systems under development to the Application Portability Profile Standards of the National Institute of Standards and Technology with reference to specific hardware and software products.  
a. Record copy.  
b. Working copies.  
**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.
- 35.00 Systems Architecture Plan (Technical Standards Guidelines) Working Papers** **Proposed**  
Office creates and maintains this ADP planning guide, which provides guidelines, standards, and methodologies for the design of specific ADP system architectures. (Specific architecture plans become part of the System Life Cycle documentation for each system.) Working papers, background papers, and drafts of the planning guide are maintained in staff offices for reference or convenience. The papers culminate in a record copy, which is issued under the authority of and located in the office of the Chief Information Officer.  
a. Record copy.  
b. Working copies.  
**Disposition:** a. Transfer to Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**36.00 Prototyping Plan (Technical Standards Guidelines) Working Papers** **Proposed**

Office creates and maintains this planning guide, which provides guidelines, standards, and methodologies for the development of AIS system prototypes. Working papers, background papers, and drafts are maintained in staff offices for reference or convenience. The papers culminate in a record copy, which is issued under the authority of and located in the office of the Chief Information Officer.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**37.00 Project Oriented System Architectures Working Papers** **Proposed**

Office is primary resource during the design stage of AIS for the allocation of functional capabilities in the context of the distributed PTO systems architecture. The system specific Target AIS Technical Architecture document with related analyses, recommendations, and assumptions are generated by this office, and become a part of the AIS System Life Cycle suite of documentation located in the Configuration Management Library.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**Office of System Quality and Enhancement**

**38.00 Software Engineering Process Group (SEPG) Records** **Proposed**

Records include: SEPG charter; agenda and minutes; policies and procedures; training plans; action plans; evaluation reports; and decision documents.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**39.00 Subject Files of the Office of System Quality and Enhancement** **Proposed**

Contains administrative correspondence and copies of office policy, charters, and other records used by the Office to coordinate and administer programs.

**Disposition:** Break files by fiscal year. Bring current topics forward. Transfer to FRC when 5 years old. Destroy when 10 years old.

## Data Administration Division

### 40.00 Data Modeling and Standardization Projects

Proposed

Documentation and software used for data modeling or standardization.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

### 41.00 Data Policy, Plans, and Standardization

Proposed

Records relating to the development and standardization of data administration policies, plans, and procedures for administrative and corporate data required by automated systems as a strategic agency asset. Included are strategic data management planning, data modeling, data element standardization, including standardization requests and justifications, data repository management, data quality improvement, and data administration quality assurance.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

### 42.00 Software Engineering Process Group

Proposed

Office copies relating to support and participation in technical team effort. Included are support documentation, technical standards and guidelines, life cycle management process, and related records.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

## Software Product Assurance Division

### 43.00 Configuration Life Cycle Management Library

Proposed

Record copy of life cycle management material in either electronic or paper media for automated information systems (AIS). Maintained by system name. Produced by staff and by contractors. Records include, but are not limited to: decision documents and various kinds of Technical Standards and Guidelines (TSGs) and related products such as System Boundary Documents; Concept of Operations; Statement of Need (SoN); Target AIS Technical Architecture; Economic Analysis; Project Management Plan; Risk Management Plan; AIS Development Plan; Quality Assurance Plan; Data Management Plan; Configuration Management Plan; Prototyping Plan; Security Plan; Functional and Data Requirement Definition; Requirements Traceability Matrix; Detailed Business Area Description; Data Dictionary; Interface Requirements Specification and Interface Design Document; Test Plan; Training Plan; Network Support Plan; Business Transition Plan, User Interface Specification; Business System and Technical Design Document; Users Manual; Computer Operations Manual; Programmers Maintenance Manual; Help Desk Manual; Database Conversion Plan; Production Installation Plan; Operations and Maintenance Plan; and Operational Assessment.

- a. System Software
- b. Record copy of documentation for systems or projects.
  - (1) Documentation for systems with nonpermanent value
    - (a) Paper records
    - (b) Electronic records
  - (2) Documentation for systems with permanent value
    - (a) Paper records
    - (b) Electronic records
- c. Working copies.

- Disposition:**
- a. Maintain system as long as needed for PTO business, or until superseded.
  - b. (1) (a) and (b) Maintain as long as needed for PTO business, or until superseded.
    - (2) (a) Permanent. Transfer to the FRC when superseded or obsolete. Transfer to NARA when 20 years old.
    - (2) (b) Permanent. Transfer to NARA when superseded or obsolete.
  - c. Destroy when superseded or no longer needed for reference.

### 44.00 APS Technical Documentation Set

Proposed

APS technical documentation created by PRC is to be transferred to PTO and incorporated into the Configuration Life Cycle Management Library.

- a. Record copy.
- b. Working copy.

- Disposition:**
- a. Transfer to the Configuration Life Cycle Management Library when system is operational.
  - b. Destroy when superseded or no longer needed.

**45.00 APS Technical Documentation Database -  
ELECTRONIC**

**Proposed**

Database maintained by contractor containing tracking information on the APS Technical Documentation Set. The information is in the process of incorporation into the PCMS.

**Disposition:** Delete data when successfully transferred to PCMS.

**46.00 Change Documents**

**Proposed**

Change documents for any system requirement. Maintained to document changes as they occur and to allow regression to previous development positions when necessary.

- a. Record copy.
- b. Working copy.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**47.00 Technical Standards and Guidelines**

**Proposed**

Series of Technical Standards and Guidelines (TSG) developed for Life Cycle Management of PTO systems.

- a. Record copy.
- b. Working copy.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**48.00 System Acceptance Testing**

**Proposed**

Testing documents used to determine if system software meets requirements as defined by system developer. Records include: Test Plans; Test Specifications; Test Procedures; Test Readiness Reviews; Beta Readiness Reviews; Production Readiness Reviews; Post Installation Reviews; and briefing materials. Records are in draft and redline which together make up the final version. Testing documents are produced by contractor personnel.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**49.00 Reference Files on Systems Under Development**

**Proposed**

Preliminary informational files on systems in the early stages of development or pending redevelopment.

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

**50.00 Quality Assurance Analysis Records (QAO2)**

**Proposed**

System used to assess the effectiveness of contractor procedures required by PTO. Reports generated from Excel spreadsheet contain graphs and data showing quantity and gravity of errors prevented by contractor's program. Contracts and contractors monitored may vary, therefore data does not have cumulative value. Input from copies of contractor's Q & A reports.

- a. Copies of contractor's quality assurance records on all documents and deliverables.
- b. Spreadsheet data.
- c. Reports produced by spreadsheet.

**Disposition:** a. Close files at end of fiscal year. Destroy when 1 year old.  
b. Close files at end of fiscal year. Delete when 2 years old.  
c. Destroy reports when 5 years old.

**51.00 Requirements Management**

**Proposed**

Records related to the development and management of a systems requirements management program where changes to systems requirements are controlled and limited. Products include adoption of standard terminology, development of technical standards and guidelines, and other related records.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**Office of System Development and Acquisition, Patent Search Systems Division**

**52.00 Automated Patent System (APS) - ELECTRONIC**

**Proposed**

APS is resident on the Amdahl Mainframe (See OCTO) and consists of the following functions: automated search and retrieval from text and image databases, automated examiner action preparation, automated support for reclassification projects, automated printing of patents for internal use and for sale to the public, and loading of the complete U.S. patent and foreign patent databases. This system provides patent examiners and public searchers with a full-text search tool. The software used for APS text searching is called MESSENGER. MESSENGER provides end users with a means of retrieving information from textual databases via workstations, text terminals, and dial-in terminals. These databases may contain different kinds of information, including chemical structure information, bibliographic text information, full document text information, and numeric data. The databases listed under (b) are part of the APS:

a. System software.

b. Databases:

(1) U.S. Patent Text Database - Provides the ability to retrieve the full text of patents published from 1971 to present. Includes the following Files:

(2) Patent Bibliographic File.

(3) Patent Master Classification File.

(4) Manual of Classification.

(5) U.S. Patent Image Database - Provides the ability to retrieve image captured patents by patent number and by current classification stored on optical disk.

(6) Japanese Patent Abstracts Text Database - Provides Japanese patent abstracts from 1980 to the present.

(7) Current Classification System Database - Provides access to current classification information for every U.S. patent issued since 1790.

(8) U.S. Patent Training Database - Includes text and image training.

(9) System Management Database - Includes access, configuration, and network control.

c. Initial documentation and updates.

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.

b. (1) N1-241-90-5 # 10 Maintain files as long as necessary for internal agency needs and then delete.

(2) N1-241-90-5 # 12 Rev. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.

(3) N1-241-90-5 # 13 Rev. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.

(4) N1-241-90-5 # 14 Rev. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.

(5) N1-241-90-5 # 11 Permanent. Transfer the image file, or any segregable portion thereof, to NARA when no longer needed for current agency business.

(6) Proposed. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.

(7) Proposed. Permanent. Transfer data files with data documentation to NARA when no longer needed for PTO business.

(8) Maintain files as long as necessary for PTO business and then delete.

(9) GRS 20 (1) Delete/destroy when no longer needed in accordance with sound business practice and agency standard operating procedures.

c. Transfer to Configuration Life Cycle Management Library when system is operational.

**53.00 Product Deliverables and Acceptance Management  
System (PDAMS) - ELECTRONIC**

**N1-241-90-6 #5 Rev.**

Database system used to track APS contract deliverables, incoming and outgoing correspondence. System produces a variety of reports including overdue and pending deliverables, past due responses, and projected deliverables.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to Configuration Life Cycle Management Library when system is operational.

## Administrative and Management Systems Division

**54.00 Pre-Grant Publication (PGPub) Life Cycle Documentation** **Proposed**

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to Pre-Grant patent publication software due to be operational in 1996.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**55.00 Pre-Grant Publication (PGPub) Life Cycle Documentation - ELECTRONIC** **Proposed**

System documentation is also located on the "S-Drive" or "Shared-Drive," on PTOnet. Files are sent electronically to specific individuals within the office to update, modify, or add to the documentation.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**56.00 Electronic Application System (EASY) Life Cycle Documentation** **Proposed**

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to Electronic Application System software, due to be operational in FY 1997.

- a. Record copy.
- b. Working copies.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**57.00 Electronic Application System (EASY) Life Cycle Documentation - ELECTRONIC** **Proposed**

System documentation is also located on the "S-Drive" or "Shared-Drive", on PTOnet. Files are sent electronically to specific individuals within the office to update, modify, or add to the documentation.

**Disposition:** Delete after hard copy submitted to Configuration Life Cycle Management Library.

**Management Systems Support Branch****58.00 Order Entry Management System - ELECTRONIC****Proposed**

OEMS is a standalone computer system used primarily to track customer order information for patent and trademark copy sales. The system also provides statistical information on the processing and production of orders. This information is available in hard copy upon request.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Delete when no longer needed to service orders.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**59.00 Patent Application and Location Monitoring System (PALM) - ELECTRONIC****Proposed**

The PALM system is supported on the Unisys A-16 mainframe computer. Provides current patent application file location, status, title, ownership, legal representation and other related information. Produces statistical reports on patent application files such as, patent processing statistics, examiner production, docket information, etc.\*

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**60.00 Cash Receipts Deposit Account (CRDA) System - ELECTRONIC****Proposed**

CRDA operates on PTO's UNISYS mainframe. This system captures all funds-related transactions and provides the Federal Financial System (FFS) with revenue information. CRDA creates a daily report which is journalized and entered into FFS. Developed in 1980, CRDA no longer conforms to Federal requirements for automated financial management systems. The Revenue Accounting and Management (RAM) system will replace CRDA in July 1995.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Delete data when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**61.00 Revenue Accounting Management (RAM) -  
ELECTRONIC****Proposed**

The Revenue Accounting and Management (RAM) system is being developed to support the processing of receipts and deposit account transactions in the Receipt Accounting Division of the Office of Finance. The purpose of RAM is to record accurately the revenue receipts (cash, credit cards, and checks) that accompany applications, purchase of copies, and deposit account activity (deposits and refunds). Replacing the existing Cash Receipts Deposit Accounts (CRDA) system, RAM will process fee accounting transactions and will update the Federal Financial System (FFS) daily. The system will also provide 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. Maintain system as long as needed for PTO business, or until superseded.  
b. Delete data when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**Patent Application Filing Systems Support Branch****62.00 Project Software Development Files****N1-241-90-6 #6 Rev.**

Files maintained by the APS user representative containing flowcharts, working papers, requirements, user study materials, memoranda, reports, and other records used to develop the software to use the APS. Includes notebooks that document the evolution of the software, the input of the APS user staff on the development, and software user training.

**Disposition:** Transfer to FRC 5 years after end of project or when taken out of production. Destroy 10 years after transfer to FRC.

**63.00 Patent Application Management (PAM) -  
ELECTRONIC****Proposed**

PAM is a program developed to replace paper-based manual procedures with the ability to accept electronically filed applications; simplify and expedite Patent Examiner actions including interacting with applications and agents; and provide enhanced tracking of patent actions through all phases of the process. The PAM system will supplement and eventually replace the paper applications and manual procedures with a system which will electronically maintain and process all future patent application information (text and image). Additional activities include the maintenance and upgrade of the current PALM system, development of the Electronic Application System (EASY) software, and additional development of the PAM system.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**Trademark Systems Division****64.00 TRAM II System - ELECTRONIC****Proposed**

TRAM II is the second generation of the Trademark Reporting and Monitoring System. TRAM II came into existence on April 3, 1983, resulting in a completely automated information entry process for trademark registration. All textual information regarding an application or registration originates from TRAM II. An access code and either the series/serial number of an application or a registration number will allow the user to browse the following information: location of applications and a flag for "lost cases"; status of applications (non-final action mailed, final refusal, published, abandoned, etc.); information found on the file jacket label such as the applicant's name and the examining attorney's name and law office; prosecution history; Trademark Trial and Appeal Board proceedings; assignment reel and frame numbers, assignee, and assignor.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**65.00 X-SEARCH System - ELECTRONIC**

**Proposed**

X-Search accesses the main trademark database through PC-based terminals executing Microsoft Windows. Version 1.0 became operational in July 1993. The database contains a record of trademark applications and registration text and any associated design. Records may be searched in many ways including text, design code, serial number, registration number and other ways noted in the user guide. In addition, the database contains data on word marks, filing date, serial number, registration number, owner name and address, classes and goods and services, concurrent use statements, description of the mark, active or inactive status. X-Search users must obtain an X-Search identification number in order to access the system.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**66.00 Trademark Voice System - ELECTRONIC**

**Proposed**

This telephone information system can be accessed by dialing from anywhere in the world. An individual can enter a combination of up to 5 application serial numbers or registration numbers. Using the telephone pushbuttons, the user can obtain the status and date for each record entered. This system is available to the public and to PTO staff at no charge.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Delete when superseded or no longer needed for PTO business. (If duplicates of PALM files)  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**67.00 Patent and Trademark Assignment System (PTAS) -  
ELECTRONIC**

**Proposed**

System replacing Patent Assignment Processing System (PAPS) and Trademark Assignment Processing System (TAPS), subsystems of PALM or TRAM respectively. The PTAS project began operations in May 1995. PTAS supports processing of assignment documents through electronic submission, image capture, Optical Character Recognition, automated workflow processing and generation of computer output microfilm (COM) of recorded documents from scanned images. PTAS is designed as a client server system that interfaces with the Unisys A16 mainframe computer. Work-in-process text and image data for new assignments submitted for recordation and documents submitted for correction will be stored on the PTAS server databases until recordation. When deemed recordable, text data will be transmitted to the A-16 mainframe for permanent storage and image data will be archived to microfilm and magnetic tape.

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

**Disposition:** a. Maintain system as long as needed for PTO business, or until superseded.  
b. Transfer data files with data documentation to NARA when no longer needed for PTO business.  
c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**68.00 PTO Engineering Change Request**

**Proposed**

Form submitted by trademark user groups to request changes to software or to request the creation or production of special reports. Supporting documentation is attached to the form. A Task Control Sheet is prepared to assign the task to staff and to monitor performance and completion. Filed by serial number composed of year plus sequential number. Record copy maintained in Configuration LCM Library.

- a. Record copy.
- b. Working copy.

**Disposition:** a. Transfer to the Configuration Life Cycle Management Library when system is operational.  
b. Destroy when superseded or no longer needed.

**Acquisition Management Division**

**69.00 Automated Information System (AIS) Contract  
Deliverables Library**

**Proposed**

Central depository for preserving copies of information technology contract deliverables. Contracts include, but are not limited to: PRC, MITRE, SAIC, McDonald Douglas, and Galaxy. Used as a central source for research.

**Disposition:** Destroy when no longer needed for reference.

**Patent and Trademark Office  
Revisions to Phase V  
Job No. N1-241-96-5**

1. Opposition Files. Disposition revised.

- a. Closed Opposition Files that resulted in a Board Decision, a Motion of Summary Judgement, or a Motion to Dismiss.

PERMANENT. Close files at the end of the FY and transfer to the FRC 3 years after closure. Transfer to the National Archives 30 years after closure.

- b. All other Closed Opposition Files.

Close files at the end of each FY and transfer to the FRC 3 years after closure. Destroy 30 years after closure.

2. Cancellation Files. Disposition revised.

- a. Closed Cancellation Files that resulted in a Board Decision, a Motion of Summary Judgement, or a Motion to Dismiss.

PERMANENT. Close files at the end of the FY and transfer to the FRC 3 years after closure. Transfer to the National Archives 30 years after closure.

- b. All other Closed Cancellation Files.

Close files at the end of each FY and transfer to the FRC 3 years after closure. Destroy 30 years after closure.

3. Concurrent Use Files. Disposition revised.

PERMANENT. Close files at the end of each FY and transfer to the FRC 3 years after closure. Transfer to the National Archives 30 years after closure.

4. Ex Parte Appeal Case Files. Disposition revised.

- a. Abandoned Appeal Case Files: Destroy 2 years after appeal is abandoned.

- b. All other Appeal Case Files: Final Disposition is not authorized at this time.

5. Exhibits Files with Testimony. Disposition OK

6. Disqualification Files. Removed from this schedule. Maintained in Office of Enrollment and Discipline--see Job No. N1-241-92-2, approved 3/10/93.
7. Appeals Case Tracking System (ACTS)--Electronic and Card Indexes. Disposition revised to temporary. All appeal records are maintained with the Patent Case Files which are indexed by APS and other reference or indexing systems already scheduled as permanently valuable.
  - a. Electronic data files, 1994 - present. Destroy or delete 5 years after the case is closed.
  - b. Card Index of Appellants. Destroy 5 years after the case is closed.
  - c. Appellant Tracking and Assignment Card File. Deleted from schedule. See Item 13.
8. BPAI Appeals Decision Files. Disposition OK
9. Disqualification Files. Removed from this schedule. Maintained in Office of Enrollment and Discipline--see Job No. N1-241-92-2, approved 3/10/93.
10. Ex Parte Petitions to the Commissioner. Disposition OK.
11. Patent Interference Case Files. Disposition revised. "Textual exhibits" added to series description. Other exhibits are maintained separately.
  - a. Cases that are heard by the Board: Permanent. Close files at the end of each FY when the interference case is terminated and transfer to the FRC 5 years after closure. Transfer to the National Archives 40 years after closure.
  - b. Cases that are terminated before a hearing: Close files at the end of each FY when the interference case is terminated and transfer to the FRC 5 years after closure. Destroy 40 years after closure.
12. Index to Patent Interference Case Files.
  - a. Card files, ledgers, and bound registers. Permanent. Transfer to the National Archives when the Patent Interference Case Files are transferred to the National Archives.
  - b. At this time, the electronic indexing systems do not exist, and the disposition should state: "Disposition not authorized. Submit an SF-115 to request an approved disposition."

13. Interference Index to All Parties.
  - a. Card Files. Permanent. Transfer to the National Archives when electronic system is operational.
  - b. At this time, the electronic indexing systems do not exist, and the disposition should state: "Disposition not authorized. Submit an SF-115 to request and approved disposition."
14. Interference Settlement Agreements. Disposition revised. Permanent. Close files at the end of each FY and transfer to the FRC 10 years after closure. Transfer to the National Archives 40 years after closure.
15. Interference Proceedings under DOE and NASA Acts. Disposition revised.
  - a. Cases that are heard by the Board. Permanent. Close files at the end of each FY when the interference case is terminated and transfer to the FRC 5 years after closure. Transfer to the National Archives 40 years after closure.
  - b. Cases that are terminated before a Board hearing. Close files at the end of each FY when the interference case is terminated and transfer to the FRC 5 years after closure. Destroy 40 years after closure.
18. Classified Records--Item deleted from schedule. Not maintained in BPAI.
19. Delegations of Authority. Deleted from schedule. Included in revision of Item 23.
20. Proposed Patent Laws and Rules. New item, does not supersede NC1-241-76-1, Item 6. Disposition revised.
  - a. Close completed proposals at the end of each FY and transfer to the FRC when 10 years old. Destroy when 25 years old.
  - b. Disposition OK.
21. Report to the Commissioner of Patents. Disposition OK.
22. BPAI Administrative Reports and Subject Files. Description and disposition revised  
Routine administrative reports such as activity and status reports, backlog reports, Chairman's Monthly Report, Docket Reports, Fee Income Reports, PALM Reports,

Process Productivity and Staffing Reports, Production Reports, Reversal Reports, and other reports from PTO automated tracking and control systems that are used to report or summarize information needed for BPAI administrative purposes.

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

23. BPAI Correspondence Subject Files. Title and description revised.

BPAI incoming and outgoing correspondence, memorandums, annual and other periodic reports, and other records that relate to agency-wide or office-wide management and administration, and with public matters that do not pertain to a specific case, or which cannot be filed in interference or appeal case files. Records include but are not limited to correspondence, reports, delegations of authority, regulations, directives, long range PTO proposals and studies, personnel and staffing records, and similar materials.

Close inactive files annually at the end of each FY and transfer to the FRC 5 years after closure. Destroy 15 years after closure.

24. BPAI Document copies--nonrecords

25. Chairman's Subject Files--nonrecord copies

26. Notices of Decisions--series title revised.

27. Recusal Statements. OK

28. BPAI Function Statements and Administrative Procedures. OK

29. Subject Files of the CIO. Description and disposition revised.

Correspondence, memorandums, reports, briefing materials, policies and procedures records, issue papers and background materials, and similar records that reflect the overall operation and management of the Office of the Chief Information Officer. The records may contain office copies of controlled correspondence referred to the CIO from the Commissioner's Office, and records that relate to office-wide and PTO-wide strategic planning issues and initiatives, PTO information management, dissemination of information products, automation and information technology, and the like.

PERMANENT. Close inactive files at the end of each FY and transfer to the FRC when 5 years old. Transfer to the National Archives 20 years after closure.

**New  
Item**

**70. Information Technology Plans and Reports.**

Correspondence, analyses, evaluations, and final or published reports and studies used to prepare PTO's Strategic Information Technology Plan, or similar studies and reports pertaining to PTO's development and implementation of agency-wide information technology systems, PTO strategic planning and periodic reviews of IT needs, and management issues pertaining to the use of new IT systems. The record copy of these plans is maintained by the CIO.

- a. Record Copy. PERMANENT. Close files at the end of each FY or when plans or reports are superseded or updated. Transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New Item}
  - b. Duplicate or reference copies. Destroy when no longer needed for current agency business.
30. Automated Program Management System (AIS-CAT)--Electronic. Disposition for "b" revised--not permanent records.
- b. Update as needed for current agency business. Destroy 10 years after a contract is closed or a system is replaced or superseded.
31. CIO Budget Files. Disposition revised.
- Destroy 5 years after the close of the FY covered by the budget.
32. Information Technology Plans and Reports. Disposition revision: list as a "b" item-- duplicate or reference copy in this office. See New Item 70 in CIO office for record copy.
33. Data Modeling and Standardization Projects. Deleted from schedule. Not maintained in this office. Refer to Item 40 for disposition of these records.
34. Technical Reference Model (TRM) Development Papers. Revised description and disposition.

Office coordinates the development of the PTO Technical Reference Model. This document maps PTO information systems under development to the Application Portability Profile Standards of the National Institute of Standards and Technology with reference to specific hardware and software products. The agency record copy of TRMs are maintained in the office of the CIO.

- a. Transfer record copies to the office of CIO and to the Configuration Lifecycle Management Library when published or superseded.
  - b. Destroy when superseded or no longer needed for current PTO business.
35. Deleted. See Item 47.
36. Deleted. See Item 47.
37. Deleted. System Architecture Papers are unique to each system and are scheduled as part of the system documentation with each individual system.
38. Disposition OK
39. Disposition OK
40. Data Modeling and Standardization Project Records. Disposition for “a” revised.
  - a. Transfer to the Configuration Life Cycle Management Library at the conclusion of each phase of the lifecycle, or when finalized or updated.
41. Data Policy, Plans, and Standardization Records. Disposition for “a” revised.
  - a. Transfer to the Configuration Life Cycle Management Library when data standards or data policies are finalized or updated, or when the automated system is operational.
42. Deleted from schedule. Not maintained in Data Administration Division.
43. Configuration Life Cycle Management Library. Dispositions revised.
  - a. System software programs (master copy): Update as needed for current agency business, and delete or destroy when system is superseded, replaced, or obsolete.
  - b. System documentation (record copy): NOTE: Documentation for systems and master files should be retained as long as the system is operational and as long as the data files for the system need to be maintained and retrieved by PTO, or they are transferred to the National Archives. The authorized disposition for master data files for each PTO system is listed in other chapters or sections of this schedule.
  - c. Nonrecord or duplicate copies of software or documentation: Destroy or delete when no longer needed for current agency business.

- 44. Disposition OK
- 45. APS Technical Documentation Database. Disposition OK. The separate APS database will no longer exist after it is transferred to PCMS--see New Item 71.

**New  
Item**

- 71. Process Configuration Management System (PCMS).

PCMS is an automated information system that assists in the management of technical documentation, configuration data, COTS software, source code, and executables for each PTO automated system. It is updated as systems are updated or revised, and as new systems are developed. PCMS is an adjunct of the Configuration Lifecycle Management Library.

**AUTHORIZED DISPOSITION:** Update as needed for current agency business, or delete after technical documentation for permanently valuable data files has been transferred to the National Archives. {New Item}

**NOTE:** PCMS may contain technical documentation for permanently valuable data files which are listed in individual PTO program units. Technical documentation for permanently valuable data files may not be deleted in PCMS until it has been transferred to the National Archives with the data files.

- 46. Change Documents. Description and disposition revised.

Change documents, including Modification Requests (MRs) and Discrepancy Reports (DRs), which authorize changes and enhancements for any PTO Automated Information System (AIS). These are maintained to document changes to electronic systems as they occur, and to allow regression to previous development positions when necessary. After January 1, 1996, all MRs and DRs are maintained in electronic format. Prior to January 1, 1996, the records are in textual format. Arranged by date of closeout.

**AUTHORIZED DISPOSITION:**

- a. Textual records (1984-1996). Close files at the end of each FY and transfer to the FRC three years after closure. Destroy 20 years after closure. {New Item}
- b. Electronic records (1996 onward). Update or delete when superseded or obsolete, or as needed for current agency business. {New Item}

47. Disposition OK
48. Disposition OK
49. Reference Files on Systems Under Development. Deleted from schedule--nonrecord. Official system development records are maintained in other series such as Items 30, 34 or 35, etc.
50. Disposition OK
51. Disposition OK
52. Automated Patent System (APS)--Electronic. Dispositions revised.
  - b(1) U.S. Patent Full Text Database, 1971 to the present. Permanent. Transfer with required system and master file documentation required in 36 CFR 1228 to the National Archives when 5 years old. {Supersedes N1-241-90-5, Item 10}
  - b(2) Patent Bibliographic File. Permanent. Transfer with system and master file documentation required in 36 CFR 1228 to the National Archives when 5 years old. NOTE: After the initial transfer of the complete data files and documentation, subsequent transfers may be made in 5 year increments. {N1-241-90-5, Item 13}
  - b(3) Patent Master Classification File. Permanent. Transfer master files and documentation required in 36 CFR 1228 to the National Archives annually at the end of each FY. {N1-241-90-5, Item 13}
  - b(4) Manual of Classification. Permanent. Transfer the master files and documentation required in 36 CFR 1228 to the National Archives each time the manual is updated or revised. {N1-241-90-4, Item 14}
  - b(5) U.S. Patent Image File, 1790 - present. Permanent. Transfer the image file , or any segregable portion thereof, and documentation required in 36 CFR 1228 to the National Archives when no longer needed for current agency business. {N1-241-90-5, Item 11}
  - b(6) Japanese Patent Abstracts Text Database. Update or delete as needed for current agency business. {New Item}
  - b(7) Current Classification System Database. Update or delete as needed for current agency business. {New Item}

- b(8) Patent Training Database. Update or delete as needed for current agency business. {New Item}
- b(9) System Management Database. Update or delete as needed for current agency business. {New Item}
- 53. Product Deliverable and Acceptance Management Systems (PDAMS)--Electronic. Disposition revised for "b."
  - b. Delete or destroy 6 years and 3 months after the close of the related contract if PDAMS is maintained as the official PTO record of contract deliverables and acceptance. If PDAMS is not the official agency record update or delete as needed for current agency business. {Supersedes N1-241-90-6, Item 5}
- 54. Pre-Grant Publication (PGPub) Life Cycle Documentation. Description revised to include Item 55.
 

General project concept records, boundary and system requirement records, data system specifications, file specification, record layouts, user guides, output specifications and final reports relating to the Pre-Grant Patent Publication System.
- 55. Deleted from schedule. Included in Item 54.
- 56. Electronic Filing System Documentation. Title and description revised.
 

Data systems specifications, file specifications, record layouts, user guides, output specification, and final system reports (regardless of medium) relating to the development of PTO electronic filing systems. NOTE: The disposition of the master files for electronic filing systems will be scheduled when such systems are operational.
- 57. Deleted from schedule. Included in Item 56.
- 58. Disposition OK
- 59. Patent Application and Location Monitoring System (PALM)--Electronic. Disposition for "b" revised.
  - b. Update or delete as needed for current agency business.
- 60. Disposition OK
- 61. Disposition OK

- 62. Disposition OK
- 63. Disposition OK
- 63. Patent Application Management System (PAM)--Electronic. disposition for "b" revised.
  - b. Update or delete as needed for current agency business.
- 64. TRAM II System--Electronic. Disposition for "b" revised.
  - b. Update or delete as needed for current agency business.
- 65. X-Search System--Electronic. Disposition for "b" revised.
  - b. Update or delete as needed for current agency business.
- 66. Disposition OK
- 67. Patent and Trademark Assignment System (PTAS)--Electronic. Disposition revised.
  - a. System software. Update or delete as needed for current agency business.
  - b. Patent and Trademark Assignment Text Files ("A-16 Text Files").

Text files created from PALM and TRAM records and incorporated into PTAS after patents and trademarks are approved. These text files serve as an index to the computer output microfilm (COM) of Patent and Trademark Assignments.

PERMANENT. Transfer PTAS text files and text file documentation as required by 36 CFR 1228 to the National Archives when the Patent and Trademark Assignment computer output microfilm (COM) records are transferred to the National Archives. (See Job No. N1-241-96-4, Item 4a--Patent and Trademark Assignments.)
  - c. Other system data files. Update or delete as needed for current agency business.
  - d. Documentation. Transfer to the Configuration Life Cycle Management Library when system is operational. Transfer documentation for the "A-16 Text Files" to the National Archives with the data files as required by 36 CFR 1228.
- 68. Disposition OK
- 69. Contract Deliverable Library. Nonrecord and duplicate copies of contracts.

For New item 71, see Revisions to Phase V page # 7

**New  
Item**

**72. Business Process Reengineering Studies [Office of Business Process Reengineering]**

One copy of each final report, study, and analysis of the workflow and processes of selected PTO program offices, and related correspondence or unique background or contextual information. Studies take the form of "Readers Kits" (introductory overviews), "As-Is Models," and "Business Case Studies" (projected return on investment), and are used to manage organizational change throughout the PTO.

**AUTHORIZED DISPOSITION:** PERMANENT. Close files after the study is completed and transfer to the FRC 10 years after closure. Transfer to the National Archives 30 years after closure. (supersedes NC1-241-76-1, Item 12).

**New  
Item**

**73. APS Program Management Office Chron File [Office of System Development and Acquisition, Patent Search Systems Division]**

Copies of all incoming and outgoing memos and correspondence except for correspondence with PRC or other APS contractors.

**AUTHORIZED DISPOSITION:** Destroy when 3 years old. {supersedes N1-241-90-5, Item 4}

**New  
Item**

**74. Engineering Change Request Spreadsheets [Trademark Systems Division]**

Spreadsheets of data described in the PTO Engineering Change Request. Maintained for tracking and monitoring purposes. {GRS 23, Item 8 by N1-241-96-5, Item 68a}

## **Permanent**

### *Date Specific*

Transfer when 10 years old

Transfer when 25 years old

Transfer when 30 years old

### *Event Triggered*

Transfer 3 years after close of file

Transfer 10 years after close of file

Transfer 25 years after close of file

Transfer 30 years after close of file

Transfer 40 years after close of file

Transfer 40 years after case closed

Filed in Patent Application Files

When no longer needed for business

When no longer needed for reference

## **Temporary**

### *Date Specific*

Destroy when 60 years old  
Destroy when 30 years old  
Destroy when 25 years old  
Destroy when 20 years old  
Destroy when 15 years old  
Destroy when 10 years old  
Destroy when 5 years old or when no longer needed  
Destroy when 5 years old  
Destroy when 3 years old  
Destroy when 2 years old  
Destroy when 6 months old  
Destroy when 3 months old or after appeals process expired

### *Event Triggered*

Destroy 50 years after close of file  
Destroy 40 years after close of file  
Destroy 30 years after inactive status  
Destroy 30 years after date of appeal  
Destroy 30 years after close of file  
Destroy 25 years after close of file  
Destroy 20 years after close of file  
Destroy 15 years after close of file  
Destroy 10 years after death of registrant  
Destroy 10 years after close of file  
Destroy 5 years after termination of committee  
Destroy 5 years after member leaves Board  
Destroy 5 years after close of file  
Destroy 5 years after case closed  
Destroy 5 years after publication of data  
Destroy 3 years after case closed  
Destroy 3 years after close of fiscal year  
Destroy 3 years after receipt  
Destroy 2 years after termination of committee  
Destroy 2 years after superseded  
Destroy 2 years after date of latest entry  
Destroy 2 years after appeal abandoned  
After grades registered  
After information converted/verified or no longer needed as backup  
After published version received and verified  
File in interference file at termination of interference  
Offer to interference party after case is terminated. Destroy unwanted exhibits.

Return to creator upon termination of case  
Return to originator after expiration of the limit of appeal  
When no longer needed  
When no longer needed for business  
When no longer needed for reference  
When no longer needed for reference or dissemination  
When superseded or when no longer needed for reference