



<b>WARD/CONTRACT (Continued)</b>		<b>1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 31)</b>		<b>Rating</b>		<b>Page of Pages</b> 2   1	
<b>Contract (Proc. inst. ident.) No</b> 50PAPT001001		<b>3. Effective Date</b> 01 Jan 2000		<b>4. Requisition/Purchase Req. No.</b> PROC0000002		<b>5. Project No. (if applicable)</b>	
<b>A. ITEM NO.</b>	<b>15B. SUPPLIES/SERVICES</b>	<b>15C. QUANTITY</b>	<b>15D. UNIT</b>	<b>15E. UNIT PRICE</b>	<b>15F. AMOUNT</b>		
	<p>This is a fixed price requirements contract. Orders for the requirements of this contract will be placed by issuance of individual delivery orders.</p>						
1	<p>PTOSS Requirement See Line Item detail in Section B</p> <p>Contracting Officer, Kate Kudrewicz, (703) 305-8324. COTR, Sally Middleton, (703) 308-7825.</p>	0.	ea	\$0.00	\$0.00		
<p align="right"><b>15G. TOTAL AMOUNT OF CONTRACT    \$0.00</b></p>							

## SECTION B: SUPPLIES OR SERVICES AND PRICES/COSTS

### B.1 TYPE OF CONTRACT

The Government contemplates award of a fixed-price requirements contract based upon unit prices for each CLIN as described. The Contractor shall perform the work in accordance with delivery orders issued by the PTO.

### B.2 52.216-18 ORDERING (OCT 1995)

(a) Any supplies and services to be furnished under this contract shall be ordered by issuance of delivery orders or task orders by the individuals or activities designated in the Schedule. Such orders may be issued from 01/03/00 through 01/02/05.

(b) All delivery orders or task orders are subject to the terms and conditions of this contract. In the event of conflict between a delivery order or task order and this contract, the contract shall control.

(c) If mailed, a delivery order or task order is considered "issued" when the Government deposits the order in the mail. Orders may be issued orally, by facsimile, or by electronic commerce methods only if authorized in the Schedule.

### B.3 52.216-19 ORDER LIMITATIONS (OCT 1995)

(a) Minimum order. When the Government requires supplies or services covered by this contract in an amount of less than \$100.00, the Government is not obligated to purchase, nor is the Contractor obligated to furnish, those supplies or services under the contract.

(b) Maximum order. The Contractor is not obligated to honor--

(1) Any order for a single item in excess of the total award value;

(2) Any order for a combination of items in excess of the total award value; or

(3) A series of orders from the same ordering office within 1 day that together call for quantities exceeding the limitation in subparagraph (1) or (2) of this section.

(c) If this is a requirements contract (i.e., includes the Requirements clause at subsection 52.216-21 of the Federal Acquisition Regulation (FAR)), the Government is not required to order a part of any one requirement from the Contractor if that requirement exceeds the maximum-order limitations in paragraph (b) of this section.

(d) Notwithstanding paragraphs (b) and (c) of this section, the Contractor shall honor any order exceeding the maximum order limitations in paragraph (b), unless that order (or

orders) is returned to the ordering office within 5 days after issuance, with written notice stating the Contractor's intent not to ship the item (or items) called for and the reasons. Upon receiving this notice, the Government may acquire the supplies or services from another source.

**B.4 52.216-21 REQUIREMENTS (OCT 1995)**

(a) This is a requirements type contract for the supplies or services specified, and effective for the period stated, in the Schedule. The quantities of supplies or services specified in the Schedule are estimates only and are not purchased by this contract. Except as this contract may otherwise provide, if the Government's requirements do not result in orders in the quantities described as "estimated" or "maximum" in the Schedule, that fact shall not constitute the basis for an equitable price adjustment.

(b) Delivery or performance shall be made only as authorized by orders issued in accordance with the Ordering clause. Subject to any limitations in the Order Limitations clause or elsewhere in this contract, the Contractor shall furnish to the Government all supplies or services specified in the Schedule and called for by orders issued in accordance with the Ordering clause. The Government may issue orders requiring delivery to multiple destinations or performance at multiple locations.

(c) Except as this contract otherwise provides, the Government shall order from the Contractor all the supplies or services specified in the Schedule that are required to be purchased by the Government activity or activities specified in the Schedule.

(d) The Government is not required to purchase from the Contractor requirements in excess of any limit on total orders under this contract.

(e) If the Government urgently requires delivery of any quantity of an item before the earliest date that delivery may be specified under this contract, and if the Contractor will not accept an order providing for the accelerated delivery, the Government may acquire the urgently required goods or services from another source.

(f) Any order issued during the effective period of this contract and not completed within that period shall be completed by the Contractor within the time specified in the order. The contract shall govern the Contractor's and Government's rights and obligations with respect to that order to the same extent as if the order were completed during the contract's effective period; provided, that the Contractor shall not be required to make any deliveries under this contract after 01/02/05.

**B.5 START-UP AND PHASE-IN OF NEW CONTRACT**

(a) The Government may require the orderly transition of services between the Contractor and the incumbent Contractor. If necessary the Contractor shall be required to

perform a two-stage transition program after the contract award date. The total duration of this two-stage program shall be 30 - 60 calendar days after the contract award date.

(b) The first stage shall be entitled Start-Up. During this period, the Contractor shall obtain all necessary personnel, equipment, and all other items/services necessary to perform the services required by the contract. The Contractor shall be responsible for proposing a schedule which will provide for proper instruction of key personnel. The Government will provide training, not to exceed 80 hours of Government staff time, for the Contractor's key personnel during this initial stage of the contract. The Start-Up period shall cover the first 30 calendar days after the contract award date.

(c) The second stage shall be entitled Phase-In. During this period, the Contractor shall negotiate in good faith a plan with the previous Contractor which includes the nature and extent of the phase-in services needed for an orderly and efficient transition. At a minimum, the plan shall include a training program as well as dates for transferring responsibilities for each division of work described in the plan. The Government will review and approve both the final plan and the training materials intended for use by the Contractor. In addition, the Government reserves the right to monitor any or all of the training sessions held by the Contractor. If necessary, a Phase-In period would commence on the 31st day after the contract award date and continue for a maximum of 30 additional calendar days.

## B.6 COSTS/PRICES

(a) The Contractor shall provide the services under this fixed-price requirements contract at the fixed rates identified in the Schedule of Prices. The specified fixed rates shall include wages, overhead, general and administrative expenses, and profit. Offerors must submit a price for each contract line item (CLIN) in the price schedule, except for the Start-Up and Phase-In period. Pricing for Start-Up and Phase-In shall be at the option of each offeror.

(b) Workload estimates are provided in the Schedule of Prices. These estimates are not a representation to the Contractor that the estimated quantities will be ordered or that conditions affecting ordering will be stable or normal. The workload levels cannot be accurately predicted, and actual workload may vary significantly from the estimates.

(c) The number of patent-related documents being filed has increased, creating ongoing space problems in the PTO. The Contractor will be required to work with the PTO to identify space problems related to file maintenance. PTO has been automating and will continue to automate many of its processes. The Automated Patent System (APS) is a computerized searching system which is available to the public and PTO users. This automation activity could impact on any contract resulting from this solicitation in that there is the potential for elimination of some or all of the paper files, thereby reducing workloads of certain tasks under the contract.

## B.7 OVERTIME

The Contractor is required to price the overtime CLIN on a fixed price labor hour basis and provide rates for each labor category used under the contract. The overtime CLIN is provided for on the schedule and may only be used when authorized by the Contracting Officer or her designee to accomplish within scope work on an other than regular time basis.

In the event that overtime becomes necessary, a description of the services required will be provided to the Contractor. The Contractor will then be required to submit a not-to-exceed cost estimate of resources required to accomplish the work, including a work plan, labor categories and estimated hours. Prior to the commencement of the overtime the work plan will be approved by the Government Contracting Officer/Contracting Officer's Technical Representative. Authority to proceed will be authorized by the CO or her designee. The overtime will be ordered based on a ceiling of overtime hours which will be included in each delivery order issued so as to expedite ordering of those services when required. This is not to be construed as blanket authority to use overtime to accomplish daily requirements.

## B.8 THE SCHEDULE

## SECTION B - SUPPLIES OR SERVICES AND PRICES/COSTS

## B.8 SCHEDULE OF PRICES

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
1	REFERENCE FILING						
	Estimated Annual Quantity:	Document	3.2 mil	3.2 mil	3.2 mil	3.0 Mil	2.5 mil
	Unit Price:		\$ 0.2471	\$ 0.2483	\$ 0.2475	\$ 0.2511	\$ 0.2592
	Total Price:		\$ 790,720	\$ 794,560	\$ 792,000	\$ 753,300	\$ 648,000
2	EXAMINER SEARCH ROOM MAINTENANCE						
	Estimated Annual Quantity:	Month	12	12	12	12	12
	Unit Price:		\$ 9,303.95	\$ 9,364.49	\$ 9,330.60	\$ 9,391.45	\$ 9,437.19
	Total Price:		\$ 111,647	\$ 112,374	\$ 111,967	\$ 112,697	\$ 113,246
3	SEARCH FILE EXPANSION						
	Estimated Annual Quantity:	Staff Day	1,800	1,800	1,800	1,600	1,600
	Unit Price:		\$ 158.7797	\$ 159.7941	\$ 159.1966	\$ 161.1278	\$ 161.9265
	Total Price:		\$ 285,803	\$ 287,629	\$ 286,554	\$ 257,804	\$ 259,082
4	RECLASSIFICATION- PREPROCESSING						
	Estimated Annual Quantity:	Document	150,000	100,000	75,000	50,000	50,000
	Unit Price:		\$ 0.5806	\$ 0.5711	\$ 0.6211	\$ 0.6609	\$ 0.6484
	Total Price:		\$ 87,090	\$ 57,110	\$ 46,583	\$ 33,045	\$ 32,420
5	RECLASSIFICATION- DATA CAPTURE						
	Estimated Annual Quantity:	Document	150,000	100,000	75,000	50,000	25,000
	Unit Price:		\$ 0.2483	\$ 0.2250	\$ 0.2006	\$ 0.2249	\$ 0.1539
	Total Price:		\$ 37,245	\$ 22,500	\$ 15,045	\$ 11,245	\$ 3,848

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
6	RECLASSIFICATION FINAL PROCESSING						
	Estimated Annual Quantity:	Document	600,000	600,000	500,000	500,000	500,000
	Unit Price:		\$ 0.6500	\$ 0.6432	\$ 0.6226	\$ 0.6208	\$ 0.6205
	Total Price:		\$ 390,000	\$ 385,920	\$ 311,300	\$ 310,400	\$ 310,250
7	FILE INVENTORY						
	Estimated Annual Quantity:	Document	1.0 mil	500,000	500,000	150,000	150,000
	Unit Price:		\$ 0.1488	\$ 0.1533	\$ 0.1528	\$ 0.1618	\$ 0.1627
	Total Price:		\$ 148,800	\$ 76,650	\$ 76,400	\$ 24,270	\$ 24,405
8	FILE INTEGRITY						
	Estimated Annual Quantity:	Document	500,000	300,000	300,000	150,000	150,000
	Unit Price:		\$ 0.5524	\$ 0.5635	\$ 0.5642	\$ 0.5605	\$ 0.5628
	Total Price:		\$ 276,200	\$ 169,050	\$ 169,260	\$ 84,075	\$ 84,420
9	PROVIDE PATENT COPIES						
	Estimated Annual Quantity:	Document	165,000	150,000	130,000	100,000	100,000
	Unit Price:		\$ 2.3219	\$ 2.0619	\$ 1.7893	\$ 2.1302	\$ 2.1676
	Total Price:		\$ 383,114	\$ 309,285	\$ 232,609	\$ 213,020	\$ 216,760
10	TECH CENTER COPYING						
	Estimated Annual Quantity:	Image	35.0 mil	38.0 mil	40.0 mil	42.0 mil	42.0 mil
	Unit Price:		\$ 0.0658	\$ 0.0659	\$ 0.0663	\$ 0.0667	\$ 0.0677
	Total Price:		\$ 2,303,000	\$ 2,504,200	\$ 2,652,000	\$ 2,801,400	\$ 2,843,400



CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
11	<b>WALKUP COPY CENTER</b>						
	Estimated Annual Quantity:	Staff Day	250	250	250	250	250
	Unit Price:		\$ 178.5056	\$ 179.3673	\$ 178.6790	\$ 180.3431	\$ 180.9034
	Total Price:		\$ 44,626	\$ 44,842	\$ 44,670	\$ 45,086	\$ 45,226
12	<b>TECH CENTER FILE ROOM MAINTENANCE</b>						
	Estimated Annual Quantity:	Staff Hour	68,000	70,000	72,000	74,000	75,000
	Unit Price:		\$ 18.5322	\$ 18.5368	\$ 18.4420	\$ 18.5282	\$ 18.6099
	Total Price:		\$ 1,260,190	\$ 1,297,576	\$ 1,327,824	\$ 1,371,087	\$ 1,395,743
13	<b>APPLICATION FILE RETRIEVAL</b>						
	Estimated Annual Quantity:	Application	1.2 mil	1.3 mil	1.4 mil	1.5 mil	1.6 mil
	Unit Price:		\$ 0.4646	\$ 0.4633	\$ 0.4604	\$ 0.4622	\$ 0.4635
	Total Price:		\$ 557,520	\$ 602,290	\$ 644,560	\$ 693,300	\$ 741,600
14	<b>FILE RELOCATION</b>						
	Estimated Annual Quantity:	Application	50,000	50,000	50,000	50,000	50,000
	Unit Price:		\$ 1.6879	\$ 1.6800	\$ 1.6799	\$ 1.6797	\$ 1.6795
	Total Price:		\$ 84,395	\$ 84,000	\$ 83,995	\$ 83,985	\$ 83,975
15	<b>DOCUMENT RECEIPT AND MAILING</b>						
	Estimated Annual Quantity:	Staff Day	15,500	15,700	16,000	16,500	16,700
	Unit Price:		\$ 149.3918	\$ 149.9811	\$ 149.2763	\$ 149.9335	\$ 150.5864
	Total Price:		\$ 2,315,573	\$ 2,354,703	\$ 2,388,421	\$ 2,473,903	\$ 2,514,793

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
16	<b>RECEPTIONIST SUPPORT</b>						
	Estimated Annual Quantity:	Staff Day	250	250	250	250	250
	Unit Price:		\$ 136.2938	\$ 137.2981	\$ 136.7856	\$ 137.7983	\$ 138.5138
	Total Price:		\$ 34,073	\$ 34,325	\$ 34,196	\$ 34,450	\$ 34,628
17	<b>PETITIONS SUPPORT</b>						
	Estimated Annual Quantity:	Staff Day	750	750	750	750	750
	Unit Price:		\$ 159.9411	\$ 160.8276	\$ 160.4132	\$ 161.3032	\$ 162.2160
	Total Price:		\$ 119,956	\$ 120,621	\$ 120,310	\$ 120,977	\$ 121,662
18	<b>PCT MAILING</b>						
	Estimated Annual Quantity:	Document	130,000	140,000	150,000	160,000	170,000
	Unit Price:		\$ 2.5477	\$ 2.5493	\$ 2.5553	\$ 2.5602	\$ 2.5727
	Total Price:		\$ 331,201	\$ 356,902	\$ 383,295	\$ 409,632	\$ 437,359
19	<b>PCT COPY PRODUCTION</b>						
	Estimated Annual Quantity:	Image	6.5 mil	7.1 mil	7.8 mil	8.5 mil	9.0 mil
	Unit Price:		\$ 0.0464	\$ 0.0469	\$ 0.0471	\$ 0.0479	\$ 0.0487
	Total Price:		\$ 301,600	\$ 332,990	\$ 367,380	\$ 407,150	\$ 438,300
20	<b>PCT COPY ASSEMBLY</b>						
	Estimated Annual Quantity:	Document	225,000	250,000	275,000	300,000	325,000
	Unit Price:		\$ 0.4816	\$ 0.4832	\$ 0.4804	\$ 0.4827	\$ 0.4844
	Total Price:		\$ 108,360	\$ 120,800	\$ 132,110	\$ 144,810	\$ 157,430

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
21	<b>PCT FILE ROOM MAINTENANCE</b>						
	Estimated Annual Quantity:	Hour	20,000	20,500	21,000	21,500	22,000
	Unit Price:		\$ 19.2900	\$ 19.2739	\$ 19.1305	\$ 19.2908	\$ 19.3526
	Total Price:		\$ 385,800	\$ 395,115	\$ 401,741	\$ 414,752	\$ 425,757
22	<b>PCT MAIL OPEN/SORT</b>						
	Estimated Annual Quantity:	Document	435,000	478,000	525,000	580,000	625,000
	Unit Price:		\$ 0.4324	\$ 0.4324	\$ 0.4299	\$ 0.4347	\$ 0.4351
	Total Price:		\$ 188,094	\$ 206,687	\$ 225,698	\$ 252,126	\$ 271,938
23	<b>PCT FILE ASSEMBLY</b>						
	Estimated Annual Quantity:	Application	55,000	60,000	66,000	72,000	80,000
	Unit Price:		\$ 3.0149	\$ 2.9499	\$ 2.9128	\$ 2.8830	\$ 2.8412
	Total Price:		\$ 165,820	\$ 176,994	\$ 192,245	\$ 207,576	\$ 227,296
24	<b>BIB DATA ENTRY</b>						
	Estimated Annual Quantity:	Hour	12,250	13,500	14,800	16,300	18,000
	Unit Price:		\$ 20.8096	\$ 21.0026	\$ 20.8805	\$ 20.9650	\$ 21.0637
	Total Price:		\$ 254,918	\$ 283,535	\$ 309,031	\$ 341,730	\$ 379,147
25	<b>OIPE FILE ROOM MAINTENANCE</b>						
	Estimated Annual Quantity:	Hour	15,000	16,500	18,000	19,800	21,800
	Unit Price:		\$ 19.1918	\$ 19.1952	\$ 19.0406	\$ 19.1163	\$ 19.2031
	Total Price:		\$ 287,877	\$ 316,721	\$ 342,731	\$ 378,503	\$ 418,628

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
26	US MAIL OPEN/SORT						
	Estimated Annual Quantity:	Document	1.9 mil	2.1 mil	2.3 mil	2.5 mil	2.8 mil
	Unit Price:		\$ 0.8719	\$ 0.8693	\$ 0.8616	\$ 0.8733	\$ 0.8593
	Total Price:		\$ 1,656,610	\$ 1,825,530	\$ 1,981,680	\$ 2,183,250	\$ 2,406,040
27	US FILE ASSEMBLY						
	Estimated Annual Quantity:	Application	350,000	385,000	424,000	466,000	512,000
	Unit Price:		\$ 2.6779	\$ 2.6214	\$ 2.5704	\$ 2.5279	\$ 2.5074
	Total Price:		\$ 937,265	\$ 1,009,239	\$ 1,089,850	\$ 1,178,001	\$ 1,283,789
28	RAM DATA ENTRY						
	Estimated Annual Quantity:	Application	550,000	1.0 mil	1.2 mil	1.35 mil	1.5 mil
	Unit Price:		\$ 1.3138	\$ 1.3103	\$ 1.3070	\$ 1.3103	\$ 1.3189
	Total Price:		\$ 722,590	\$ 1,310,300	\$ 1,568,400	\$ 1,768,905	\$ 1,978,350
29	FILE INFORMATION UNIT SUPPORT						
	Estimated Annual Quantity:	Staff Day	500	500	500	500	500
	Unit Price:		\$ 152.2590	\$ 153.3124	\$ 152.7119	\$ 153.7633	\$ 154.5185
	Total Price:		\$ 76,130	\$ 76,656	\$ 76,356	\$ 76,882	\$ 77,259
30	SCANNING						
	Estimated Annual Quantity:	Hour	75,250	86,500	99,500	114,500	131,600
	Unit Price:		21.2121	20.1714	19.2276	18.4455	17.8080
	Total Price:		\$ 1,596,211	\$ 1,744,826	\$ 1,913,146	\$ 2,112,010	\$ 2,343,533

CLIN	SUPPLIES/SERVICES	UNIT	A BASE (YEAR 1)	B OPTION I (YEAR 2)	C OPTION II (YEAR 3)	D OPTION III (YEAR 4)	E OPTION IV (YEAR 5)
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## 31 OVERTIME

Labor Category:

## DTSV

Accounting Technician \$  
 Document Prep Clerk \$  
 Reproduction Clerk \$  
 Repro Clerk--Lead \$  
 Repro Clerk--Night \$  
 File Clerk I \$  
 File Clerk I--Night \$  
 File Clerk II \$  
 Senior File Clerk \$  
 Senior File Clerk--Lead \$  
 Senior Lead \$  
 QC Inspector \$  
 Assistant Supervisor \$  
 Asst Supvrs--Night Shift \$  
 Administrative Assistant \$  
 Reports Clerk \$  
 Administrative Assistant \$  
 Personnel Administrator \$  
 Processing Clerk I \$  
 Processing Clerk II \$  
 Sr Proc Clerk--Lead \$  
 Receptionist \$

## JCWS

Inspector \$  
 Courier \$  
 Sr Processing Clerk \$  
 Processing Clerk II \$  
 Processing Clerk I \$  
 Support Clerk I \$  
 Support Clerk II \$  
 Sr. Support Clerk \$  
 Data Entry Clerk \$  
 Sr. Scanning Operator \$  
 Scanning Operator \$  
 Secretary II \$  
 Secretary I \$  
 Admin. Clerk \$  
 Documentation Clerk \$  
 Asst. Supervisor--OIPE \$

DOCUMENT REDACTED  
 EXEMPTION 4 FOIA  
 5 USC § 552(b)(4)  
 USPTO FOIA 03-131

## 32 PROJECT MANAGEMENT

Estimated Annual Quantity:	Staff Month	12	12	12	12	12
Unit Price:		\$ 224,092.56	\$ 224,518.25	\$ 226,264.60	\$ 228,366.24	\$ 230,461.09
Total Price:		\$ 2,689,111	\$ 2,694,219	\$ 2,715,175	\$ 2,740,395	\$ 2,765,533

## SECTION C: DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

### C.1 STATEMENT OF WORK/SPECIFICATIONS

The Contractor shall furnish the necessary personnel, material, equipment, services, and facilities (except as otherwise provided or specified) to perform the following Statement of Work/Specifications.

### C.2 PROJECT OBJECTIVE

The project objective is to deliver a contractor capable of providing high quality support services necessary to carry out the mission of the PTO. The future requirements may or may not be exercised during the term of any resulting contract. It is anticipated that a contract will be awarded not later than the end of the current calendar year, December 31, 1999.

Offerors have a unique opportunity under this contract. The President has urged businesses across the Nation to offer jobs to welfare recipients. To further this goal, PTO strongly encourages offerors to propose hiring welfare recipients in meeting the requirements of the contract.

### C.3 SCOPE OF WORK

#### C.3.1 REFERENCE FILING

The examiners' search file is housed in multiple search rooms throughout the PTO. The contractor is responsible for refiling all documents removed from the examiner search file (ESF) as well as the initial filing of materials being added to the ESF. Documents must be filed in accordance with the specifications found in Section J, Attachment 1. The Government will routinely make available to the contractor information on search room locations and contents. However, ESF documents frequently are physically relocated for various reasons. Ultimately, it is the contractor's responsibility to determine the current location of any classification in which documents need to be refiled.

In each Tech Center (TC), there are designated locations where documents to be refiled in the ESF can be dropped. The contractor is required to empty these drop boxes daily, noting the date and time of each pickup on the log sheet provided for that purpose. All documents retrieved must be sorted by class/subclass, batched by class/subclass into bundles, and counted; the document count for each batch will be recorded on a Reference Filing Individual Batch Sheet. The Government reserves the rights to conduct count verifications before actual refiling of documents begins. The contractor is responsible for correctly refiling all documents within 8 hours of the pickup time noted on the log sheet.

While sorting and batching documents, the contractor shall identify and remove any problem documents (e.g., damaged documents, documents containing illegible classification labels, loose pages of patents, application papers, etc.). Application papers shall be returned immediately to the Government. Damaged patents must be repaired or replaced and refiled by the contractor within 16 work hours. Other documents shall be returned to the Government weekly with the location where each was found clearly identified. In addition, any US patent missing a classification label or whose classification label contains hand-written data shall be removed from the ESF and returned to the Government. (If the contractor locates a large number (e.g., a subclass) of US patents in the ESF which contain hand-written classification information, the Government should be notified immediately.)

The contractor is expected to refile documents at a minimum 98% accuracy level. The Government will randomly inspect the quality and timeliness of the contractor's work and will randomly conduct document count verifications. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist.

The contractor will provide daily, weekly, and/or monthly reports of filing work as required by the Government.

### C.3.2 EXAMINER SEARCH ROOM MAINTENANCE

The contractor is responsible for the daily maintenance of the physical facilities of the Examiner Search Rooms (ESR) and shall continuously monitor the condition of each ESR to insure its conformance with the standards set forth in Section J, Attachment 1. The contractor is required to take promptly such actions as are necessary to insure the neat and orderly condition of an ESR including, but not limited to, physically rearranging selected portions of the search file; replacing missing, damaged, or inaccurate shoe labels; and returning shoe drawers to the appropriate shoe case. The contractor shall correct all deficient conditions within 8 hours of identifying or receiving notification from the Government of such conditions.

If rearrangement or expansion of a portion of the search file is required, the contractor will, if adequate space is available, perform a mini-expansion. Adequate space is available when sufficient space for the rearrangement/expansion is located within three shoe case columns of the area to be expanded. Columns at the same end but on different sides of a shoe case aisle are considered to be adjacent to each other. If only one subclass requires rearranging/expanding, the contractor is expected to perform the work without contacting the Government. If more than one subclass is involved, the contractor should contact the appropriate Government representative to determine if there are any special instructions. The contractor shall complete mini-expansion work within 2 work days of identifying or receiving notice of the need for such expansion.

The Government routinely will inspect ESR conditions, including completion of mini-expansion work, and will notify the contractor of any problems or deficiencies. The

contractor is required to correct within 8 hours any deficiencies identified during inspection. The contractor will provide daily, weekly, and/or monthly reports of ESR Maintenance work as required by the Government. Documents refiled as part of a mini-expansion must not be counted as part of reference filing.

### C.3.3 SEARCH FILE EXPANSION

Search File Expansion (expansion) projects involve a larger number of shoes, classifications, and/or documents than a mini-expansion. When the need for an expansion is identified, the Government will survey the proposed project, calculate the time allotted (see Section J, Attachment 2), schedule the project, and issue a Notice of Authority (NOA) to the contractor. Prior to starting an expansion project, the contractor is required to contact the appropriate Government representative to obtain special instructions and coordinate obtaining additional shoeboxes as needed.

To complete an expansion project, the contractor will distribute the documents in the project classification(s) into any new or existing shoeboxes in accordance with the NOA, any special instructions, and the standards contained in Section J, Attachment 1. While performing an expansion project, the contractor will:

- minimize disruptions to the examiners;
- insure that no subclass is inaccessible for searching for longer than 2 work days;
- insure that daily reference filing is performed in accordance with contract requirements; and,
- insure that any misfiled documents found during the expansion are promptly refiled in their proper location.

The Government will conduct a final inspection of the contractor's work and will accept or reject the work. The contractor will correct any deficiencies within 8 hours of receiving notice that the project is rejected. The contractor will provide daily, weekly, and/or monthly reports of expansion work as required by the Government.

### C.3.4 RECLASSIFICATION--PREPROCESSING

Reclassification (Reclass) Preprocessing is performed only on the Public Search Room (PSR) set of patents. All processing will occur in accordance with the monthly project-processing schedule (see Section J, Attachment 3). Retrieval of a Preprocessing project from the PSR will occur following receipt of a Government- issued NOA and the appropriate processing materials. Project patents should be removed only in the presence of the PTO Project Leader who will verify that all patent copies in only the project classifications are removed.

Using the listing contained in project materials, the contractor will locate and assemble a set of unique original (OR) and unique cross-reference (XR) patent documents from the



retrieved PSR set of documents. If the required (i.e., listed) copy is missing from the project set, the contractor should locate and use any other copy of that patent available within the project classifications. If no copy of a listed patent is found within the project set, the contractor shall obtain the required copy from an APS group printer. Under no circumstances may the contractor remove a document from elsewhere in the search file for inclusion in the project.

While assembling the unique project patents, the contractor will identify documents which are clearly recognizable as belonging to classifications outside the project scope (i.e., Misfiles) or which are within the project scope but not on the list of patents in the project (i.e., Founds). These documents are to be removed during processing, bundled separately, and each bundle appropriately identified as Misfiles or Founds and returned to the Government at preliminary inspection.

The contractor shall attach to each unique OR and XR the correct Patent Cover Worksheet (coversheet) provided as part of the project processing materials. Each coversheet must be placed at the back of its associated patent with the printed information facing outward and must have two staples, each placed equal distance from either edge, at the bottom of the page. After a coversheet has been attached to each project patent, the patents must be sorted to patent number sequence within classification and assembled into two bundles—one of unique ORs and one of unique XRs.

Any unused PSR patent copies (i.e., surplus patents) must be boxed, each boxed marked with its contents and the project number, and the boxes stored for use in future Final Processing projects. The contractor shall complete a Project Discrepancy Report (PDR) for the project and shall notify the Government that the project is ready for inspection.

The Government will conduct a preliminary inspection at the contractor's work site. During the inspection, the contractor will return to the Government the completed PDR, all Misfile and Found documents, and any unused project processing materials. Following preliminary acceptance of the work by the Government, the contractor shall box all project patents in patent number sequence within classification sequence and shall deliver them to the location designated in the NOA, placing the patents in storage racks if required. Following project setup, the Government will conduct its final inspection of the work and will accept or reject the work.

The contractor is required to warrant that each and every coversheet is properly attached to its complete and legible corresponding patent copy. Because inspection is conducted using a sample of the total project work, each document and coversheet is not checked until a Classifier reviews the individual patents as part of his/her work. If during the course of his/her review the Classifier discovers problems with misassociation and/or incomplete or poor patent copies, the contractor may be required to provide personnel to integrity check, locate copies, or otherwise correct the project patents as necessary to provide the classifier with a 100% complete and accurate project file.

All work must be completed within the processing times specified in the NOA. Work rejected by the Government must be redone by the contractor within 8 hours of receiving notification. The contractor will provide daily, weekly, and/or monthly reports of preprocessing work as required by the Government.

### C.3.5 RECLASSIFICATION--DATA CAPTURE

In accordance with the monthly processing schedule and following receipt of the appropriate NOA and project processing materials, the contractor shall arrange to remove all patent copies contained in a project from the location designated on the NOA. The PTO Project Leader will be present at the time of project removal and will verify that all project patents are available for contractor pickup.

Using personal computers and software provided by the Government, the contractor shall create a project data file by keying the patent number and associated classification(s) annotated on each patent coversheet or on a computer-generated listing. To ensure the data file is keystroke-error free, the contractor shall then key verify (i.e., key a second time) the data annotated on each patent or computer listing. The validated project data file will be delivered to the Government via disk or e-mail no later than the date specified in the NOA.

The Government will conduct a preliminary inspection of the keyed data; the contractor is required to correct any problems or deficiencies within 8 hours of receiving notification the data has been rejected. Following preliminary acceptance of the data, the contractor will box the project patent copies in patent number sequence, label each box as to its contents, and deliver the boxes when and where directed by the Government. Final inspection by the Government of the contractor's work will be performed during full computer processing of the data and the contractor notified of the inspection results. The contractor is required to correct any problems or deficiencies within 8 hours of receiving notice of project rejection.

At the Government's option, the contractor may be required to perform data capture work as an ongoing function within Classification space on PTO premises on some or all regularly scheduled work days. If this requirement occurs, specific procedures will be agreed to in advance by the contractor and the COTR.

The contractor will provide daily, weekly, and/or monthly reports of data capture work as required by the Government.

### C.3.6 RECLASSIFICATION--FINAL PROCESSING

Final Processing is performed first on the PSR set then on the ESR set of documents. All processing will occur in accordance with the monthly project processing schedule; pickup of each project will occur following receipt of a Government-issued NOA and the appropriate processing materials and only in the presence of the PTO project leader.

Using the Government-furnished labels as a guideline, the contractor shall separately prepare a set of PSR and a set of ESR project patents from which:

- the coversheets have been removed (PSR set only) and bundled and the bundle identified as to contents;
- Project Transfers (i.e., project patents whose new label identifies them as being transferred to another project) have been removed and bundled and the bundle identified as to contents;
- Cancels (i.e., project patent copies designated in the project processing materials as cancelled) have been removed and bundled and the bundle identified as to contents;
- Founds (i.e., project patent copies for which no new label was available) have been removed and bundled and the bundle identified as to contents; and
- Misfiles (i.e., project patents which are clearly recognizable as belonging to classifications outside the project scope) have been removed and bundled and the bundle identified as to contents.

As appropriate, the contractor will repair or replace Bad Copies (i.e., copies not meeting the standards in Section J, Attachment 4), bundling the replaced copies and identifying the bundle as to contents. If needed patent copies are unavailable within the project or surplus patents, the contractor must obtain copies under the Provide Patent Copies line item. Under no circumstances may the contractor remove a document from elsewhere in the search file for relabeling and inclusion in the project. The contractor must insure that all patent copies to be labeled meet the standards for an acceptable copy as defined in Section J, Attachment 4.

After insuring that each new classification label is properly affixed to the appropriate patent copy, the contractor shall sort the newly labeled project patents into patent number sequence within new classification. The contractor shall complete a PDR for the project and shall notify the Government that the project is ready for inspection.

The Government will inspect the contractor's work prior to removal of a project from the contractor's processing site; each ESR project also will be inspected following its return and installation in the appropriate ESR. At the time of inspection at the contractor's site, the contractor will deliver to the Government a properly completed PDR and the bundles of Project Transfers, Cancels, Founds, Misfiles, and/or Bad Copies. Following acceptance of a PSR project, the contractor shall box the documents in patent number sequence within classification sequence, shall insure each box is properly marked as to its contents and project number, and shall deliver the project to the PSR. Following acceptance of an ESR project, the contractor shall return the project patents to the specified search room and place them in the shoeboxes designated by the Project Leader, insuring conformance with all search room and filing standards. If a project is rejected, the contractor will correct all problems/deficiencies within 8 hours after which the Government will reinspect the project.

As required by the Government and as indicated on an NOA, the contractor will retrieve from the ESF the appropriate foreign and NPL documents associated with a final processing project and will perform one of the following two types of processing:

- full final processing or
- foreign art collection processing.

When full final processing is required, the contractor will first data capture all document data and new classification markings for each foreign document retrieved from the ESF. Then, using the new classification labels provided by the Government, the contractor will affix each label to its corresponding document, repairing or replacing damaged documents or providing additional copies as necessary. Relabeled documents will be sorted using the filing sequence number found on each classification label then re-installed in the ESR in accordance with instructions.

When foreign art collection processing is required, the contractor will generate new filing labels containing the new classification information. Using a Government-provided "translation list," the contractor will affix the correct new label to each foreign and NPL document, repairing or replacing damaged documents as necessary. Relabeled documents will be sorted by classification and publication date and will be re-installed in the ESR in accordance with instructions.

Return and installation of the foreign and NPL documents should occur in concurrence with or as close as possible to the return and installation of the US documents. Following completion of re-installation, the contractor will notify the Government who will inspect the work within 4 hours.

The contractor will provide daily, weekly, and/or monthly reports of final processing as required by the Government.

### C.3.7 FILE INVENTORY

To initiate a file inventory project, the Government will survey the portion of the search file to be inventoried, calculate the time allotted, and prepare an NOA which specifies the work to be done. The Government will provide the contractor with computer-generated lists of US or foreign patent numbers currently recorded on the electronic master file for each subclass in the portion of the search file to be inventoried. Prior to beginning an inventory in the Examiner Search File (ESF), the contractor is required to check the shoes in the classifications to be inventoried and to correctly file any patents located in the wrong categories (e.g., US patents found in foreign patent shoes).

While physically standing at the appropriate shoeboxes, the contractor shall, document-by-document, (1) compare the patent identification information printed on the face of the patent to the patent identification information printed on the patent's label and (2) compare the patent identification information printed on the face of the patent to that shown

on the computer-generated listing. If a label shows a classification outside of the inventory project scope, the contractor shall remove these documents from the shoes, bundle the documents together, and label the bundle Misfiles. If a label shows a classification other than that being checked but within the inventory project scope, the contractor should immediately refile these documents in their proper location(s).

If the patent identification information on the document and the label agree and also is shown on the computer listing, the contractor shall place a check mark on the listing next to the patent number and shall leave the document in the shoes. If the patent identification information on the document and the label do not agree but the patent identification information on the document is shown on the computer listing, the contractor shall place the letters "ML" next to the number on the listing. In addition, the contractor shall remove these documents from the shoe, bundle the documents together, and identify the bundle as Mislabeled. If the patent identification information on the document and the label agree but the patent identification information is not shown on the computer listing, the contractor shall write the patent identification information for each "Found" document on the bottom of the listing. In addition, the contractor shall remove these documents from the file, bundle the documents together, and identify the bundle as Finds. The contractor shall place an "M" next to any patent number for which there is not a document present in the shoes.

The Government will conduct a daily preliminary inspection of the contractor's work at which time the contractor will return to the Government the bundles of Misfiles, Mislabeled, and Finds along with the annotated computer listings. The Government will verify the bundle of Misfiles which will then be returned to the contractor who will deliver the documents to the nearest designated pickup location for refile. The Government will notify the contractor immediately following inspection as to the acceptability of the work. In case of unacceptable performance, the contractor must correct deficiencies within 8 hours of notification and request reinspection.

Three days following the initial inventory, the contractor shall, using copies of the previously marked computer listing, determine the presence or absence of previously missing documents. Documents now present shall have a line drawn through the "M" previously placed next to the patent number on the listing. The contractor shall request final inspection of the work at which time the marked computer listing copies will be returned to the Government.

The contractor will provide daily, weekly, and/or monthly reports of file inventory work as required by the Government.

### C.3.8 FILE INTEGRITY

File Integrity processing is performed first on the ESR set then on the PSR set of documents. The purpose of File Integrity processing is to ensure (1) a complete-set of newly labeled US patents exists in the search files and (2) the paper and automated search files agree. All processing will occur in accordance with the monthly project processing schedule;

The contractor will provide daily, weekly, and/or monthly reports of file integrity work as required by the Government.

### C.3.9 PROVIDE PATENT COPIES

In support of Reclass—Final Processing and File Integrity or as requested by the Government, the contractor will provide search file-ready copies of US or foreign patent documents. Where appropriate, the Government will provide classification labels which the contractor will affix to the appropriate documents. The majority of the needed copies can be obtained by the contractor through copying of a document already "in hand" or by generating a copy from the automated search system. All copies must conform to the standards set forth in Section J, Attachment 4. Turnaround time for providing non-project related copies will be agreed to in advance between the COTR and the contractor. The contractor will provide daily, weekly, and/or monthly reports of provide patent copies work as required by the Government.

### C.3.10 TECH CENTER COPYING

Office actions mailed to patent applicants contain copies of reference documents identified by the examiners during the examining process. The contractor is required to provide these reference copies. In each PTO building in which patent examining groups are housed, the Government normally will provide space for a copy center to house contractor personnel and equipment in support of this requirement.

At least once in the morning and once in the afternoon of each workday, the contractor is required to pickup from designated locations those application files containing references to be copied. The log sheet provided at each pickup location must be annotated with the date and time of each pickup. After taking all retrieved files to the appropriate copy centers, the contractor must immediately change each file's location in the PALM system. (If the PALM system is nonoperational, the contractor should notify the Government but continue to process.) Using the information contained on form PTO-892 as guidance, the contractor shall disassemble, reproduce, and reassemble all documents provided for copying. Each copy should have one staple placed in the upper left-hand corner. After confirming that they conform with the standards provided in Section J, Attachment 4, the contractor will insert the copies into the appropriate application file; the original source document should be returned promptly to a reference filing pickup location for refiling in the search file unless otherwise indicated.

The contractor shall verify that all references listed for copying are available in the application file. If listed references are missing, the contractor shall copy those references available, note which references are missing, and return the file to the Government Representative. The contractor is required to complete all copying and return an application file to the designated location no later than 8 hours after file pickup. All files must have their location changed in the PALM system prior to leaving a copy center. If the PALM system is

nonoperational, the contractor should insure that when the applications are delivered to the next processing stage the PALM information is updated.

As requested by the Government, the contractor will copy other materials placed in a designated pickup location and containing a Contractor Copying Request Form. Typically, such requests will be for high-volume copying such as biweekly PALM reports, annual performance plans/ratings, or similar materials. Requests for a small number of copies (e.g., one or two copies of one or two pages) should be returned to the Government Representative without action. Required turnaround time will be annotated on the Request Form; however, the Government will not request less than 4 hours at any time. If adjustment to the requested turnaround time is desired, the contractor should discuss the request with the Government Representative.

The contractor is expected to perform copying work at 100% quality and timeliness levels. The Government will randomly inspect the quality and timeliness of the contractor's work while the files are in the copy center. In addition, all reference copies will be checked for quality and conformance with standards prior to their insertion in an envelope for mailing. Unacceptable copies will be replaced by the contractor within 2 hours at no cost to the Government.

The contractor will provide daily, weekly, and/or monthly reports of Tech Center copying work as required by the Government.

#### C.3.11 WALKUP COPY CENTER

The contractor is required to staff the PTO Walkup Copy Center currently located in Crystal Plaza 2. The staff will use Government-provided equipment and supplies to perform requested copying, insuring all copies are reproduced and assembled in accordance with instructions. In addition, the staff will assist users of the walkup copier and will perform routine maintenance (e.g., replacing toner) on the copy center copiers. Copy center hours are 7:30 a.m. to 5:00 p.m.

#### C.3.12 TECH CENTER FILE ROOM MAINTENANCE

In each Tech Center, application files are maintained in serial number order in one or more central file rooms (currently there are 12 central files). Additionally, interference files which contain copies of application-related drawings are housed in various locations in each Tech Center; interference files are maintained in serial number order within class/subclass. Both application and interference files are routinely removed from their respective file areas by both contract and PTO employees for review and processing.

Applications to be refiled will be retrieved from designated locations by the contractor at least once each morning and once each afternoon; files may also be dropped at the file room by the Government. The contractor is required to promptly and accurately refile all files

returned to the central and interference file areas. Application files must be refiled within 8 hours of receipt; interference files within 16 work hours. As part of the refile process, the contractor should note whether any of the last several entries on the Content side of the file wrapper are undated. If an undated entry is identified, the file should be referred to a Government Representative for verification that refile should occur. All application files must have their location changed in PALM prior to placement in the central files. If PALM is nonoperational, the contractor should notify the Government Representative and suspend placement of the files into the storage racks until PALM information can be updated.

The contractor is expected to continually monitor the accuracy of filing in order to identify and immediately correct misfiled applications and interference files. In addition, the contractor is required to routinely shift application files as needed to ensure efficient use of space. Additional file storage racks should be requested from the Government as needed. Other housekeeping functions shall be performed as necessary by the contractor to ensure neat and orderly files which are readily locatable and retrievable by users.

As requested, the contractor will inventory all application files located in a Tech Center. During this inventory, the contractor will enter into PALM the information for each application file located in central files, examiners' offices, tech support areas, and elsewhere throughout a Tech Center. Inventories typically will be conducted twice a year but may be required on a more frequent basis. As requested, the contractor will purge the interference files using Government-provided information.

The contractor is expected to perform Tech Center file room maintenance at 100% quality and accuracy levels. The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist.

When working in a central files area, contractor personnel are required to sign in and out on the sheets provided for that purpose. The contractor will provide daily, weekly, and/or monthly reports of Tech Center file room maintenance work as required by the Government.

### C.3.13 APPLICATION FILE RETRIEVAL

Each day, the PTO receives thousands of papers which must be associated as quickly as possible with the appropriate applications. These applications are located in the central files areas, with examiners, with tech support staff, and in various other locations throughout the Corps. The bulk of the papers received in a Tech Center's mailroom come directly from Office of Initial Patent Examination's (OIPE) mail opening process and move directly into the file retrieval ("paper matching") process.

Within approximately 1 hour following each mail delivery, the contractor should retrieve from each Tech Center's mailroom the bundles of papers marked for file retrieval. In addition, at least once in the morning and once in the afternoon the contractor must check



other designated locations in each TC and retrieve papers placed for file retrieval. Each pickup should be properly recorded on the appropriate log sheet.

Using information contained in each document and in the PALM system (e.g., serial number, and applicant's name), the contractor will immediately locate all needed applications that are housed in the central files areas and will insert the appropriate paper(s) in each file. If a needed application is not in central files, the contractor is required to access and print the PALM screen for that application and attach the screen print to the paper. Located files and unmatched papers are to be delivered to the designated locations within the turnaround time (typically 1 hour or 8 hours) designated on each bundle's batch sheet. The contractor must complete all retrieval of 1-hour turnaround documents received in the last mail run before stopping work each day.

At least once in the morning and once in the afternoon, the contractor also will retrieve examiner file requests from the printer located in each tech center and from other designated locations. The contractor will attempt to locate each requested file in the appropriate central files; if the file is not found, the contractor shall print and attach to the request the PALM screen showing the application's location. The contractor must deliver all requested files or unmatched requests to the designated locations on the next regularly scheduled pickup/delivery run (e.g., request retrieved in the morning—application delivered in the afternoon). Prior to removing any file from the central files area, the contractor will change each file's location information in PALM. If PALM is nonoperational, the contractor should proceed with file delivery. Upon arrival at a delivery location, the contractor will update PALM for each application delivered. If PALM is non-operational, the contractor should proceed to deliver the applications after attaching to each a sheet indicating the case was not PALMed in.

As requested by a Government Representative, the contractor will locate and remove from central files those applications listed on a Government-provided report and will deliver the files to the specified location after updating PALM. The amount of time allowed for this work will be mutually agreed upon by the COTR and the contractor prior to initiation of the work.

The contractor is expected to meet all turnaround times and to perform retrieval work at a 100% accuracy level. The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of application file retrieval work as required by the Government.

#### C.3.14 FILE RELOCATION

As required by the Government, the contractor will retrieve and relocate specified application or other files. All relocated files will have their location information updated in PALM before they are filed in the new location(s). Identification of files to be moved and the allowed processing time will be coordinated between the contractor and the COTR prior to

each move. The contractor will provide daily, weekly, and/or monthly reports of application file relocation work as required by the Government.

### C.3.15 DOCUMENT RECEIPT AND MAILING

Application files, application-related documents, and other mail are delivered to the Tech Centers' mailroom areas at least three times each day. Official and unofficial faxes are received on machines housed in the mailrooms and elsewhere in the Tech Center. Office actions and other materials to be mailed are picked up from the mailrooms. The contractor is required to staff each TC mailroom and process both incoming and outgoing mail.

All applications received in the mailroom must be sorted by Art Unit (AU) and delivered (see Section J, Attachment 5). New application files forwarded from OIPE are delivered to the designated locations; other-than-new applications are delivered to the appropriate Tech Support Team. All applications must be delivered within 2 hours of receipt in the mailroom. All files must be charged to the appropriate delivery location in the PALM system prior to leaving a mailroom and received in at the delivery location. If PALM is nonoperational at the receiving location, the contractor should attach to each application not received in a sheet indicating "PALM DOWN—CASE NOT CHARGED IN" and proceed with delivery.

Each application-related document received in a TC mailroom must be stamped in the upper right corner with the TC's "Received" stamp showing the current date. All of the application-related documents must be sorted by processing team, batched by required turnaround time, and placed for file retrieval. Each batch should have a batch sheet attached indicating the required turnaround:

- 1-hour turnaround—after final amendments, amendments with PTO received dates older than 20 days, and documents with checks attached; or
- 8-hour turnaround—all other documents.

Application-related documents will be ready for file retrieval pickup within 1 hour of their receipt in the mailroom.

Mail addressed to specific individuals in a Tech Center (e.g., Group Director, SPE) will be delivered to designated locations and placed in the appropriate mail slot(s).

At least once each morning and once each afternoon, the contractor must check each Fax machine in each Tech Center and insure its operability, the presence of adequate supplies, and the accuracy of the current date shown on the machine. The contractor shall replace toner and/or paper as needed; the HSLIE in each Tech Center should be notified if a service call is required.

At least three times each workday, the contractor must check each fax machine in each Tech Center to determine the presence of incoming materials. Each incoming document

should be stamped with the Group's date stamp and recorded in the fax receipt log. After recording an incoming "Official" fax, the contractor must attempt to locate the corresponding application by immediately checking with the examiner-of-record and in central files. If the contractor is unable to locate the required file within 1 hour of fax receipt, the fax should be promptly delivered to the appropriate HSLIE. All incoming "Unofficial" faxes should be delivered to the examiner's mailbox within 1 hour of pickup from the machine. While checking for incoming documents, the contractor shall promptly transmit any outgoing document requests present at a fax machine.

Once each morning and once each afternoon, the contractor will perform pickups and deliveries within the tech center and to certain specified external locations (see Section J, Attachment 6). The contractor will not be responsible for PALMING applications retrieved under this task.

At least twice each workday (normally once in the morning and once in the afternoon), the contractor will retrieve from designated locations application files containing office actions to be mailed; applications also may be delivered to the contractor from the reference copying center. Immediately upon returning to the mailroom, all files must have their location information changed in PALM. To prepare office actions for mailing the contractor will perform the appropriate PALM transaction(s) and will utilize PALM printers to print the applicant's/attorney's name and address and the mailing date in the correct location on the action. If the printed information is not appropriately placed or clearly readable, the contractor must reprint the form in the required manner. The copies of any office action printed on a multi-part form must be separated and the copies placed in the appropriate locations in accordance with Section J, Attachment 7.

Prior to inserting them in the appropriate mailing envelope and the application file, the contractor should perform a final quality check of any reference copies to be mailed. The envelope should then be securely sealed and placed in the designated mail pickup location. The mail date must be stamped in the appropriate location on the application file then the file should be returned to central files unless other instructions are provided by the Government. All Notices of Allowability must be mailed the same day as received by the contractor. All other mailing processing should be performed immediately following pickup by the Government; sealed envelopes must be available for mailroom pickup no later than 24 clock hours after pickup. In addition, the contractor must insure that the date printed on any office action agrees with the metered date which will be applied in the mailroom.

The contractor is required to plan his work to account for possible PALM problems and to accomplish required turnaround times despite high volumes of work normally encountered just before and immediately after "count Monday." The Government will not be held responsible for delays created by PALM problems.

The contractor is expected to perform all document receipt and mailing work at 100% quality and accuracy levels. The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily,

weekly, and/or monthly reports of document receipt and mailing work as required by the Government.

#### C.3.16 RECEPTIONIST SUPPORT

As required by the Government, the contractor will provide ongoing receptionist support in Patent cost center offices. Each receptionist will answer phones and receive walk-in visitors, referring the callers/visitors and taking messages as appropriate. In addition, receptionists will type office actions, process case transfers, research PALM to determine file locations, and perform other general clerical duties which do not require leaving the receptionist desk. Each receptionist must work 8:30 a.m. to 5:00 p.m. unless otherwise directed by the Government. For maximum efficiency and to insure continuity, the contractor is required to assign the same person to the same position each day, except in those cases where there are extenuating circumstances (e.g., absence). Any individual provided under this line item must possess outstanding oral and written communication skills in the English language. As requested, oral communication skills in Spanish may be required. The contractor will provide daily, weekly, and/or monthly reports of receptionist support work as required by the Government.

#### C.3.17 PETITIONS SUPPORT

The contractor will provide staff on a continuing basis to the Office of Petitions to perform application support functions such as opening and sorting mail, researching file locations, ordering files, matching papers, updating PALM information, mailing office actions, and maintaining the file room and the unmatched paper tickler file. Individuals working under this line item must work 7:30 a.m. to 4:00 p.m. The contractor will provide daily, weekly, and/or monthly reports of Petitions support work as required by the Government.

#### C.3.18 PCT MAILING

At least once in the morning and once in the afternoon of each workday, the contractor shall retrieve mailing work from designated locations throughout the Patent Cooperation Treaty (PCT) Office. For any given file, all processing must be completed and the associated envelopes ready for pickup by the PTO mailroom within 24 clock hours from file pickup. The date applied by the contractor to any form and/or letter prepared for mailing must be the same as the metered date which will be applied to the envelope in the PTO mailroom. The contractor will identify the materials to be mailed and will determine the appropriate processing required in accordance with the specifications contained in Section J, Attachment 8. The contractor must insure that all materials inserted into window envelopes for mailing have their address readily visible and are securely sealed.

The contractor is expected to meet all turnaround times and to perform mailing work at a 100% accuracy level. The Government will randomly inspect the quality and timeliness of contractor's work. The contractor shall correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of PCT mailing work as required by the Government.

### C.3.19 PCT COPY PRODUCTION

In support of the Patent Cooperation Treaty Office, the contractor will provide document copies produced using standard reproduction equipment and/or printers associated with the POWER system. The Government will provide space for contractor personnel and reproduction equipment needed to provide document copies; POWER-related printers will be provided by the Government.

The Government will deliver copying requests to the PCT copy center or will place them in designated locations for pickup by the contractor. If other than A4 paper is required, the Government will provide the paper. At least once in the morning and once in the afternoon of each work day, the contractor will pick up copying requests, recording the date and time on the log sheet provided at each location. After returning to the copy center, the contractor should immediately update PALM location information for all application files. If PALM is nonoperational, the contractor will notify the Government Representative then proceed to perform the required copying.

The contractor shall disassemble, reproduce, and reassemble all documents provided for copying. All oversize original documents must be reduced as necessary to insure the image properly fits on A4 paper. Unless otherwise directed by the Government, all reproduced copies should be simplexed and should not be stapled. Copies of application papers should be loosely inserted in the application file; other reproduced copies should be associated with the source documents. The contractor shall insure that all reproduced copies meet the standards set forth in Section J, Attachment 4.

The contractor will deliver completed work to the designated location(s); all application files must have their PALM location information updated prior to leaving the copy center. Copying requests retrieved in the morning must be completed and returned to the Government no later than the morning pickup of the following work day; requests retrieved in the afternoon must be completed and returned to the Government no later than the afternoon pickup of the following work day. Special requests for expedited (i.e., 1- or 4-hour turnaround) copying may be submitted only by the Government Representative.

For tracking purposes, all copying requests must be date/time stamped upon arrival at the copy center. After completing the work, the contractor should again date/time stamp the request and associate it with the completed work.

As required, the contractor will print from POWER the required copies of application documents. The contractor will check each copy for quality and completeness and will verify

the documents are part of the correct application. As appropriate, copies will be forwarded for file assembly or mailing.

The contractor is expected to meet all turnaround times and to perform copying work at 100% quality and accuracy levels. The Government will randomly inspect the quality and timeliness of contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of PCT copy production work as required by the Government.

### C.3.20 PCT COPY ASSEMBLY

At least once in the morning and once in the afternoon of each workday, the contractor will retrieve from the PCT Copy Center and/or from the POWER printer area multiple copies of applications, forms packages, and other materials; retrieval of POWER printer copies may require keying of application numbers to activate the printer. After returning to the designated work location, the contractor will quality check and sort all copies and assemble complete sets of applications and forms for Home, Search, Record and other required copies. The contractor will stamp application copies, insert them into application file jackets as appropriate, perform the appropriate PALM transactions, and mail selected search copies to designated art units. Assembled materials will be delivered to designated location(s). Copy assembly must be completed within 8 hours of pickup.

The contractor is expected to meet all turnaround times and to perform copy assembly work at 100% quality and accuracy levels. The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of PCT copy assembly work as required by the Government.

### C.3.21 PCT FILE ROOM MAINTENANCE

The PCT file room contains national and international patent applications and related files. The contractor is required to staff the file room from 6:30 a.m. to 6:00 p.m. on each workday. If requested by the Government not later than 2 p.m. on any workday, the contractor is required to staff the file room for some or all of the hours between 6 and 8 p.m. that day. If requested by the Government not later than 2 p.m. on Friday, the contractor is required to staff the file room for some or all of the hours between 6:30 a.m. and 5:00 p.m. on the following Saturday. All contractor personnel working in the PCT file room must sign in and out on the Government-provided log sheets. All application files coming into or going out of the file room must have their PALM location information promptly updated. If PALM is nonoperational, incoming files should not be refiled until the PALM information can be updated; a sheet should be attached to each outgoing file indicating that PALM was down and the file was not charged to the requester.

Requests for files will be given to the contractor via e-mail or hand-carried to the file room. The contractor will provide immediate retrieval of no more than 5 files while a

requester waits at the file room. Requests received by the time of the morning special mailroom delivery will be processed and the files delivered during the afternoon special mailroom delivery; requests received by the afternoon delivery will be processed and the files delivered during the next morning's delivery. If a file cannot be located in the file room, the contractor will print and attach to the request the PALM screen showing the application's location and will return the request to the Government within the required timeframe.

Article 20 application documents are received weekly from the foreign offices. Within 1 week of receipt, the contractor will insert each document into the appropriate Article 20 folder, creating new Article 20 folders and data base entries as needed. If a green charge card is on a shelf in place of a needed Article 20 folder, the contractor will use both the US application number shown on the charge card and the appropriate PALM code to determine the file's location. If the location is the file room, the contractor shall locate the file and insert the documents; if the location is elsewhere, the contractor will return the documents to the Government Representative.

The Government will forward to the file room US application files with which Article 20 papers need to be matched. The contractor shall complete processing of these requests within 8 hours of their receipt. If the Article 20 folder is located, the contractor will remove the folder from the shelf, insert a green charge card (taken from the application folder if present or from the contractor's supply, if not) in its place, and loosely insert the Article 20 papers into the application file. After entering the required code into PALM for each matched file, the contractor will refile the application in the file room or place it for the next mail delivery pickup, whichever is requested by the Government. If the Article 20 folder cannot be located, the contractor shall insert the green charge card into the appropriate location on the shelf, insert an Article 20 Folder Unavailable Form into the application file, and return the file to the Government.

Files returned to the file room should be refiled in the appropriate location within 4 hours of their return to the file room. Within 4 hours of their receipt, documents (other than Article 20 papers) to be associated with files will be matched with the appropriate file(s) and refiled or placed for the next special mailroom pickup.

The contractor will insure that all application files are accurately filed and will perform housekeeping functions as necessary to insure an orderly file room. Shifting of files will be done promptly when needed and the Government should be notified if insufficient storage space or racks are available. As required by the Government, the contractor will review and purge Article 20 and application files. Specific instructions and a desired completion time will be provided to the contractor at the start of each project. As requested by the Government, the contractor will conduct a full inventory of the PCT file room and/or work spaces by entering the information for each application file into the PALM system.

The contractor is expected to meet all turnaround times and to perform PCT file room maintenance at 100% quality and accuracy levels. The Government will randomly inspect the quality and timeliness of contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist. The contractor will

provide daily, weekly, and/or monthly reports of PCT file room maintenance work as required by the Government.

### C.3.22 PCT MAIL--OPEN/SORT

Several times each workday, mail is delivered to the PCT mailroom by the PTO Mail Center. The contractor is responsible for opening each piece of incoming mail, determining its contents, stamping the mail receipt date on the documents and/or the envelope, then sorting the mail for further processing. New international Chapter I application papers, Chapter II requests, and national stage application papers will be forwarded immediately to the appropriate location in PCT. The contractor must insure that international and national stage applications filed together are kept together. If multiple applications are received with one cover letter, the contractor should keep all applications bundled together but must date the cover letter and each unique application. After dating, application-related documents should be sorted, then forwarded to the appropriate location for further processing.

Miscellaneous non-application-related mail should be opened, dated, sorted, and delivered to designated locations. The contractor is not required to open obvious advertising or other "junk" mail, but must place the date stamp on the envelope.

All mail must be opened, sorted, and routed within 3 days of its receipt in PTO. The contractor is expected to assign the correct mail date and route materials at a 100% accuracy level. The Government will randomly inspect the quality and timeliness of contractor's work. The contractor shall correct any problems or deficiencies within 4 hours of receiving notification that such exist.

The contractor will provide daily, weekly, and/or monthly reports of PCT mail open/sort work as required by the Government.

### C.3.23 PCT FILE ASSEMBLY

A minimum of three times daily, the contractor should go to the designated pickup location(s) and retrieve new application papers requiring assembly. After reviewing international application documents to determine the designated searching authority, the contractor shall prepare the correct file jacket(s), affix the appropriate bar-coded serial number label to each jacket, and perform the appropriate PALM transaction to activate the serial number.

After verifying the applicant's eligibility to file an application, the contractor will hand stamp the application serial number and mail receipt date on selected pages of the application and on all other documents which will not feed smoothly through the scanning equipment. If a check was submitted with the application, the contractor will ensure that the check is securely fastened to the Transmittal Letter or some other hand-stamped page. The contractor must ensure that the serial number stamped on the application pages is identical to the serial



number on the bar code affixed to the file jacket(s) and that the stamped number is clearly legible. If a DNA sequence disk was submitted with the application, the contractor shall label the disk with the application number, and place it in a designated location. If a PCT Easy disk was submitted with the application, the contractor shall load the disk into a PC and, using the Easy software, add the appropriate application serial number and mail receipt date to the information contained on the disk.

The contractor will assemble international application documents in the order specified in Section J, Attachment 9, national stage application documents in the order specified in Section J, Attachment 11, and separator sheets in the appropriate locations. After completing an Inventory of Unconvertible Items for each international application, the contractor will loosely insert all of the application pages into an Original Copy (OC) folder. If the US is the designated searching authority, the contractor should associate the OC folder with the appropriate Search Copy folder, then forward the complete application to the designated location(s). Each new national stage application will be inserted into an application folder to which a serial number label has been affixed, the serial number will be activated through the use of the appropriate PALM code, and the application promptly forwarded for further processing.

All files must be assembled within 8 hours of retrieval of the application documents. The contractor is expected to perform the work with 100% accuracy. The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 4 hours of receiving notification that such exist.

The contractor will provide daily, weekly, and/or monthly reports of PCT file assembly work as required by the Government.

#### C.3.24 BIB DATA ENTRY

Using PCs, the contractor will key prescribed bibliographic data from electronic or paper copies of application documents received in PCT. The contractor will perform any required PALM transactions and will ensure the appropriate data entry screens are used as specified in Section J, Attachment 10. The contractor must ensure that the application serial number entered in the PC agrees with the serial number contained on the file jacket, and on each application document. If a PCT Easy disk is contained in an international application, the contractor will transfer data from that disk to the data entry system as appropriate.

All bib data entry for an application must be completed within 16 hours of the contractor's receipt of the application. The contractor is expected to perform the work with 100% accuracy. The Government will randomly inspect the quality and timeliness of contractor's work. The contractor shall correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of bib data capture work as required by the Government.

### C.3.25 OIPE FILE ROOM MAINTENANCE

The OIPE file room(s) contain pending US patent applications. The contractor is required to staff the file room from 6:30 a.m. to 6:00 p.m. on each workday. If requested by the Government not later than 2 p.m. on any workday, the contractor is required to staff the file room for some or all of the hours between 6 and 8 p.m. that day. If requested by the Government not later than 2 p.m. on Friday, the contractor is required to staff the file room for some or all of the hours between 6:30 a.m. and 5:00 p.m. on the following Saturday. All contractor personnel working in the OIPE file room must sign in and out on the Government-provided log sheets. All application files coming into or going out of the file room must have their PALM location information promptly updated. If PALM is non-operational, incoming files should not be refiled until the PALM information can be updated; a sheet should be attached to each outgoing file indicating that PALM was down and the file was not charged to the requester.

At least once each morning and once each afternoon, the contractor is required to remove from and/or return to designated locations the appropriate application files or other related materials. The date and time of each pickup/delivery should be recorded on the log sheet provided for that purpose at each location. Files to be placed in the file room may also be dropped there by the Government. The contractor must accurately file the applications in the file room within 8 hours of their pickup or delivery to the file room.

The contractor will receive requests for files from walkup customers, by retrieving request forms during the twice-daily pickups/deliveries, or via fax transmission from Customer Services. Hand-carried requests should be processed by the contractor and the files must be available for pickup within 1 hour of receipt of the request. Files listed on request forms retrieved during pickups should be located and delivered to the appropriate location(s) during the next scheduled pickup. If files cannot be located in the file room, the contractor should print out the PALM screen for each unfound file and deliver this information to the requester. Files requested via fax should be located and delivered to Customer Services within 15 minutes of receiving the request. If the file cannot be located in the file room, the current location information shown on PALM should be noted on the request form and the form promptly faxed back to Customer Services.

The contractor will match Government-provided application-related documents with the application files and will deliver the files to the Government or refile them in the file room as directed. If the file cannot be located in the file room, the contractor should print out the PALM screen for each unfound file, attach the screen print to the appropriate document(s), and return the document(s) to the Government. All papers should be matched or returned to the Government within 8 hours of their receipt by the contractor.

As needed, the contractor will be required to locate and remove from the file room(s) those applications listed on a Government-provided list. For any file which cannot be located in the file room, the contractor will print out the PALM screen and attach it to the listing. Processing of list requests should be completed within 8 hours of their receipt by the contractor.

The Government will deliver to the file room those applications ready for release to the Tech Centers. The contractor will promptly perform the appropriate PALM transaction(s) to dispatch the applications to the appropriate Tech Center. As required, the contractor will print the appropriate bib data label(s) and affix each to the correct application file. Classification data sheets will be printed and inserted into application files as needed. All applications delivered to the file room by 4 p.m. on any workday must be dispatched by the contractor by 6 p.m. that same day.

The contractor will ensure that all application files are accurately filed and will perform housekeeping functions as necessary to ensure an orderly file room. Shifting of files will be done promptly when needed and the Government should be notified if insufficient storage space or racks are available. As requested by the Government, the contractor will conduct a full inventory of the file room's contents by entering the information for each application file into the PALM system.

The Government will randomly inspect the quality and timeliness of the contractor's work. The contractor shall correct any problems or deficiencies within 8 hours of receiving notification that such exist.

Contractor personnel are required to sign in and out when working in OIPE file storage area(s). The contractor will provide daily, weekly, and/or monthly reports of OIPE file room maintenance work as required by the Government.

### C.3.26 US MAIL--OPEN/SORT

Several times each workday, mail is delivered to the OIPE initial processing area by the PTO mailroom. This mail is divided into new applications and "flat work" (i.e., application-related and other miscellaneous documents). The contractor is required to complete sorting and routing of all non-fee mail within 2 workdays and all fee mail within 3 workdays (including 1 day for RAM processing) of its receipt in PTO.

The contractor is responsible for opening all flat work envelopes, removing the contents, and accurately recording in the upper left corner of the first page of each document the mail receipt date shown on the envelope. If multiple documents are bound together, the contractor must be sure to keep the documents together but must record the mail receipt date on the first page of each unique document. After determining the appropriate routing for each document, the contractor will indicate its destination by writing it in the upper right corner of the document or by highlighting the Group/AU information contained in the document or its cover letter. Marked mail will then be sorted by destination and placed in the designated locations.

For each newly received application, the contractor must determine the correct mail date (generally the date received in the PTO mailroom or, in the case of express mail, the date deposited with the US Post Office) and affix a Monarch date label to the upper left corner of

the first page of the first document in the application. After determining the type of application (e.g., utility, plant, design), the contractor will note this information in the upper right corner of the first application document. After insuring the application documents are securely bundled together, the contractor shall place them in mail tubs for delivery to the appropriate location.

The contractor is required to staff the Customer Services Window from 8:30 a.m. until midnight each workday unless otherwise directed by the Government. Mail received at the window will be immediately forwarded to the open/sort staff for processing. If a customer presents a receipt and requests that it be date stamped, the contractor must review the materials to insure they match exactly what is listed on the receipt. Any discrepancies must be noted on the receipt and the transmittal letter prior to stamping the current day's date on the receipt.

The contractor is expected to perform US mail open/sort work at 100% levels of quality, accuracy, and timeliness. The Government will randomly inspect the contractor's work. The contractor is required to correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of US mail open/sort work as required by the Government.

#### C.3.27 US FILE ASSEMBLY

As much as possible, the contractor should process new applications in mail receipt date order. Throughout the workday, the contractor will retrieve new applications from the designated location and prepare the appropriate new file jacket for each application. Each new application received in the PTO must have preparation of its new file jacket completed within 5 workdays of the date the mail is received in the PTO. Serial number and Monarch date and date/serial number labels will be produced by the contractor using Government-provided equipment. The contractor will affix labels, separate documents, insert separator sheets, and perform such other processing as is necessary to prepare the appropriate application file in accordance with the specifications identified in Section J, Attachment 11.

After removing assignment forms and related fees and forwarding them to the Assignment Branch, the application documents should be properly assembled and inserted under the flap in the middle of the application file jacket. If an application is too large to fit into a file jacket, at a minimum the specification and the claim should be inserted into the application file and the file jacket and remaining application documents secured together using rubber bands or some other appropriate means. Any associated boxes or other containers holding application documents must have appropriate Monarch labels affixed to each.

The contractor is responsible for removing computer disks from sequence applications, delivering the disks to the Scientific and Technical Information Center (STIC) at least once daily, retrieving completed reports from STIC, and associating completed reports with application files.

After completing all file preparation tasks, the contractor must use a PALM terminal to activate each application's serial number and to charge the file to the next processing step. Files that have been properly activated and charged out are then placed in the designated location for pickup.

The contractor is required to perform all file assembly work with 100% quality, accuracy, and timeliness. The Government will randomly inspect the contractor's work. The contractor is required to correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of US file assembly work as required by the Government.

### C.3.28 RAM DATA ENTRY

As required by the Government, the contractor will utilize personal computers to post to the Revenue Accounting and Management (RAM) financial system a variety of fees received in the PTO. Fees are received either by check or authorization to deduct fees from specified deposit accounts. The contractor will enter the fee code, fee amount, application serial number, and/or other data as required. As appropriate, the contractor will back out previously paid fees and/or will process refunds to applicants or their attorneys. The contractor must ensure that the serial number contained on documents, on checks (if present), and entered into the RAM system are identical. The contractor also must ensure that all fee transaction information is properly annotated on documents by using the endorser's and that PALM information is updated as appropriate.

At the end of each workday, the contractor is required to generate a printout of that day's work, which will then be used to reconcile that day's transactions. After correcting any errors and completing the reconciliation, the contractor will deliver all documents and financial instruments to the designated location(s).

The contractor must process all fees within 24 clock hours (excluding Saturdays, Sundays, and holidays) of their receipt at the PTO. At the end of a fiscal year, the contractor is required to take whatever steps are necessary to insure all fees are processed prior to year-end closing of the financial records. All work must be processed with 100% quality and accuracy. The Government will randomly inspect the contractor's work. The contractor is required to correct any problems or deficiencies within 4 hours of receiving notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of RAM support work as required by the Government.

### C.3.29 FILE INFORMATION UNIT SUPPORT

As required by the Government, the contractor will provide staff to the File Information Unit on a continuing basis to perform support functions such as opening and sorting mail, researching file locations, ordering files, updating PALM information,

maintaining the file storage area, preparing files for return to other locations in the PTO, and providing files to customers at the walkup window.

### C.3.30 SCANNING

On a daily basis, the contractor will receive new applications and miscellaneous application-related papers, both of which require conversion to an electronic format and inclusion in the Patent Image Capture System (PICS) and/or POWER database. All applications must have their PALM location information updated immediately upon arrival in the scanning area. Prior to scanning, the contractor will:

- insure each application has been properly prepared,
- insert separator and deficiency sheets as appropriate,
- verify the proper ordering of documents,
- insert the appropriate date and serial number into PICS,
- verify the date and serial number shown in PICS matches the date and serial number shown on the paper document(s),
- determine the appropriate scanner to be utilized, and
- verify the scanner settings for paper size and type are correct.

After scanning all documents using PTO-provided equipment and in accordance with the specifications found in Section J, Attachment 12 or as specified by the COTR, the contractor should verify that the correct date and serial number was endorsed on the front left side of each scanned page. Any documents damaged during scanning must be repaired prior to forwarding the documents for Quality Assurance (QA); if repair is not possible, the entire application must be returned to the Government. After completing QA, the contractor must charge out each application in PALM before delivering it to the designated location(s).

The contractor is required to perform 100% quality assurance for all documents scanned. Any document not meeting the required standards will be rescanned. After an application has cleared QA, the contractor will remove all separator sheets and will assemble the application in accordance with the specifications found in Section J, Attachment 12.

The contractor will provide systems administration support for PICS including powering up the system, insuring functions are operational, diagnosing operating problems as they occur and recommending corrective actions, and performing other activities as necessary to operate and manage the system.

The contractor must complete scanning and associated processing of all applications within 2 days of receipt; processing and scanning of walk-in applications must be completed within 4 hours. When requested, the contractor must locate within 2 hours any file charged to the scanning area. The contractor is required to perform all scanning work with 100% quality, accuracy, and timeliness. The Government will randomly inspect the contractor's work. The contractor is required to correct any problems or deficiencies within 4 hours of receiving

notification that such exist. The contractor will provide daily, weekly, and/or monthly reports of scanning work as required by the Government.

### C.3.31 FUTURE REQUIREMENTS

Offeror may be required to provide processing and other services in support of existing or re-engineered PTO work processes and systems.

## SECTION D: PACKAGING AND MARKING

### D.1 MARKING DELIVERABLES

(a) Packing, labeling and marking of some items to be delivered under this contract must comply with the Statement of Work and with instructions to be provided by the Contracting Officer's Technical Representative.



## SECTION E: INSPECTION AND ACCEPTANCE

E.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE  
(FEB 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: [www.arnet.gov/far/](http://www.arnet.gov/far/).

52.246-04	Inspection of Services--Fixed-Price.	AUG 1996
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## E.2 INSPECTION, QUALITY ASSURANCE AND ACCEPTANCE

- (a) Definitions. "Services," as used in this clause, includes services performed, workmanship, and material furnished or utilized in the performance of services.
- (b) The contractor shall provide and maintain an inspection system acceptable to the Government covering the services under this contract. Complete records of all inspection work performed by the contractor shall be maintained and made available to the Government during contract performance and for as long afterwards as the contract requires.
- (c) The Government has the right to inspect and test all services called for by the contract, to the extent practicable at all times and places during the term of the contract. The Government shall perform inspections and tests in a manner that will not unduly delay the work.
- (d) If the Government performs inspections or tests on the premises of the contractor or a subcontractor, the contractor shall furnish, and shall require subcontractors to furnish, without additional charge, all reasonable facilities and assistance for the safe and convenient performance of these duties.
- (e) If any of the services do not conform with contract requirements, the Government may require the contractor to perform the services again in conformity with contract requirements, at no increase in contract amount. When the defects in services cannot be corrected by reperformance, the Government may (1) require the contractor to take necessary action to ensure that future performance conforms to contract requirements and (2) reduce the contract price to reflect the reduced value of the services performed. If the

contractor fails to reperform or correct deficient work after receiving notification that such condition exists or fails to take the necessary action to ensure future performance in conformity with contract requirements, the Government may (1) by contract or otherwise, perform the services and charge to the contractor any cost incurred by the Government that is directly related to the performance of such service or (2) terminate the contract for default.

### E.3 GOVERNMENT INSPECTION

- (a) On an ongoing basis, PTO inspectors will perform quality assurance analysis to determine if the contractor is meeting the standards prescribed in Section C.
- (b) The main thrust of the Government's quality assurance program will be inspection of documents which were selected on a random basis. At various stages of work, the inspector(s) will evaluate a sample of the work to determine if the quality and timeliness of the contractor's performance are acceptable. The selected materials will be scrutinized and compared with the performance requirements established in Section C. Identified errors will be evaluated to determine whether the error is attributable to the contractor or to the Government. Performance is unacceptable when the number of defects identified in a sample is equal to or greater than the allowable percentage. The Government will notify the contractor promptly when unacceptable performance is identified. Unless otherwise specified in Section C, the contractor will reperform the work within 8 work hours and will notify the Government when the problem or deficiency has been corrected. Redone work will **not** be included in any unit count for purposes of computing charges to the Government.
- (c) The Government will conduct random count verifications in order to check the accuracy of the contractor's counts. If a variance between the Government and the contractor's count exists and this variance is within the acceptable limits defined below, the Government's count shall be used by the contractor for billing purposes.

Contractor Count (no. of documents per batch)	Acceptable Variance (no. of documents per batch)
Less than 30	+/- 1
35 - 49	+/- 2
50 - 69	+/- 3
70 - 89	+/- 4
90 - 100	+/- 5

- (d) If the variance between the Government and the contractor's count is greater than the acceptable variance, both the Government and the contractor will recount. If an unacceptable variance still exists, a reconciled count will be agreed to by the Government and the contractor. This reconciled count will be entered on the appropriate report(s) and

will be used by the contractor for billing purposes. Both the Government and the contractor representatives agreeing to a reconciled count must initial any corrected reports.

- (e) At the Government's option, any inspection need not be completed but may be halted at such time as an unacceptable level of performance is identified.
- (f) Reclassification project inspections at the contractor's work site normally will start between 8:30 and 9:30 a.m.; starting times later than 12 noon normally will not be scheduled.

## SECTION F: DELIVERIES OR PERFORMANCE

F.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE  
(FEB 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: [www.arnet.gov/far/](http://www.arnet.gov/far/).

52.242-15	Stop-Work Order.	AUG 1989
52.242-17	Government Delay of Work.	APR 1984

## F.2 PERIOD OF PERFORMANCE

The period of performance of this contract is as follows:

Base Period: January 3, 2000 – January 2, 2001  
Option Period 1: January 3, 2001 – January 2, 2002  
Option Period 2: January 3, 2002 – January 2, 2003  
Option Period 3: January 3, 2003 – January 2, 2004  
Option Period 4: January 3, 2004 – January 2, 2005

## F.3 PLACE OF PERFORMANCE

All contract performance shall be accomplished on-site at the Patent and Trademark Office.

## F.4 REPORTS

(a) Delivery of reports, unless otherwise specified shall be made to the following:

Sally Middleton  
Crystal Park 2, Suite 503  
2121 Crystal Drive  
Arlington, Virginia 22202

(b) Unless otherwise specified, all documents/reports prepared and submitted by the Contractor to the Government under this contract shall include the following information on the cover page of each document/report:

- (a) name and business address of the contractor,
- (b) contract number,
- (c) name, position, and location of the Contracting Officer's Technical Representative, and
- (d) date of report and time period covered.

#### F.5 GOVERNMENT HOLIDAYS

The following legal holidays are observed by this Government Agency. Holidays falling on Saturdays are observed on the Friday preceding the holiday, while those holidays falling on Sundays are observed on the Monday following the holiday.

New Year's Day	January 1
Martin Luther King's Birthday	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Columbus Day	Second Monday in October
Veterans Day	November 11
Thanksgiving Day	Fourth Thursday in November
Christmas Day	December 25
Inauguration Day	January 20, 2001

Any other day designated by Federal Statute, Executive Order or Presidential Proclamation.

The Contractor shall establish duty hours for Contractor employees that will ensure that all services specified in the contract are provided Monday through Friday, except on the Federal holidays listed above or when the Office grants administrative leave or an early dismissal to its employees. However, in the event of the Office granting early dismissal to its employees the Contractor shall be required to maintain staff at the Customer Service Window. The duty hours of the Customer Service Window are from 8:30 a.m. to midnight daily, Monday through Friday, unless otherwise directed. PTO shall not be liable for costs incurred as a result of Contractor performance when administrative leave has been granted to PTO. The Contractor shall comply with the aforementioned Government holidays, therefore, the Government Offices are closed to the Contractor's staff on the day(s) these holidays are observed.

## SECTION G: CONTRACT ADMINISTRATION DATA

## G.1 CONTRACT ADMINISTRATION

Notwithstanding the Contractor's responsibility for total management during the performance of this contract, the administration of the contract will require maximum coordination between the Government and the Contractor. The following individuals will be the Government points of contact during the performance of the contract.

## (a) Contracting Officer's Technical Representative

A Contracting Officer's Technical Representative (COTR) will be designated on authority of the Contracting Officer to monitor all technical aspects and assist in administering the contract. The types of actions within the purview of the COTR's authority are to assure that the Contractor performs the technical requirements of the Contract; to perform or cause to be performed inspections necessary in connection with performance of the contract; to maintain both written and oral communications with the Contractor concerning the aspects of the contract within his/her purview; to issue written interpretations of technical requirements of the Government drawings, designs and specifications; to monitor the Contractor's performance under the contract and notify the Contractor and Contracting Officer of any deficiencies observed; and to coordinate Government-Furnished Property availability and provide for site entry of Contractor personnel if required. A letter of designation will be issued to the COTR with a copy supplied to the Contractor, stating the responsibilities and limitations of the COTR. This letter will clarify to all parties to this contract the responsibilities of the COTR. At no time may the scope of work, cost or price estimates, delivery dates, or other mutually agreed upon term or provision of the contract be changed without being executed in writing by the Contracting Officer authorizing such changes.

## (b) Contracting Officer

All contract administration will be effected by the Contracting Officer, address as shown on face page of this contract. Communications pertaining to contract administration matters will be addressed to the Contracting Officer. No changes in or deviation from the scope of work shall be effected without a Supplemental Agreement executed by the Contracting Officer authorizing such changes.

## G.2 CONTRACTING OFFICER'S AUTHORITY

The Contracting Officer is the only person authorized to make or approve any changes in any of the requirements of this contract and notwithstanding any provisions contained elsewhere in this contract, the said authority remains solely in the Contracting Officer. In the event the Contractor makes any changes at the direction of any person other than the Contracting Officer, the change will be considered to have been made without authority and

no adjustment will be made in the contract price to cover any increase in costs incurred as a result thereof.

### G.3 CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE (COTR)

(a) Sally Middleton, is hereby designated as the COTR and Dorothy Weathers as Deputy COTR. The COTR may be changed at any time by the Government without prior notice to the Contractor but notification of the change, including the name and address of the successor COTR, will be promptly provided to the Contractor by the Contracting Officer in writing. The COTRs are located at the U.S. Department of Commerce, U.S. Patent and Trademark Office, Office of Trademark, 2121 Crystal Drive, CPK-2, Suite 503, Arlington, VA 22202. Their telephone numbers are (703) 308-7825 and (703) 306-3095.

(b) The responsibilities and limitations of the COTR are as follows:

(1) The Contracting Officer's Technical Representative is responsible for the technical aspects of the project and technical liaison with the Contractor. The COTR is also responsible for the final inspection and acceptance of all reports, and such other responsibilities as may be specified in the contract.

(2) The COTR is not authorized to make any commitments or otherwise obligate the Government or authorize any changes, which affect the Contract price, terms or conditions. Any Contractor request for changes shall be referred to the Contracting Officer directly or through the COTR. No such changes shall be made without the expressed prior authorization of the Contracting Officer. The COTR may designate assistant COTR(s) to act for him by naming such assistant in writing and transmitting a copy of such designation through the Contracting Officer to the Contractor.

### G.4 CONTRACT ADMINISTRATION OFFICE

(a) This contract will be administered by:

U.S. Patent and Trademark  
Office of Procurement  
2011 Crystal Drive, CPK-1, Suite 810  
Arlington, VA 22202

(b) Written communications to the Contracting Officer shall make reference to the solicitation/contract number and shall be mailed to the above address.

#### G.5 SUBMISSION OF INVOICES

One (1) original and two (2) copies of each invoice shall be submitted on a biweekly basis to the following:

U.S. Patent and Trademark Office  
Office of Finance - Box 17  
Crystal Park 1, Room 802B  
Washington, D.C. 20231

The Contractor shall submit a proper invoice for payment in the manner and format described herein. The following data must be included in an invoice for it to constitute a proper invoice:

- a. Name of the Contractor, invoice number and invoice date;
- b. Contract number and delivery order number authorizing delivery of services;
- c. Description, price and quantity of property and services delivered;
- d. Payment terms;
- e. Name and signature of certifying official, title, phone number and complete mailing address of official to whom payment is to be sent;
- f. Other substantiating documentation or information as required by the Government.
- g. Period of Performance covered by the invoice.

THE CONTRACTOR SHALL ENTER THE FOLLOWING STATEMENT ON THE ORIGINAL OF EACH INVOICE:

##### COTR's Certification

I certify to the best of my knowledge and belief that the services/supplies shown on the invoice have been performed/furnished and are accepted.

\_\_\_\_\_  
COTR Signature

\_\_\_\_\_  
Date

#### G.6 GOVERNMENT FURNISHED PROPERTY

The Government will provide the item(s) as stated in the Statement of Work as Government Furnished Property (GFP). If the GFP is received by the Contractor in a condition not suitable for the intended use, the Contractor shall, upon receipt of it, notify the Contracting Officer, detailing the pertinent facts. The Contracting Officer will then direct the Contractor as to the appropriate action.



The Government shall retain title to all GFP. The Government will provide maintenance of the GFP unless otherwise provided in this contract or approved by the Contracting Officer.

The contractor shall be responsible and accountable for all GFP provided under this contract and shall comply with the Federal Acquisition Regulations (FAR) Part 45 as applicable and in effect as of the date of this contract.

The Contractor shall establish and maintain a program for the use, protection, and preservation of the GFP in accordance with sound industrial practice and applicable provisions of FAR Part 45.

Unless otherwise provided, the Contractor assumes the risk of and shall be responsible for, any loss or destruction of, or damage to, GFP. See list of GFP as provided in Section J, Attachment 14.

#### G.7 GOVERNMENT FURNISHED DATA

(a) The Government shall provide to the Contractor the Government Furnished Data (GFD) as described in Section C of the contract. The data furnished by the Government will include Patent and/or Trademark application file wrappers and the contents therein. Data furnished by the Government will remain the property of the Government. If the data, suitable for its intended use is not delivered to the Contractor, the Contracting Officer shall equitably adjust affected provisions of this contract in accordance with the "Changes" clause when:

- (1) The Contractor submits a timely request for equitable adjustment; and
- (2) The facts warrant an equitable adjustment.

- (b) Title to GFD shall remain with the Government.
- (c) The Contractor shall use the GFD only in connection with this contract.
- (d) The data will be furnished to the Contractor in accordance with Section C of the contract.

#### G.8 GOVERNMENT PROPERTY--FACILITIES USE

In the performance of this contract, the Contractor is authorized to use on a no-charge, noninterference basis, Government-Leased facilities of the Patent and Trademark Office. The facilities shall be used and maintained in accordance with the provisions of the "Government Property (Facilities Use)" clause.

**G.9 ACCESS TO GOVERNMENT FACILITIES**

During the life of the contract, the rights of ingress and egress to and from the Government facility for Contractor personnel shall be made available as required. During all operations on Government premises, Contractor personnel shall comply with the rules and regulations governing the conduct of personnel and the operation of the facility. The Government reserves the right to require Contractor personnel to sign in upon ingress and sign out upon egress to and from the Government facility.

## SECTION H: SPECIAL CONTRACT REQUIREMENTS

### H.1 ORGANIZATIONAL CONFLICT OF INTEREST

(a) The Contractor warrants that, to the best of the Contractor's knowledge and belief, there are no relevant facts or circumstances which could give rise to an organizational conflict of interest, as defined in FAR Subpart 9.5, or that the Contractor has disclosed all such relevant information.

(b) The Contractor agrees that if an actual or potential organizational conflict of interest is discovered after award, the Contractor will make a full disclosure in writing to the Contracting Officer. This disclosure shall include a description of actions which the Contractor has taken or proposes to take, after consultation with the Contracting Officer, to avoid, mitigate, or neutralize the actual or potential conflict.

(c) Remedies - The Contracting Officer may terminate this contract for convenience, in whole or in part, if it deems such termination necessary to avoid an organizational conflict of interest. If the Contractor was aware of a potential organizational conflict of interest prior to award or discovered an actual or potential conflict after award and did not disclose or misrepresented relevant information to the Contracting Officer, the Government may terminate the contract for default, debar the Contractor from Government contracting, or pursue such other remedies as may be permitted by law or this contract.

(d) The Contractor further agrees to insert provisions which shall conform substantially to the language of this clause, including this paragraph (d), in any subcontract or consultant agreement hereunder.

### H.2 OPTION TO EXTEND THE TERM OF THE CONTRACT -- FIXED-PRICE CONTRACT

The Government has the option to extend the term of this contract for four (4) additional period(s). If more than 30 days remain in the contract period of performance, the Government, without prior written notification, may exercise this option by issuing a contract modification. To exercise this option within the last thirty (30) days of the period of performance, the Government must provide to the Contractor written notification prior to that last 30-day period. This preliminary notification does not commit the Government to exercising the option. Exercise of an option will result in the following contract modifications:

The "Period of Performance" clause will be modified as follows:

Option Period 1:	January 3, 2001 – January 2, 2002
Option Period 2:	January 3, 2002 – January 2, 2003
Option Period 3:	January 3, 2003 – January 2, 2004
Option Period 4:	January 3, 2004 – January 2, 2005

### H.3 INSURANCE COVERAGE

Pursuant to the clause FAR 52.228-5, Insurance - Work on a Government Installation (see Section I), the Contractor will be required to present evidence to show, as a minimum, the amounts of insurance coverage indicated below:

(a) Workers Compensation and Employer's Liability. The Contractor is required to comply with applicable Federal and State workers' compensation and occupational disease statutes. If occupational diseases are not compensable under those statutes, they shall be covered under the employer's liability section of the insurance policy, except when contract operations are so commingled with a Contractor's commercial operations that it would not be practical to require this coverage. Employer's liability coverage of at least \$100,000 shall be required, except in States with exclusive or monopolistic funds that do not permit workers' compensation to be written by private carriers.

(b) General Liability.

(1) The Contractor shall have bodily injury liability insurance coverage written on the comprehensive form of policy of at least \$500,000 per occurrence.

(2) Property damage liability insurance shall be required in the amount of \$10,000 per occurrence.

(c) Automobile Liability. The Contractor shall have automobile liability insurance written on the comprehensive form of policy. The policy shall provide for bodily injury and property damage liability covering the operation of all automobiles used in connection with performing the contract. Policies covering automobiles operated in the United States shall provide coverage of at least \$200,000 per person and \$500,000 per occurrence for bodily injury and \$20,000 per occurrence for property damage.

(d) Aircraft Public and Passenger Liability. When aircraft are used in connection with performing the contract, the Contractor shall have aircraft public and passenger liability insurance. Coverage shall be at least \$200,000 per person and \$500,000 per occurrence for bodily injury, other than passenger liability, and \$200,000 per occurrence for property damage. Coverage for passenger liability bodily injury shall be at least \$200,000 multiplied by the number of seats or passengers, whichever is greater.

### H.5 SUPERVISION OF CONTRACTOR'S EMPLOYEES

(a) Personnel assigned to render services under this contract shall at all times be employees of the Contractor or its subcontractor(s) and under the direction and control of the Contractor. Notwithstanding any other provisions of this contract, the Contractor shall at all times be responsible for the supervision of the employees in the performance of the services required hereunder.

(b) Contractor personnel shall not at any time during the Contract period be employees of the U.S. Government.

#### H.6 DUPLICATION AND DISCLOSURE OF CONFIDENTIAL DATA

Duplication or disclosure of confidential data provided by the PTO or to which the Contractor will have access as a result of this contract is prohibited. It is understood that throughout performance of the contract the Contractor may have access to confidential data, which is the sole property of the PTO, as well as access to proprietary data, which is the sole property of other than the contracting parties. The Contractor hereby agrees to maintain the confidentiality of all such data to which access may be gained throughout contract performance whether title thereto vests in the PTO or otherwise. The Contractor hereby agrees not to disclose said data, any interpretations thereof, or data derivative therefrom, to unauthorized parties in contravention of these provisions without prior written approval of the Contracting Officer or the party in which title thereto is wholly vested. This clause also applies to any subcontractors and/or consultants used by the Contractor.

Further each individual employed by the Contractor shall be required to sign a Statement of Confidentiality as provided below. Each employee's signed statement shall be forwarded to the COTR for retention.

Each employee is required to sign the following:

#### STATEMENT OF CONTRACT EMPLOYEE RELATIVE TO NONDISCLOSURE OF PATENT INFORMATION

Title 35, U.S.C., Section 122, provides that applications for patents shall be kept in confidence by the Patent and Trademark Office and no information concerning the same given without authority of the applicant or owner unless necessary to carry out the provisions of any Act of Congress or in such special circumstances as may be determined by the Commissioner of Patents and Trademarks.

I have read and understand the above information. In addition, I do swear or affirm that I will preserve applications for patents in secrecy and that I will not divulge or disclose to unauthorized persons any information learned or otherwise obtained as a result of my work under contract number \_\_\_\_\_. I take this obligation freely and without any mental reservation or purpose of evasion.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Date

#### H.7 SUITABILITY/RISK ASSESSMENT PROCEEDING REQUIREMENTS

Contractor administrative/clerical personnel working on this contract have been determined to meet security criteria for and are designated as "Low Risk" positions. In accordance with established security procedures contractors working in positions designated Low Risk must have a National Agency Check and Inquires (NACI) initiated within 14 days of performance on the contract. This will require the contractor to submit an investigative package consisting of the following:

1. SF-85P (original plus 1 copy of Page 1 only)
2. FD-258, Fingerprint Chart.

#### H.8 CONTRACTOR BADGES

When on-site at the PTO all contractor employees under this contract are required to display a badge provided by the PTO, which identifies them as Contractor employee. The contractor at the beginning of the contract will be required to submit a list of all of the employees under this contract so as to assure that proper badges can be prepared. New employees will need to be badged as well upon the commencement of their employment. Additionally the Contractor is required to provide a picture identification badge that displays, in an easily readable font, the Contractor name, employee photo and employee name.

## SECTION I: CONTRACT CLAUSES

## I.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE (FEB 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: [www.arinet.gov/far/](http://www.arinet.gov/far/).

52.202-01	Definitions.	OCT 1995
52.203-03	Gratuities.	APR 1984
52.203-05	Covenant Against Contingent Fees.	APR 1984
52.203-06	Restrictions on Subcontractor Sales to the Government.	JUL 1995
52.203-07	Anti-Kickback Procedures.	JUL 1995
52.203-10	Price or Fee Adjustment for Illegal or Improper Activity.	JAN 1997
52.204-04	Printing/Copying Double-Sided on Recycled Paper.	JUN 1996
52.207-03	Right of First Refusal of Employment.	NOV 1991
52.209-06	Protecting the Government's Interest when Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment.	JUL 1995
52.215-02	Audit and Records -- Negotiation.	June 1996
52.215-08	Order of Precedence -- Uniform Contract Format.	OCT 1997
52.215-10	Price Reduction for Defective Cost Pricing Data.	OCT 1997
52.215-11	Price Reduction for Defective Cost or Pricing Data -- Modifications.	OCT 1997
52.219-08	Utilization of Small Business Concerns.	June 1999
52.219-14	Limitations on Subcontracting.	DEC 1996
52.222-01	Notice to the Government of Labor Disputes.	FEB 1997
52.222-03	Convict Labor.	AUG 1996
52.222-04	Contract Work Hours and Safety Standards Act--Overtime Compensation.	JUL 1995
52.222-26	Equal Opportunity.	FEB 1999
52.222-35	Affirmative Action for Disabled Veterans and Veterans of the Vietnam Era.	Apr 1998
52.222-36	Affirmative Action for Workers With Disabilities.	Jun 1998
52.222-37	Employment Reports on Disabled Veterans and Veterans of the Vietnam Era.	JAN 1999
52.222-41	Service Contract Act of 1965, as Amended.	MAY 1989
52.222-43	Fair Labor Standards Act and Service Contract Act--Price	MAY 1989

	Adjustment (Multiple Year and Option Contracts).	
52.222-47	SCA Minimum Wages and Fringe Benefits Applicable to Successor Contract Pursuant to Predecessor Contractor Collective Bargaining Agreements (CBA).	MAY 1989
52.223-02	Clean Air and Water.	APR 1984
52.223-06	Drug-Free Workplace.	JAN 1997
52.223-14	Toxic Chemical Release Reporting.	OCT 1996
52.225-03	Buy American Act--Supplies.	JAN 1994
52.225-11	Restrictions on Certain Foreign Purchases.	AUG 1998
52.227-01	Authorization and Consent.	JUL 1995
52.227-03	Patent Indemnity.	APR 1984
52.228-05	Insurance--Work on a Government Installation.	JAN 1997
52.229-03	Federal, State, and Local Taxes.	JAN 1991
52.229-05	Taxes--Contracts Performed in U.S. Possessions or Puerto Rico.	APR 1984
52.232-01	Payments.	APR 1984
52.232-08	Discounts for Prompt Payment.	MAY 1997
52.232-11	Extras.	APR 1984
52.232-17	Interest.	JUNE 1996
52.232-18	Availability of Funds.	APR 1984
52.232-19	Availability of Funds for the Next Fiscal Year.	APR 1984
52.232-23	Assignment of Claims.	JAN 1986
52.232-25	Prompt Payment.	JUNE 1997
52.232-33	Payment by Electronic Funds Transfer-Central Contractor Registration.	MAY 1999
52.232-35	Designation of Office for Government Receipt of Electronic Funds Transfer Information.	MAY 1999
52.233-01	Disputes.	DEC 1998
52.233-03	Protest after Award.	AUG. 1996
52.237-02	Protection of Government Buildings, Equipment, and Vegetation.	APR 1984
52.237-03	Continuity of Services.	JAN 1991
52.242-13	Bankruptcy.	JUL 1995
52.243-01	Changes--Fixed-Price.	AUG 1987
52.244-05	Competition in Subcontracting.	DEC 1996
52.245-02	Government Property (Fixed-Price Contracts).	DEC 1989
52.245-19	Government Property Furnished "As Is."	APR 1984
52.246-25	Limitation of Liability--Services.	FEB 1997
52.249-02	Termination for Convenience of the Government (Fixed-Price).	SEP 1996
52.249-08	Default (Fixed-Price Supply and Service).	APR 1984
52.251-01	Government Supply Sources.	APR 1984
52.253-01	Computer Generated Forms.	JAN 1991

## I.2 52.252-02 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)



This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this address: [www.arnet.gov/far/](http://www.arnet.gov/far/).

52.214-34	Submission of Offers in the English Language.	APR 1991
52.214-35	Submission of Offers in U.S. Currency.	APR 1991

### 1.3 52.203-12 LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (JUN 1997)

#### (a) Definitions.

"Agency," as used in this clause, means executive agency as defined in 2.101.

"Covered Federal action," as used in this clause, means any of the following Federal actions:

- (1) The awarding of any Federal contract.
- (2) The making of any Federal grant.
- (3) The making of any Federal loan.
- (4) The entering into of any cooperative agreement.
- (5) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

"Indian tribe" and "tribal organization," as used in this clause, have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B) and include Alaskan Natives.

"Influencing or attempting to influence," as used in this clause, means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government," as used in this clause, means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency," as used in this clause, includes the following individuals who are employed by an agency:

- (1) An individual, who is appointed to a position in the Government under Title 5, United States Code, including a position under a temporary appointment.

(2) A member of the uniformed services, as defined in subsection 101(3), Title 37, United States Code. (3) A special Government employee, as defined in section 202, Title 18, United States Code.

(4) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, Title 5, United States Code, appendix 2.

"Person," as used in this clause, means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit, or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Reasonable compensation," as used in this clause, means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

"Reasonable payment," as used in this clause, means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

"Recipient," as used in this clause, includes the Contractor and all subcontractors. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed," as used in this clause, means, with respect to an officer or employee of a person requesting or receiving a Federal contract, an officer or employee who is employed by such person for at least 130 working days within 1 year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within 1 year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State," as used in this clause, means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and multi-State, regional, or interstate entity having governmental duties and powers.

**(b) Prohibitions.**

(1) Section 1352 of Title 31, United States Code, among other things, prohibits a recipient of a Federal contract, grant, loan, or cooperative agreement from using appropriated funds to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the

awarding of any Federal contract; the making of any Federal grant; the making of any Federal loan; the entering into of any cooperative agreement; or the modification of any Federal contract, grant, loan, or cooperative agreement.

(2) The Act also requires Contractors to furnish a disclosure if any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan, or cooperative agreement.

(3) The prohibitions of the Act do not apply under the following conditions:

(i) Agency and legislative liaison by own employees.

(A) The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.

(B) For purposes of subdivision (b)(3)(i)(A) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

(C) The following agency and legislative liaison activities are permitted at any time where they are not related to a specific solicitation for any covered Federal action:

(1) Discussing with an agency the qualities and characteristics (including individual demonstrations) of the person's products or services, conditions or terms of sale, and service capabilities.

(2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(D) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action--

(1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

(2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and

(3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Pub. L. 95-507, and subsequent amendments.

(E) Only those services expressly authorized by subdivision (b)(3)(i)(A) of this clause are permitted under this clause.

(ii) Professional and technical services.

(A) The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply in the case of--

(1) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.

(2) Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

(B) For purposes of subdivision (b)(3)(ii)(A) of this clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the

preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation and any other requirements in the actual award documents.

(D) Only those services expressly authorized by subdivisions (b)(3)(ii)(A)(1) and (2) of this clause are permitted under this clause.

(E) The reporting requirements of FAR 3.803(a) shall not apply with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

(c) Disclosure.

(1) The Contractor who requests or receives from an agency a Federal contract shall file with that agency a disclosure form, OMB standard form LLL, Disclosure of Lobbying Activities, if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under subparagraph (b)(1) of this clause, if paid for with appropriated funds.

(2) The Contractor shall file a disclosure form at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under subparagraph (c)(1) of this clause. An event that materially affects the accuracy of the information reported includes--

(i) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or

(ii) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or

(iii) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

(3) The Contractor shall require the submittal of a certification, and if required, a disclosure form by any person who requests or receives any subcontract exceeding \$100,000 under the Federal contract.

(4) All subcontractor disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the prime Contractor. The prime Contractor shall submit all disclosures to the Contracting Officer at the end of the calendar quarter in which the disclosure form is submitted by the subcontractor. Each subcontractor certification shall be retained in the subcontract file of the awarding Contractor.

(d) Agreement.

The Contractor agrees not to make any payment prohibited by this clause.

(e) Penalties.

(1) Any person who makes an expenditure prohibited under paragraph (a) of this clause or who fails to file or amend the disclosure form to be filed or amended by paragraph (b) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(2) Contractors may rely without liability on the representation made by their subcontractors in the certification and disclosure form.

(f) Cost allowability.

Nothing in this clause makes allowable or reasonable any costs which would otherwise be unallowable or unreasonable. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any other provision.

I.4 52.219-06 NOTICE OF TOTAL SMALL BUSINESS SET-ASIDE (JUL 1996)

(a) Definition.

"Small business concern," as used in this clause, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the size standards in this solicitation.

(b) General. (1) Offers are solicited only from small business concerns. Offers received from concerns that are not small business concerns shall be considered nonresponsive and will be rejected.

(2) Any award resulting from this solicitation will be made to a small business concern.

(c) Agreement. A small business concern submitting an offer in its own name agrees to furnish, in performing the contract, only end items manufactured or produced by small business concerns in the United States. The term "United States" includes its territories and possessions, the Commonwealth of Puerto Rico, the Trust Territory of the Pacific Islands, and the District of Columbia. If this procurement is processed under simplified acquisition procedures and the total amount of this contract does not exceed \$25,000, a small business

concern may furnish the product of any domestic firm. This paragraph does not apply in connection with construction or service contracts.

I.5 52.222-42 STATEMENT OF EQUIVALENT RATES FOR FEDERAL HIRES (MAY 1989)

In compliance with the Service Contract Act of 1965, as amended, and the regulations of the Secretary of Labor (29 CFR Part 4), this clause identifies the classes of service employees expected to be employed under the contract and states the wages and fringe benefits payable to each if they were employed by the contracting agency subject to the provisions of 5 U.S.C. 5341 or 5332.

THIS STATEMENT IS FOR INFORMATION ONLY: IT IS NOT A WAGE DETERMINATION

<u>Employee Class</u>	<u>Monetary Wage - Fringe Benefits</u>
General Clerk I	\$ 8.99
Secretary I	\$13.55

I.6 52.244-06 SUBCONTRACTS FOR COMMERCIAL ITEMS AND COMMERCIAL COMPONENTS (OCT 1998)

(a) Definitions.

"Commercial item", as used in this clause, has the meaning contained in the clause at 52.202-01, Definitions.

"Subcontract", as used in this clause, includes a transfer of commercial items between divisions, subsidiaries, or affiliates of the Contractor or subcontractor at any tier.

(b) To the maximum extent practicable, the Contractor shall incorporate, and require its subcontractors at all tiers to incorporate, commercial items or nondevelopmental items as components of items to be supplied under this contract.

(c) Notwithstanding any other clause of this contract, the Contractor is not required to include any FAR provision or clause, other than those listed below to the extent they are applicable and as may be required to establish the reasonableness of prices under Part 15, in a subcontract at any tier for commercial items or commercial components:

(1) 52.222-26, Equal Opportunity (E.O. 11246);

(2) 52.222-35, Affirmative Action for Disabled Veterans and Veterans of the Vietnam Era (38 U.S.C. 4212(a));

(3) 52.222-36, Affirmative Action for Workers with Disabilities (29 U.S.C. 793); and

(4) 52.247-64, Preference for Privately-Owned U.S.-Flagged Commercial Vessels (46 U.S.C. 1241)(flow down not required for subcontracts awarded beginning May 1, 1996).

(d) The Contractor shall include the terms of this clause, including this paragraph (d), in subcontracts awarded under this contract.

I.7 52.252-06 AUTHORIZED DEVIATIONS IN CLAUSES (APR 1984)

(a) The use in this contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this contract of any "48 CFR" clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.



## SECTION J: LIST OF ATTACHMENTS

### J.1 List of attachments that are hereby made a part of this contract.

- Attachment 1 – Examiner Search File Standards
- Attachment 2 – Calculation of File Expansion Time
- Attachment 3 – Reclassification Processing Schedule
- Attachment 4 – Patent Copy Standards
- Attachment 5 – DRAM Delivery Points
- Attachment 6 – Errand Locations
- Attachment 7 – U.S. Mailing Instructions
- Attachment 8 – PCT Mailing Instructions
- Attachment 9 – PCT File Assembly
- Attachment 10 – Bib Data Entry
- Attachment 11 – U.S. File Assembly
- Attachment 12 – Scanning
- Attachment 13 – Department of Labor Wage Determination
- Attachment 14 – Government Furnished Equipment List
- Attachment 15 – Definitions

## EXAMINER SEARCH FILE STANDARDS

The examiner search file (ESF) is housed in storage cabinets containing multiple drawers arranged in columns. These cabinets are commonly called "shoecases" and the individual drawers are referred to as "shoes." Each shoe is labeled to provide for easy identification of its contents. Shoecases typically are built in two or three sections of wood or metal. The average shoecase consists of 3 columns holding a total of approximately 81 shoes; however, some shoecases exist which consist of 2 or 4 columns of shoes. Shoes are utilized within each column from top to bottom.

Shoecases are placed in examiner search rooms (ESR) throughout the Examining Groups. Maintenance of these search rooms in good order and in compliance with requirements is an essential service provided to the examiners. To facilitate examiner searching, documents must be filed in the proper order in the correct location, shoes must not be overfilled, documents and/or shoes must not be left lying on top of shoecases or on the floor, and labels must be present and accurate.

Each shoe is equipped with a label holder into which the appropriate label (also called "shoe tag") is inserted. The following labels (form PTO-666) are available for use:

- **White:** Identifies shoes containing US patent copies.
- **Pink:** Identifies shoes containing foreign patent documents filed by US classification(s).
- **Yellow:** Identifies shoes containing foreign patent documents filed on the basis of the International Patent Classification (IPC) system.
- **Blue:** Identifies shoes containing nonpatent literature (NPL).

Search rooms generally are maintained with classifications (i.e., class/subclass) in numeric sequence; however, examiners may request a different organization scheme. Within each classification, documents are filed in the order described below. Within each shoe, the oldest document is filed on top with the newest document on the bottom.

US patent copies are filed in patent number sequence within classification. The shoe label for each shoe containing US documents identifies the class/subclass (e.g., 320/33) and the patent number range (e.g., 4,954,123 – 4,999,999) to be found in that shoe. The label for the first drawer of US patent copies in a classification always begins with "0" as the lower limit; the label for the last drawer of US patent copies in a classification always has the upper limit defined as "To Date." In general, US patent copies should not contain hand-written classifications. If such documents are found in the search file, the COTR should be notified.

Typically, jumbo patents are not placed in the shoe drawers but are filed on supplemental racks in the search room. The first page of the patent, frequently accompanied by some or all of the patent's drawings, are filed in the shoes in the correct location. This insures searchers are aware of the patent's existence without having to conduct a separate search of the jumbos.

Foreign patent documents filed by US classification usually are filed in the shoes in publication date sequence within classification. Foreign patent documents whose filing labels contain a sequence number (a derivative of the publication date) will be filed using this number. All other foreign documents will be filed by reference to the publication data shown on the document. If more than one document contains the same publication date, the documents are filed in alphabetical order, by country, within the publication date. The label on each shoe containing foreign patent documents filed by US classification contains the word "Foreign" followed by the class/subclass (e.g., 320/23) and the publication date range (e.g., Jan 1993 – Dec. 1993) within the shoe. The label for the first drawer of foreign patent documents in a US classification always begins with "0" as the lower limit; the label for the last drawer always has the upper limit defined as "To Date." Frequently, foreign documents for multiple classification may be filed in one shoe. In this situation, cardboard sheets should be inserted between the last document of a classification and the first document of the next.

Foreign patent documents filed by IPC also are filed in the shoes in publication date sequence within classification. The label on each such shoe contains the word "Foreign" followed by the IPC Subclass and Group designation (e.g., A61K 001); in many instances a range of IPC designations are cited.

Non-patent literature (NPL) is filed in the shoes immediately behind the foreign documents. Filing of NPL may begin in the last drawer of foreign documents. In this situation, a cardboard sheet is inserted between the foreign and NPL documents and the shoe tag is marked to indicate NPL is in the shoe. NPL are filed in publication date sequence with any undated documents placed behind those with dates.

There are a number of special documents which are filed in the shoes containing US patents. These documents are filed according to the following procedures:

- **Certificates of Correction, Disclaimer, Dedication, or Patent Term Extension; Reexamination Certificates; Adverse Decisions:** These documents are attached to the back side of the first page of the corresponding patent using two staples along the right hand edge with the front side of the document facing the second page of the patent.
- **Reissue Patents:** Reissues are filed in the shoes in patent number sequence within classification.
- **Defensive Publication Documents:** These documents are identified by a "T" preceding the document number; e.g., T123,456. Defensive Publication documents are considered NPL and are filed by publication date sequence along with other NPL. These documents were replaced by SIR documents in 1986.
- **Statutory Invention Registration (SIR) Documents:** These documents are identified by an "H" preceding the document number; e.g., H123,456. SIR documents are considered NPL and are filed by publication date sequence along with other NPL.

- **Alien Property Custodian (APC) Documents:** APC documents are identified by the words "Alien Property Custodian" along the top of the first page of the document. These documents are considered NPL and are filed in publication date sequence along with other NPL.

## **DETERMINING THE ALLOWABLE TIME FOR A FILE EXPANSION PROJECT**

The Government will survey each project and, using the following criteria, determine the staff days necessary for the project. The contractor also may survey each project and request modifications to the schedule and time allotted based on any special requirements. Any unusual circumstances requiring additional staff days will be mutually agreed upon between the contractor and the COTR prior to the start of work.

### **Shift and Limited Expansion Project**

This type of project includes shifting individual shoes from shoe-case-to-shoe-case without reviewing the contents of each shoe and rearranging documents in only the subclasses that need more room. The purpose is to distribute throughout the search file empty shoes to provide room for growth and future mini-expansions and to expand only selected subclasses. Complete review of the contents and sequence of each shoe is not required as in a full expansion project.

To estimate the number of staff days needed to complete a Shift and Limited Expansion Project, multiply the number of shoe-cases to be shifted by .25, then round the product to the next whole number.

### **Full Expansion Project**

This type of project includes reviewing each document for proper class/subclass location and for proper sequential filing of documents in addition to shifting the documents to provide room for growth and future mini-expansions.

To estimate the number of staff days needed to complete a full expansion project, multiply the number of existing shoe-cases to be expanded by .75, then round the product to the nearest whole number and add 1.

## RECLASSIFICATION and FILE INTEGRITY PROJECT PROCESSING

### Project Scheduling

No later than 2 work days prior to the beginning of each month, the Government will provide a Processing Schedule for that month which specifies the projects to be processed, each project's scheduled start date, and the time allowed for the project's processing. Processing times are based on the following table.

Project Type	Project Size (# patent copies)	Time Allowed
Preprocessing (includes repairing/ replacing/adding patent copies as needed)	up to 5,000	1 week
	5,001 to 10,000	2 weeks
	10,001 to 20,000	3 weeks
	more than 20,000	4 weeks
Data Capture	up to 5,000	1 week
	5001 to 10,000	2 weeks
	10,001 to 20,000	3 weeks
	more than 20,000	4 weeks
Final Processing* (either set)	up to 10,000	1 week
	10,001 to 20,000	2 weeks
	20,001 to 35,000	3 weeks
	more than 35,000	4 weeks
File Integrity (either set)	up to 34,000	2 days

\*Includes providing all additional/replacement copies as needed

### Project Inspections

Project inspections at the contractor's work site normally will start between 8:30 and 9:30 a.m.; starting times later than 12 noon normally will not be scheduled. At the Government's option, any inspection may be halted at any point after failure by the contractor is determined.

## COPY STANDARDS

The contractor is required to provide patent copies for a variety of Search File Support functions and for mailing to applicants with office actions. Depending on the particular circumstances, these copies may be provided in a number of ways: Photocopying existing patent documents, generating copies from the automated patent system, relabeling existing patent copies (Reclassification Final Processing and File Integrity Processing only).

### Copies for Search File Support functions

Patent copies provided by the contractor are considered acceptable when they meet the following requirements:

- paper meets the minimum specifications,
- images are distinct and properly centered,
- document is legible and complete,
- drawings are single-sided copies,
- textual material is duplexed, and
- pages are properly stapled together.

The following paper specifications meet the minimum Government requirements:

- Weight: 28 pound (US copies)
- Caliper: .0054 inches
- Archival life: Type I (200+ years)
- Cut Rotary (5 sheet)
- Paper Type: Photographic
- Moisture Content: 4-4.5% RH
- Wax pick (surface lint): Medium
- Smoothness: Very High
- Rag Content: Very Low
- Curl: Low
- Size—US patents: 7 ¾ inches by 11 3/16 inches
- Size—foreign patents: 210 mm x 297 mm (A4 paper).

All patent copies produced by the contractor using reproduction equipment must be an acceptable substitute for patent copies printed by offset reproduction. All images must be centered on the page and clearly legible. The following minimum quality standards apply to all copies produced:

- Resolution: 120-line pairs per inch
- Black Image: 0.85 optical density on a line
- Background: No more than 3% darker than unprocessed paper.

Patents that are produced from the automated patent system must be printed on 28 lb paper and the correct classification label must appear on the upper left corner of the first page of the patent. Copies generated in this manner are acceptable if they contain a skewed image provided the document is otherwise legible.

US patent copies are stapled together at the bottom of the sheets with two flat staples approximately 4 inches apart and centered from the right and left edges of the sheets. Foreign patent documents are stapled together on the left side with three flat staples placed equal distance apart and with the English language abstract attached to the document as its first page.

Existing patent copies are acceptable for use provided:

- The patent copy is complete; contains all pages, figures, claims, and identifying data; and is not faded to the extent where it is difficult to read.
- **EXCEPTION:** A patent copy numbered 500,000 or below is acceptable "as is" provided a better quality or more complete copy is not available elsewhere. Any such patent copy should be stamped "Best Available Copy."
- The patent copy is stapled together at the bottom of its pages with 2 staples approximately 4 inches apart.
- The patent copy does not exceed a maximum size of 7 ¾ inches by 11 3/16 inches.

If the best possible copy of a patent has been obtained but the image is still blurred, faded, or otherwise unclear, the contractor should not attempt to improve the printed matter by any means and should stamp the copy "Best Available Copy."

Existing patent copies located for Reclassification Preprocessing projects are acceptable on less than 28 pound paper provided all other requirements are met. Existing patent copies to be placed in the public or examiner search files must be made of 28 pound or heavier paper. In addition, these copies must contain single-sided drawing and duplexed textual material.

#### **Specifications for Labeling Patent Copies**

A classification label is attached to a patent copy in accordance with the following specifications.

- The label is affixed to the top left-hand corner of the front page of the patent.
- The label is located flush against the paper's top left-hand corner edges.
- Any marks or notations visible around a label after it has been affixed is blacked out in a neat manner. (Any classification information written elsewhere on the upper one-fourth of the patent has a line drawn through it.)
- Any notes other than those containing classification information are left clearly visible.



**For Reference Copies**

Document copies reproduced by the contractor for inclusion in office action mailings must be legible and complete; possess images which are distinct and properly centered; and be properly stapled together. All copies must be produced on standard 8 ½ x 11 inch paper.

**International Application Copy Standards**

When reproducing International Applications as part of the PCT Copying function, the contractor shall insure that all copies contain distinct and properly centered images; each document is legible and complete; and pages are stapled as directed by the Government. All International Application copies must be produced on A4 paper and must conform to the following specifications:

- top margin: no less than 2 cm; no more than 4 cm
- left margin: no less than 2.5 cm; no more than 4 cm
- right margin: no less than 2 cm; no more than 3 cm
- bottom margin: no less than 2 cm; no more than 3 cm.

On any reproduced sheet containing a drawing, the usable surface may not exceed 26.2 cm x 17.0 cm. The minimum margins of any sheet containing drawings are:

- top margin: 2.5 cm
- left margin: 2.5 cm
- right margin: 1.5 cm
- bottom margin: 1.0 cm



Tech Center/ Group	Art Units/SPE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info
2 - 1700	11 Seidick CP3-8D19	Sullivan CP3-4C24	CP3 - 8C24	6:30	full service on all machines	Directors: CP3-8D19	Batch papers by Team drop
	13 Wu CP3-4E02			10:30	6 "Officer" machines in	J. Stone CP3-8D33	In Adept Retrieval box
	21 Brouillette CP3-4D01			1:30	CP3-8C24; unofficials in following locations:	E. Keppinger CP3-8D19	All new cases forwarded from OIPE delivered to Draftperson (CP3-8C07)
	22 Pylon CP3-8D35	Cattell CP3-6C24				SPRE/Paralegal CP3-8B36	Classified new cases will be delivered to the mail room by the Draftperson.
	23 Walker CP3-5D01				3C23	McGinly CP3-8D01	
	24 Simmons CP3-5A01				4C12	Roy CP3-8D35	
	61 Lacey CP3-5E02				6C24		
	31 Silverman CP3-6D35	Watkins CP3-6C24			7C23	Program Analyst CP3-8D27	Other cases sorted and delivered to appropriate support team.
	32 Silbaugh CP3-6A01				8C17		
	33 Ball CP3-6E02				9C05		
	34 Crispino CP3-6D01				10C07	Draftman CP3-8C07	Pink paper is used to batch all 1 hr. turnaround.
	41 Gorgus CP3-7D01	Sewell CP3-7D14			11C17	Lam	
	42 Willis CP3-7E02						
	43 Warden CP3-7A01					Examiner mailboxes are located in SPE Offices	
	44 Warden CP3-7D35						
	46 Gulewski CP3-7B26						
	51 Gupta CP3-9E02	Jenkins CP3-9C17				Quality Assurance Specialist	
	52 Baxter CP3-8B02					McCarthy CP3-8A11	
	53 Nguyen CP3-8D35						
	54 Griffin CP3-9A09					Customer Service Center CP3-8D13	
	55 Bell CP3-8A01						
	56 Gibson CP3-8A15						
	62 Beck CP3-1DA15	Pollard CP3-10C17					
	63 Brennan CP3-10E02						
	64 Knobe CP3-10B03						
	65 Ulsch CP3-10D35						
	71 Monte CP3-11B28	Boyd CP3-11C17					
	72 Robinson CP3-11A15						
	73 Thibodeau CP3-11A01						
	74 Koyrski CP3-11D35						
	75 Jones CP3-11E02						
	12 Dawson CP3-3E02	Scott CP3-3C24					
	14 Jagannathan CP3-3E16						
	26 Ryan CP3-3A01						
	46 Nuzzofilio CP3-4A01						
	SPC Gray CP3-8D32						
	HSAES:						
	V. Reid CP3-4B30						
	H. Grimes CP3-8B04						
	O. Simms CP3-5D13						



Tech Center/ Group	Art Univ/SPE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info
4 - 3700	CP2-11E16	Smith CP2-10E08		5:55	full service on all machines	Directors:	
23	Scherbel CP2-11D32		CP2 - 5C21	9:45		E. Cross CP2-10A12	Application papers sorted by AU
24	Rada CP2-11B02			1:40	4 "Official" machines in CP2-5C21; unofficials in the following locations:	J. Love CP2-3A23	AU app papers batched and dropped for Apple File Read.
25	Hail CP2-5A15		PK1-5C07			D. Kelly PK1-11F04	Non-app mail delivered to appropriate mailboxes.
26	Hughes CP2-9A01						New app. to SPEs
28	Sewell CP2-5E16						Other app. to Suppl Team
29	Young CP2-10E02	Eley CP2-10E08			CP2-2C24		Pink paper is used to batch all 1 hr. turnaround.
11	Chapman CP2-10A22				CP2-4C24	Quality Assurance	
12	Haler CP2-10D02				CP2-9B19	Specialist	
13	M-Wallace CP2-9D01				CP2-11D31	Crowder CP2-5A03	
21	Vo CP2-10D32				PK1-5th floor		
22	Pitts CP2-8D31				PK1-11th floor		
27	Shoop CP2-2A15	Monroe CP2-2E12				Special Program Examiners:	Status Letters should be separated from other incoming papers, batched, and delivered to the Customer Service Center
31	Buiz CP2-2E02					Marcus CP2-10A12	
32	Manzana CP2-2E16					Ostrager CP2-3A17	
38	Yu CP2-3E10					Webster PK1-11D38	
62	McDemott CP2-4D33	Douglas CP2-4C24				Program Analyst	
63	Coggins CP2-4A04					Graham CP2-10D10	
38	O'Connor CP2-4B32					Draftsman	
39	Dvorak CP2-4A18					Harris CP2-5D22	
41	Calvert CP2-3B32					Rasper PK1-5A02	
61	Weiss CP2-3A11					Customer Service Center	
64	Apley PK1-5F16	Michelle PK1-5A05				CP2-4B32	
46	Thorpe PK1-5D32						
47	Yuen PK1-5F02						
48	Danion PK1-5D04						
51	Recla PK1-5B03						
52	Kashnikov PK1-5B01						
54	Shaver PK1-11B66	Boardley PK1-11B32					
42	Walberg PK1-11F02						
43	Lazarus PK1-5F04						
44	Bennett PK1-5B31						
45	Look PK1-7D46	HSAs					
53	Ferensic PK1-5A08	Watts					
		Brown CP2-3A19					
		Monroe CP2-11D18	(Acting)				

Tech Center/ Group	Art Unit/SPE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info
5 - 2700	31 Pham PK2-3R01	Epps PK2-3D17	PK2 - 3B13	7:40	2 Official machines in	Directors:	Batch papers by Team;
	32 Oims PK2-3D44			9:30	PK2-3B13	R. Garrett PK2-2A29	drop in App. Retrieval box.
	33 J. Chan PK2-3A01		PK1-5C07	1:30	Unofficials located	G. Goldberg PK2-4A23	
	34 S. Chin PK2-3Y21				(all in PK2):	J. Rolla PK2-4A23	All new cases forwarded
	35 Horebik PK2-3R23				2A26	J. Ng PK2-8A25	from OIPE delivered to
	36 Hofsass PK2-3Y01				2A44	J. Dwyer (Acig) PK2-8A25	Draftspersons (PK2-3C21).
	38 Kizou PK2-3A55				2B01		Classified new cases will
	81 Sheikh PK2-2Y19	McMillian PK2-2D20			3B05		be delivered to the mail
	82 Lee PK2-2R21				3W02		room by Draftspersons.
	83 An PK2-2R19				4A23	SPRE/Paralegals:	
	84 DeCady PK2-2Y01				4R20	Wieder PK2-8A33	Other cases sorted by and
	85 Beausoliel PK2-2Y21				4Y02	Groody PK2-8A35	delivered to appropriate
	86 Grant PK2-2A51				5A04	Trans PK2-8A37	tech support team.
	87 Pals PK2-2A25				5A56		
	21 Boudreau PK1-4B03	Clark PK1-4E09			6D03	Quality Assurance	Pink paper is used to batch
	22 Coles, Sr. PK1-4E01				6D43	Specialists	all 1 hr. turnaround.
	23 Au PK1-4E15				8A25	Harvey PK2-8A41	
	24 Moore PK1-4E17				8D03	Shaw PK2-3A31	Status Letters should be
					8Y02	Elmore PK2-2R01	separated from other
							incoming papers, batched,
	41 Hudspeth PK2-8D58	Spears PK2-8D42			Unofficial located in:	Draftspersons	and delivered to the
	42 Zele PK2-8D02				PK1-4E05	Doan PK2-3C21	Customer Service Center.
	43 Kuntz PK2-8Y21					Fitzhugh PK2-3C21	
	44 Bost PK2-8A57						
	45 Eisenzopf PK2-8Y01					Examiner Mailboxes	
	46 W. Chin PK2-8R01					located: SPE office	
	47 Isen PK2-8D20						
	71 Black PK2-8A01					Customer Service Center	
	76 Razavi PK2-8D22					PK2-2A27	
	77 Fetting PK2-8C03						
	51 E. Chan PK2-4D46	Crane PK2-4W33					
	52 Cabeza PK2-4A51						
	53 Pintos PK2-4A01						
	54 Levy PK2-4D22						
	55 Oberley PK2-4Y01						
	56 Asta PK2-4A27						
	57 Burgess PK2-4D02						
	58 Matar PK2-4R01						

Tech Center/ Group	Art Units/PE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info
2700	11 Faile	PK2-6A57	Fletcher	PK2-6W33			
	12 Garber	PK2-6Y21					
	13 T. Chin	PK2-6Y01					
	14 Peng	PK2-6D46					
	72 Powell	PK2-6A33					
	73 Kim	PK2-6A21					
	74 Hierpe	PK2-6R01					
	75 Saras	PK2-6A01					
	78 Shalwala	PK2-6D02					
	61 Voeltz	PK2-5A25	Hoffman	PK2-5D45			
	62 Hafliz	PK2-5A41					
	63 Taska	PK2-5A57					
	64 Trammell	PK2-5D58					
	65 MacDonald	PK2-5Y01					
	66 Hayes	PK2-5R01					
	67 Swann	PK2-5A01					
	SFC: Salotto	PK2-3A25					
			HSAEs:				
			A. McCloud	PK2-3A23			
			V. Green	PK2-3A21			
			E. Green-Croom				
				PK2-3A19			

Tech Center/ Group	Art Unit/SPE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info			
6 - 2800	11 Thomas	CP4-4D01	Payton	CP4-5C23	CP4 - 3C32	7:35	full service on all machines	Directors: CP4-11D37	Unmatched papers batched	
	14 Chaudhuri	CP4-4D02		10:30		S. Levy	CP4-8D19		response & other.	
	15 Saadal	CP4-4E02		1:25	"Official" machines in CP4-3C23; unofficials in following locations:	R. Hille	CP4-8D19			
	22 Whitehead	CP4-4B38				M. Focanno	CP4-8D19		Pink paper is used to batch all 1 hr. turnaround.	
	73 Epps	CP4-4E16				J. Howell	CP4-6D39		Responsive matched and dropped off in 8C26	
	71 Sikes	CP4-5E16	Royall	CP4-6D26		CP4-5B15	Examiner mailboxes are located in SPE offices			
	72 Spyrou	CP4-5D01								
	74 Bovernick	CP4-5B02								
	76 Hajec	CP4-6B28								
	77 Font	CP4-5E02								
	78 Westlin	CP4-5B24								
	17 Pascal	CP4-6D01	Johnson	CP4-7C23						
	19 Tokar	CP4-7A15								
	57 Hof	CP4-7D07								
	75 O'Shea	CP4-6E02								
	79 Patel	CP4-6A09								
	16 Callahan	CP4-7E02	Hoppe	CP4-8B15						
	18 Nelms	CP4-7B02								
	21 Wong	CP4-7D25								
	53 Barlow	CP4-8B02								
	56 Williams	CP4-8E16								
	59 Gutierrez	CP4-7E16								
	37 Nappi	CP4-9B40	Taylor	CP4-9D32						
	52 Grfmley	CP4-9B14								
	55 Fuller	CP4-9D01								
	58 Ballato	CP4-8A15								
	62 Oda	CP4-8D37								
	35 Picard	CP4-10E16	O'Bryant	CP4-10E09						
	39 Stephan	CP4-11D17								
	51 Mejlahic	CP4-10E02								
	54 Burr	CP4-9E16								
	61 Le	CP4-9A01								



ATTACHMENT 5

Tech Center/ Group	Art Units/PE/ Room Number	Tech Support Team/Location	Mail Receipt Center	Mail Del. Times	Fax Machine Locations (no. mach)	Misc. Pickup/ Delivery Locations	Other Info
2800	31 Kincaid CP4-11B40	Vines CP4-11C24					
	32 Gellner CP4-11E14						
	33 Bradley CP4-10B02						
	34 Ramirez CP4-11D01						
	36 Gaffin CP4-10D17						
	38 Wong CP4-10D01						
	12 Niebling CP4-3B02	Coates CP4-3B11					
	13 Bowers CP4-3D01						
	23 Fahmy CP4-4D25						
	SPC: VACANT CP4-11B02						
		HSAEs:					
		J. Davis CP4-4D23					
		L. Hodge-Taylor CP4-11D21					
		B. Queen CP4-6A09					

PICKUP AND DELIVERY LOCATIONS			
Only the following locations will be visited by the contractor. No other stops are authorized. PLEASE DO NOT ASK THE CONTRACT EMPLOYEES TO MAKE UNAUTHORIZED STOPS. This delivery service is NOT intended to replace routine mail deliveries or the use of movers for large or bulky items.			
Pickup and Delivery Information provided below is not all inclusive but is primarily for illustration			
LOCATION	FREQUENCY	PICKUP	DELIVERY
INTERNAL TECH CENTER LOCATIONS:			
Tech Center Receptionist	twice daily	Cases	Elsewhere in center, Record Room, or other designated locations
Classification Unit	twice daily	Dispute cases / PCT Transfers	To other Tech Center Classif. Units Materials retrieved in other locations
Director's Office	twice daily	Miscellaneous materials	To designated locations Materials retrieved in other locations
Examiner Mailboxes (see Attachment 5 for locations in each Center)	twice daily	Cases, other materials	Tech Support team, other tech centers, classifiers, etc. Materials retrieved in other locations
HSAE Offices	twice daily	Miscellaneous materials	To designated locations Materials retrieved in other locations
Paralegal(s)	twice daily	Cases, other materials	Tech Support team, other tech centers, classifiers, etc. Materials retrieved in other locations

TC 2 (1700) to provide one joint location to be used for paralegals and SPRES

LOCATION	FREQUENCY	PICKUP	DELIVERY	NOTES
Program Analyst(s)	twice daily	Cases, other materials	Tech Support team, other tech centers, classifiers, etc. Materials retrieved in other locations	
SPRE's	once daily	Cases, other materials	Tech Support team, other tech centers, classifiers, etc. Materials retrieved in other locations	
SPEs	twice daily	Miscellaneous materials	To designated locations Materials retrieved in other locations	
Tech Support Team	twice daily	New and amended cases from racks Other materials	To examiner mailboxes (see att. 5) To mailboxes and other locations	
		Application Files	Pubs, Record Room, etc. on same run (files to be returned to file room are picked up under Applic. File Retrieval) Materials retrieved in other locations	
License and Review PK5, 3rd floor	twice daily	Cases, other materials	To designated locations Materials retrieved in other locations	
Cust. Service Center	twice daily	Cases, other materials	To designated locations Materials retrieved in other locations	
EXTERNAL LOCATIONS:				
Personnel (OHR)	once daily	Check pickup location in Rm. 707 daily even if no delivery from tech center required; stop at Rm 612 only if special request	deliver to tech center as marked deliver materials picked up in Tech Center	
PK1, 707				
STIC CM1, Lobby	once daily	Check STIC pickup point daily even if no delivery from tech center required	deliver sequence listing to examiner mailbox deliver sequence cases from OIPE.	This stop required for Tech Center 1 only

LOCATION	FREQUENCY	PICKUP	DELIVERY	NOTES
OIPE--Customer Service CP2, 6C17	twice daily	Check Cust. Svc. pickup point daily even if no delivery from tech center required	return cases to appropriate tech center location deliver cases from tech center	
Record Room (FIU) CP3, Lobby	twice daily set times req'd	Check Record Room pickup point daily even if no delivery from tech center required	deliver cases from tech center deliver cases to tech center	
Petitions CP4, 3D32	twice daily	Materials to be returned to tech center	return cases to appropriate tech center location deliver cases from tech center	
AIC Pat PK 2, 910	twice daily	Check mail boxes in Room 910 daily even if no delivery from tech center required	deliver to tech center as marked deliver materials from tech center	
PCT CP2, 8th floor	once daily	Cases to go back to tech center	deliver to tech center as marked deliver materials from tech center	
PUBS--Publishing Div. PK3, 905	twice daily	Printers rush cases	deliver to tech centers as marked Return applications to PUBS.	
PK3, 919	once daily	Check PUBS pickup point daily even if no delivery from tech center required	return cases to appropriate tech center location deliver cases from tech center	
ADMIN. COPY CENTER CP2, 6th floor	twice daily	Materials from tech centers and other locations	deliver to mail center for distribution	
Official Search Unit PK1, 605	once daily	Materials from tech centers	Tech Support team, other tech centers, classifiers, etc.	
Patent Academy CS4-700	2:00 PM/daily		deliver materials from tech centers	

## US DOCUMENT MAILING

For each application containing an office action to be mailed, the contractor will:

- Review the Office Action Summary (PTO-326 or PTO-90C) to determine if there are any attachments to be mailed. If any of the noted attachments are missing, the application should be promptly returned to the Government Representative.
- Verify the presence of an original and one copy of the office action. The last page of the original copy of the office action **must** have the **examiner's stamp and signature**; the last page of the copy of the action must have, at a minimum, the examiner's stamp. Any office action that has not been properly signed and/or stamped by the examiner should be promptly returned to the Government Representative.
- Determine the presence of a Notice of References Cited (PTO-892) and the appropriate reference copies. If the examiner has cited references which will be mailed with the office action, this form along with two copies of each cited reference must be present in the application. If any of the cited references are not present, the application should be promptly returned to the Government Representative.
- Quality check all reference copies. The contractor must perform the final quality check of all reference copies found in the application to insure their conformance with the standards in Attachment 4. If any of the cited references fail to conform to the contract standards, the application should be immediately taken to the copy center for recopying of the references.
- Verify that the identical serial number is shown on the application file jacket, all pages of the office action, and any attachments to be mailed. If there is a serial number discrepancy on any page of or attachment to the office action, the application should be promptly returned to the Government Representative.
- Verify that the office action is complete and legible. Pages in an office action normally are sequentially numbered. If the office action is incomplete and/or the copy of the office action is illegible, the application should be promptly returned to the Government Representative.

Prior to returning an application to the Government for correction, the contractor should PALM the case to the appropriate Team Leader.

The contractor shall insert the Office Action Summary form into the printer, ensuring that the form is correctly aligned in order for the mailing address and the date to print in the appropriate boxes. Using the PALM terminal connected to the printer, the contractor will:

- enter PALM code 1064 (10641 for next day's mailing) and
- scan the serial number bar code label on the application file jacket.

The contractor shall assemble the office action for mailing in accordance with the following.

#### **ORIGINAL COPY**

- Staple together the original copies of the office action, placing a staple in upper left-hand corner; insert the office action copy in the right-hand clamp of the file, under the prints; insert the reference copies under all papers in the center of the file.

#### **COPY**

- Fold and insert the office action into the appropriate size window envelope (i.e., piggyback if there are reference copies, legal size, white window envelope if there are not). If using a piggyback envelope, insert reference(s) and all but the first page of the office action into the large envelope. Fold and insert the first page of the office action in the window portion of the piggyback envelope, ensuring that the mailing address is clearly visible in the address window.

If there are more references cited than will fit into one piggyback envelope, the contractor will need to prepare additional address sheet(s) as needed for additional envelope(s). To do this, the contractor must:

- insert a blank piece of paper into the PALM printer,
- enter PALM code 1072, and
- scan the serial number bar code label on the application file jacket.

The mailing address for the application will print on the blank piece of paper which can then be folded and inserted in the window portion of a piggyback envelope. When an office action is mailed in multiple envelopes, each envelope must be clearly marked 1 of 2, 2 of 2, etc.

After endorsing the content side of the file jacket with the mailing date, the application will be delivered to the designated location (usually central files). The contractor **must** use **black ink** to annotate the mailing date on the file jacket.

#### **Notice of Allowance**

The contractor shall insert the Notice of Allowance (form PTO-85) into the printer, ensuring that the form is correctly aligned in order for the mailing address and the date to print in the appropriate boxes. Using the PALM terminal connected to the printer, the contractor will:

- enter PALM code 1062 and
- scan the serial number bar code label on the application file jacket.

The mailing address, mailing date, issue batch number, and issue fee will print in the appropriate boxes on the PTO-85.

The contractor shall assemble the Notice of Allowance for mailing in accordance with the following.

- Staple together the last page (file copy) of the PTO-85 and any attachments, placing a staple in the upper left-hand corner; insert the copies in the clamp on the right hand side of the file jacket under the prints.
- Fold and insert all remaining copies of the PTO-85 into the window envelope ensuring the mailing address is clearly visible in the address window. Securely seal the envelope and place in the outgoing mail pickup location.

In the appropriate boxes on the face of the file jacket, the contractor shall record the following information from the PTO-85:

- Notice of Allowance mail date,
- Issue Fee (amount Due), and
- Issue Batch Number.

After endorsing the content side of the file jacket with the mailing date of the Notice of Allowance, the contractor shall deliver the application to the designated location.

## PCT MAILING

As part of their review of National Stage Applications, Chapter II Demands, and Substitute Sheets, the PCT paralegals generate various forms which must be mailed. The Tech Centers prepare International Search Reports, Written Opinions, and International Preliminary Examination Reports and return them to PCT for review and mailing. The contractor should process each document type in accordance with the following instructions.

### Processing DHL Mailing

At the end of each day, the contractor will process DHL boxes to prepare them for mailing. For each box, the contractor must print an address label and a manifest. After weighing and closing each box, the contractor will affix the appropriate label to each box and will place the box(es) in the designated location for pickup by the DHL courier. The manifest(s) will be delivered to the designated Government Representative.

### (Request for) Demand Processing

A demand is a request for preliminary examination of the application filed under Chapter II of the PCT. The applicant-submitted demand initiates the process which results in an examiner-prepared International Preliminary Examination Report. To prepare a demand for mailing, the contractor is required to:

- quality check all copies to ensure they conform to the standards specified in Attachment 4;
- verify that a signature or initials are present on the PCT/IPEA/402;
- verify that the mailing address shown in the address box on the PCT/IPEA/402 is the same mailing address printed in the address box on the face of the file; and
- verify that the international application number and the applicant's name on the PCT/IPEA/402 are identical to those on the PCT/IPEA/401.

If any of the required information does not match or is missing, the application must be returned to the Government Representative.

In the "Date of Mailing" box on the front page of any PCT/IPEA/4nn form that is present in the application and is ready for mailing, the contractor must stamp the mailing date in day/month/year sequence. The stamped mailing date **must** be identical to the meter date which will be applied in the PTO mailroom prior to delivery to the US Post Office. The contractor will then assemble document sets for mailing in accordance with the following.

- The **original** PCT/IPEA/401, a copy of the PCT/IPEA/401 fee calculation sheet, and a copy of the PCT/IPEA/402 are sent to the IB. If there are additional PCT/IPEA/4nn forms, copies of each of the forms should be stapled behind the PCT/IPEA/401 and 402 forms. The **original** of any other document(s) (e.g., power of attorney) which must go to the IB are attached to the back of the package. This bundle of forms is placed in a DHL box for mailing to the IB.



- A **copy** of the PCT/IPEA/401, the **original** PCT/IPEA/401 fee calculation sheet, the original PCT/IPEA/402, and a **copy** of any other documents going to the IB must be inserted under the center clamp in the Search Copy file jacket. The **original** of any additional PCT/IPEA/4nn forms going to the IB are fastened under the right hand clamp in the Search Copy file jacket.
- A **copy** of any PCT/IPEA/4nn forms, **except** the PCT/IPEA/401, along with copies of any other documents sent to the IB are inserted into a window mailing envelope with the applicant's address clearly visible in the window.

The contractor will endorse the content side of the file jacket with the mailing date. On the salmon-colored tag (PTO-1557) attached to the file jacket, the contractor must complete the following information:

- Docket Date: Mailing date of the PCT IPEA/402;
- Form 408 (Opinion) Due Date: Calculate 2 months from the PCT/IPEA/402 mailing date.

The Opinion Due Date also must be entered on form PTO-1561 which is located in the center section of the application file.

Using a PALM terminal, the contractor shall enter the following PALM transactions for each of the following form letters present.

- If there is a PCT/IPEA/402
  - key 1963 and scan the application bar code label;
  - key 1964 and the GAU (Group Art Unit) and scan the application bar code label;
  - forward the application to the appropriate Tech Center.
- If there is a PCT/IPEA/403
  - key 1963 and scan the application bar code label;
  - key 1034 and location code 5100 and scan the application bar code label;
  - forward the application to the appropriate location in PCT.
- If there is a PCT/IPEA/404
  - key 1963 and scan the application bar code label;
  - key 2934 and scan the application bar code label;
  - enter the following data on the input screen:
    - status code 251 and
    - "Y" in the "O.K. to update" box, then
    - press enter key;
  - key 19611 and scan the application bar code label;
  - forward application to the designated location;

- if EPO is in the GAU box on the face of the application file or there is no signature on the PCT/IPEA/401, Box VII:
  - key 1034 and location code 5100 and scan the application bar code label, and
  - forward the application to the appropriate individual in PCT.

### National Stage Applications

National Stage Applications are U.S. applications filed under PCT 35 U.S.C. 371. The PCT paralegals will review each application for acceptability, prepare various form letters for mailing, will endorse the content side of the file jacket with the appropriate form letter number(s), and will place the application in the designated pickup location.

Using a PALM terminal and the Government-supplied sheet containing a bar code identifier for each paralegal assigned to DO/EO, the contractor must key in the PALM code for the type of form letter being mailed and scan the bar code identifier for the paralegal who signed the form letter. After scanning the serial number bar code label on the application file jacket, the contractor shall enter the appropriate PALM code for each of the following form letters present:

- PCT/DO/EO/903 (Notification of Acceptance Of Application Under 35 U.S.C. 371 and 37 CFR 1.494 or 1.495) -- PALM code 1663;
- PCT/DO/EO/904 (Notification of Missing or Insufficient Payment of Basic National Fee Required Under 35U.S.C. 371 and 37 C.F.R. 1.494 or 1.495) -- PALM code 1662;
- PCT/DO/EO/905 (Notification of Missing Requirements Under 35 U.S.C. 371 in The United States Designated/Elected Office (DO/EO/US)) -- PALM code 1668;

(An attachment may be required with this form. The attachment is either Form PCT/DO/EO/917 (Notification of a Defective Oath or Declaration), Form PTO-875 (Patent Application Fee Determination Record) or PCT/DO/EO/913 (Notice of Defective Translation.)

- PCT/DO/EO/906 (Notice of Missing Requirements For Obtaining a 35 U.S.C.102.(e) Date) -- PALM code 1679;
- PCT/DO/EO/907 (Notice of 35U.S.C. 102(e) Date) -- PALM code 1666;
- PCT/DO/EO/908 (Notice of Cancellation of Assigned Serial Number) -- PALM code 1662;
- PCT/DO/EO/911 (filing of 35 U.S.C. 111 Application) -- PALM code 1662;
- PCT/DO/EO/912 (Notice of Insufficient Basic National Fee Required Under 35U.S.C.371 and 37 C.F.R. 1.494 or 1.495) -- PALM code 1662;
- PCT/DO/EO/913 (Notice of Defective Translation) -- PALM code 1674; and
- PCT/DO/EO/916 (Notification of a Defective Response) -- PALM code 1674.

Using the PALM terminal and printer, the contractor shall:

- insert the Form letter into the PALM printer,
- enter PALM code 1664 to indicate the current date as the mailing date (for mail which will receive a PTO mailroom meter date of the next day, the contractor shall use PALM code 16641),
- scan the serial number bar code on the application, and
- strike the print key to activate the printer which will begin to print the
  - address,
  - date (current or next day's),
  - US application serial number,
  - PCT application serial number,
  - priority date, and
  - filing date.

Prior to mailing, the contractor should make a copy of the form and any attachment(s). The original copy of the letter and any attachments are inserted under the right hand clamp in the application file. The copy of the letter and any attachments are inserted into a window-mailing envelope with the address clearly visible in the window. The contractor shall record the mailing date next to the entry on the content side of the file jacket and perform the necessary PALM transaction.

When required to mail PCT/DO/EO/909 (Notification Of Abandonment), the contractor shall use the PALM terminal and:

- enter PALM code 1036,
- scan the serial number bar code label on the application,
- enter PALM code 5630, and
- scan the appropriate Paralegal bar code.

Next, the contractor will use the PALM terminal and printer and shall:

- insert the appropriate form letter into the PALM printer,
- enter PALM code 1664 to indicate the current date as the mailing date, (for mail which will receive a PTO mailroom meter date of the next day, the contractor shall use PALM code 16641),
- scan the serial number bar code on the application, and
- strike the print key to activate the printer which will print the
  - address,
  - date (current or next day's),
  - US serial number of the application,
  - PCT application serial number,
  - priority date, and
  - filing date.

After making a copy of the form(s) and any attachment(s), the contractor shall assemble the documents as follows:

**ORIGINAL**

- Insert the original copy of the letter and any attachments under the right hand clamp in the application.

**COPY**

- Fold and insert the copy of the letter with any attachments into a window envelope, ensuring the address is clearly visible in the envelope window. Securely seal the envelope and place it in the designated location for mailroom pickup.

After endorsing the content side of the file jacket with the mailing date, the contractor shall use a PALM terminal to perform the appropriate PALM transaction. The contractor will deliver updated applications to the designated location(s):

- PCT/DO/EO/903 = place in designated location for PACE entry,
- PCT/DO/EO/909 = place in designated location for return to DO/EO,
- All other PCT DO/EO deliver to central files .

**Substitute Sheets**

The Government will prepare the various PCT/RO/nnn Forms and associated documents for mailing, complete an instruction sheet, insert the forms, documents, and instruction sheet into the appropriate application file, and place the file in the designated pickup location for contractor processing.

The contractor shall verify that the correct number of copies were made; check each form for the paralegal's signature; date each form with the current date; and assemble the documents for mailing in accordance with the following:

**ORIGINAL**

- Rubber band or staple together one copy of all forms and the original documents. Place the copies of forms and the original documents in a DHL box to be sent to the IB.

**COPY**

- Insert the set of original forms and a copy of the documents in the Home Copy file jacket :
  - insert original forms in right hand clamp,
  - insert Power of Attorney papers in center clamp,
  - substitute sheets/drawings

- remove old drawing(s) or pages from under center clamp of application; stamp "Replaced By RO/US" on upper right hand corner of the first sheet, and insert under right side clamp,
- insert the corresponding replacement drawing(s) or pages in the appropriate location under center clamp of application, and
- insert all forms under right clamp of application.

#### **COPY**

- If an application has a BLUE tag or EP designation in the Group Art Unit Box on front of the application file, rubber band or staple together one set of copies of forms and original documents and place in DHL box to be sent to the EP.
- If an application is a U. S. application (no EP designation or it has a WHITE tag), write "SC" in upper left hand corner of the first sheet and staple one copy of forms and documents to the left flap.

After endorsing the content side of the file jacket with the mailing date, the contractor shall use a PALM terminal to

- enter code 2934, wand the serial number bar-code label, enter response date (red date entry on content side of application file jacket), then enter mail date and
- enter code 1034-50C0, and wand the serial number bar-code label.

The updated application is delivered to central files for filing.

#### **PCT/ISA/220 (International Search Report)**

An examiner search report is composed of a form PCT/ISA/220 and a PCT/ISA/210. In each application file to be processed by the contractor, there should be a signed original and up to four copies of the search report with copies of the cited references as appropriate. Normally, reference copies will be provided for inclusion in the application file and mailing to the applicant. Copies for mailing to the EPO and/or the JPO will be present only if required by the paralegal. Reference copies are not mailed to the International Bureau (IB).

The contractor is required to:

- quality check all copies to insure they conform to the standards specified in Attachment 4;
- verify that the mailing address shown in the address box on the PCT/ISA/220 is the same mailing address printed in the address box on the face of the file jacket;
- verify the international application number and the applicant's name on the PCT/ISA/220 are identical to those on the PCT/RO/101;
- verify the presence of the correct international application number on all pages of the PCT/ISA/210; and

- verify the presence of the appropriate number of copies for all references listed on the PCT/ISA/210 signature page.

If any of the identifying information does not match or is omitted or if references are missing, the application must be returned to the Government Representative.

The contractor shall stamp the mailing date in the "Date of Mailing" box on the PCT/ISA/220 and in the "Date of Mailing of the International Search Report" box on the signature page of the PCT/ISA/210. The stamped mailing dates must be identical to the meter date which will be applied in the PTO mailroom prior to delivery to the US Post Office.

The contractor shall assemble sets for mailing in accordance with the following.

**ORIGINAL COPY**

- Insert the forms in the right hand clamp of the Search Copy (pink) file; place one set of the reference copies in the clamp in the center of the file under the other papers.

**COPY 1**

- Place the forms in a DHL box to be sent to the IB.

**COPY 2**

- Insert the forms and a set of reference copies into a piggyback envelope, folding and inserting the PCT/ISA/220 form so the address clearly shows in the envelope window.
- Securely seal the envelope and place in the designated location for mailroom pickup.

**COPY 3**

- Insert the forms and, if indicated by the paralegal, the appropriate reference copies into the DHL box to be mailed to the EPO.

**COPY 4**

- Insert the forms and, if indicated by the paralegal, the appropriate reference copies into the DHL box to be mailed to the JPO.

After endorsing the content side of the file jacket with the mailing date, the contractor shall use a PALM terminal to:

- enter PALM code 1686-210 then scan the serial number bar code label on the application file wrapper and
- enter PALM code 1034-50C0 then scan the serial number bar code label on the application file wrapper.

The updated Search Copy file is delivered to central files for filing.

**PCT/IPEA/408 (Written Opinion)**

An examiner's written opinion is contained on a Form PCT/IPEA/408 (cover and followon sheets); cited references copies may also be part of the written opinion. There should be a signed original and one copy of these documents in each application file retrieved by the contractor for processing. The contractor shall:

- quality check all copies to insure they conform to the standards specified in Attachment 4;
- verify the exact number of PCT/IPEA/408 sheets to be mailed;
- verify that the mailing address shown in the address box on the PCT/IPEA/408 (coversheet) is the same mailing address printed in the address box on the face of the file jacket;
- verify the international application number and the applicant's name on the PCT/IPEA/408 (coversheet) are identical to those on the PCT/RO/101; and
- verify the presence of the international application number on all pages of the PCT/IPEA/408.

If any of the identifying information does not match or is omitted or if references are missing, the application must be returned to the Government Representative.

The contractor shall stamp the mailing date (insuring it is identical to the METER date which will be applied in the PTO mailroom) in the "Date of Mailing" box on both the original and the copy of the PCT/IPEA/408 (coversheet) and shall assemble the copies for mailing in accordance with the following:

**ORIGINAL**

- Insert the documents in the right hand clamp of the Search Copy file; place copies of any references cited in the clamp in the center of the file wrapper under the other papers.

**COPY**

- Insert the documents into the appropriate size envelope (i.e., piggyback if there are reference copies, legal size, white window envelope if there are not) ensuring the mailing address is visible in the window.

After endorsing the content side of the file jacket with the mailing date, the contractor shall use a PALM terminal to

- enter PALM code 1970, then enter the time to reply (1 or 2 mos.) from the "Reply Due" box on the PCT/IPEA/408;
- scan the serial number bar code label on the application file wrapper;
- enter PALM code 1034-50C0; and

- scan the serial number bar code label on the application file wrapper.

The updated application is delivered to central files for filing.

**PCT/IPEA/409 (International Preliminary Examination Report)**

Form PCT/IPEA/409 is the preliminary examination report rendered by the examiner. A complete International Preliminary Examination Report consists of

- Form PCT/IPEA/416 and
- Form PCT/IPEA/409 (coversheet and other appropriate sheets).

There should be a signed original and up to three copies of the documents in each application file retrieved by the contractor for processing. The contractor shall

- quality check all copies to insure they conform to the standards specified in Attachment 4;
- check the PCT/IPEA/409 coversheet, block 3, to determine the exact number of PCT/IPEA/409 sheets to be mailed;
- verify that the required number of any references cited on the form PCT/IPEA/409, Box V sheet, item 2 are present;
- verify that the mailing address shown in the address box on the PCT/IPEA/416 is the same mailing address printed in the address box on the face of the file jacket;
- verify the international application number and the applicant's name on the PCT/IPEA/416 are identical to those on the PCT/RO/101; and
- verify the presence of the international application number on all pages of the PCT/IPEA/409.

If any of the identifying information does not match or is omitted or if references are missing, the application must be returned to the Government Representative.

In addition to the PCT/IPEA/409 sheet(s) to be mailed, there may be "Annexes" i.e., amended specification, claim, and/or drawing sheets. The Government will have stamped these pages "Amended" and/or "Substitute." The contractor shall check the PCT/IPEA/409 coversheet, item 2 to determine the exact number of "annexes" to be mailed. If insufficient copies of the required annexes are present, the application should be returned to the Government Representative.

The contractor shall stamp the mailing date (insuring it is identical to the meter date which will be applied in the PTO mailroom) on the original and all copies of form PCT/IPEA/416 in the "Date of Mailing" box and shall assemble the copies for mailing in accordance with the following:



**ORIGINAL**

- After moving the original pages being replaced from the center section of the application and inserting them in the right hand clamp of the application file, insert the pages stamped "amended" and/or "substitute" in the clamp in the center section of the application; place copies of any references cited in the clamp in the center of the file wrapper under the other papers.

**COPY 1**

- Insert the documents into the appropriate size envelope (i.e., piggyback if there are reference copies, legal size, white window envelope if there are not) ensuring the mailing address is clearly visible in the address window.

**COPY 2**

- Bundle associated documents (excluding any reference copies) and insert into DHL box to be sent to the IB.

**COPY 3**

- Process as instructed in cases where there is a special mailing request.

After endorsing the content side of the file jacket with the mailing date, the contractor shall use a PALM terminal to:

- enter PALM code 1974,
- scan the serial number bar code label on the application file wrapper,
- enter PALM code 1975,
- scan the serial number bar code label on the application file wrapper,
- enter PALM code 1034-50C0, and
- scan the serial number bar code label on the application file wrapper.

The updated application is delivered to central files for filing.

## PCT FILE ASSEMBLY

### INTERNATIONAL APPLICATIONS

At least three times each day, the contractor shall go to the designated pickup location and retrieve the new applications papers to be processed. The contractor shall check the application's "Request Form (PCT/RO/101) – signature page" and "Fee Calculation Annex Sheet" (block VII) to determine whether the designated Searching Authority is the USPTO or the European Patent Office (EPO). If each of these forms contain a different designation, the applications package should be referred to the Government Representative for instructions.

#### US Designated Searching Authority

To verify that the applicant has the right to use the USPTO as the application receiving office, the contractor must review boxes II and III on the PCT/RO/101 to determine that at least one of the applicants (1) is a US citizen or (2) shows a US residence address.

If the contractor determines the applicant appears not to have the right to use the US as the receiving office, the contractor shall process the application as described below but shall create only an Official Copy (OC) file folder to which a "Rule 19.4" tag must be attached.

After verifying that the USPTO is designated as the searching authority, the contractor shall prepare THE

- OC file folder and
- Search Copy file jacket (pink file jacket).

The Government will supply bar code labels and serialization stamps for the contractor's use. Three labels for each sequential application serial number are produced by the PALM system: One label contains the serial number preceded by 41 to indicate the Official Copy (OC), one label contains the serial number preceded by 40 to indicate the Search Copy, and one label contains the serial number preceded by 44 to indicate a Chapter II request.

Selecting the next unused sequential serial number (working on a "first in first out" basis), the contractor shall affix a 41-series bar code label to the OC file folder. The corresponding 40-series bar code label is affixed to the Search Copy file jacket directly over the word "Content." The corresponding 44-series bar code label is taped to the inside flap of the Search Copy file jacket. After setting the serialization hand stamp to reflect the serial number on the affixed bar code labels, the contractor shall hand stamp the OC file folder and Search Copy file jacket on the front of each file in the box marked International Application Number. A white Search Copy tag is stamped with the serial number and attached to the Search Copy file jacket.

The contractor shall hand stamp the serial number on the PCT Application documents as follows:

- Request Form (PCT/RO/101) – on the first page in the box marked “International Application No.” at the top right corner and on each subsequent page in the upper right corner;
- Fee Calculation Sheet – on the first page in the “International Application No.” box at the top left corner;
- Acknowledgement postcard – on the back in any available space;
- Transmittal letter – on each page in the upper right corner;
- The envelope containing DNA diskette (if present);
- The envelope containing the PCT EASY diskette (if present);
- CFR Transmittal Sheet (if DNA diskette is present); and,
- Applicant-supplied Priority Documents.

In addition, the contractor shall stamp the receipt date on the following PCT application documents:

- acknowledgement postcard,
- signature page of Form RO/101,
- form 1382 or other transmittal letter,
- OC file folder,
- search Copy file jacket,
- envelope containing DNA Diskette (if present),
- envelope containing PCT Easy Diskette (if present), and
- CRF transmittal letter (if applicable).

The contractor shall insert all documents into the OC file folder. The OC file folder and the Search Copy file jacket shall be secured together using rubber bands. Using a PALM terminal, the contractor shall key in 1002 then scan the bar code label to activate the OC file copy label; an identical transaction must also be performed for the Search Copy. The contractor shall use PALM code 5050 and deliver the applications to RAM.

After the applications are returned from RAM, the contractor shall prepare the pages of the application documents to be scanned. The application papers shall be processed as follows.

1. Identify and separate documents to be scanned and not to be scanned, inserting the appropriate bar code separator sheet between the various documents (see Appendix A).
2. Remove all staples and clips from material to be scanned. Be careful to keep pages of each individual document together.
3. Complete the “Inventory of Non-Scannable Items Check Sheet.”

The contractor shall separate the post card receipt from the application package. The contractor shall verify

- items listed on the post card match the documents contained in the applications papers,
- the correct serial number and mail receipt date have been stamped on the back of the post card, and
- the mailing address and postage are present on the front of the card.

If no mailing address is present or if the mailing address shown is the PTO's, the contractor shall place a clean white label over the address and shall enter the applicant's name and address on the label. The post card shall then be placed in the appropriate location to be picked up by the mailroom.

The contractor shall insert all documents into the OC file folder in the correct order for scanning, securely band the OC file folder and the Search Copy file jacket and place in the designated area to be forwarded to scanning.

### **DNA Sequence Applications**

If the international application includes a DNA Sequence Diskette, the assembly of the application remains the same. However, prior to forwarding the application to RAM, the contractor shall attach a PCT Data Diskette label to the diskette, stamp the application serial number on the label (being careful not to obliterate the lines for examiner and Art Unit information), and insert the labeled diskette into a small brown envelope. After completing the top portion of the required PCT CFR Submission form by stamping the serial number on the top line and filling in the processing drop off date and the filing date, the contractor shall attach the diskette to the submission form and place the package in the designated location for pickup by STIC personnel. For each sequence application, the contractor shall enter PALM code 1002 and the serial number (including the 40, 41, or 44 prefix) from the bar code label, scan the serial number bar code label, then enter code 1194.

### **PCT EASY program**

International application papers may be filed under a program called PCT EASY. The contractor shall review each new application's transmittal letter to determine if the applicant has selected this program and shall look for the presence of a PCT EASY Request Form. The contractor shall assemble the application as directed above.

If the application contains a PCT EASY diskette, the contractor shall stamp the application serial number on the diskette's label. Using a PC containing the PCT EASY database, the contractor shall insert the diskette into the PC and update the diskette with the mail date and serial number. The diskette is then placed in a small brown envelope and attached to the OC file folder.

PCT EASY applications should contain a PCT EASY survey form. The contractor shall make three copies of the survey form and insert the forms into the OC file folder. A purple tag with the word "EASY" written in large block letters shall be attached to the OC file folder.

The contractor shall assemble the applications for scanning and place all PCT EASY applications together in one storage container. For each application, the contractor shall enter PALM code 1002 to activate the bar code label and then scan the serial number bar code label; an additional PALM code of 2920 must then be entered for each application. The application is then be placed in the designated location for RAM processing.

After RAM processing the applications are prepared for scanning as above and placed in the designated area for pickup for scanning.

### **EP Designation**

If the applicant has designated the EPO as the search authority, the contractor shall process the applications in accordance with the above instructions except only the OC file folder is prepared. The OC bar code label (Series 41) is attach to the OC file folder; the other series labels (40 and 44) are taped inside of the OC file folder. A blue tag with the PCT serial number stamped on the front and back above the word "Record Copy" is attached to the OC file folder.

If there is a DNA diskette with the application papers, the contractor shall process the application in accordance with the above instructions except the contractor must complete two copies of the CFR form. One copy of the form is attached to the diskette envelope; the second copy of the form along with the diskette envelope is inserted into the OC file folder.

### **NATIONAL STAGE APPLICATIONS**

National Stage applications are received daily in the Document Management Division (DMD) of the PCT Office. At least three times each day, the contractor shall go to the designated pickup location and retrieve the new applications papers to be processed.

The Government will supply yellow/green file jackets, bar code labels, and serialization stamps for the contractor's use. Selecting the next unused sequential serial number, the contractor shall affix the serial number label on the "Contents" side of the file jacket over the top edge of the word "Content." After setting the serialization hand stamp to reflect the serial number on the affixed bar code label, the contractor shall stamp the serial number on the transmittal letter (PTO-1390) in the box designated "U.S. application number." The contractor also shall stamp the express mail date and the serial number on the backside of each page in the application package. Finally, the contractor shall stamp U.S. 371 on the file

jacket directly over the words "U.S. Utility Patent Application" and shall write the PCT international application number in the upper right hand corner of the content side of the file wrapper.

The contractor shall insert an IB green card in each application file jacket. After assembling the applications papers (with the IB green card on top of the package) and binding the entire package with a binder clip, paper clip, or rubber bands, the contractor shall insert the package into the file wrapper and place one or more rubber bands around the file. If present, the check, assignment form, and/or the transmittal letter showing a charge authorization must be stapled to the left flap of the file jacket. If no fees are present, a "No Fee" tag is stapled to the content side of the application.

The contractor shall separate the post card receipt from the application package, verify that the correct serial number and mail receipt date have been stamped on the back of the post card and a mailing address is present on the front of the card. If no mailing address is present, or if the mailing address shown is the PTO's, the contractor shall place a clean white label over the address and shall enter the applicant's name and address on the label. The post card shall then be placed in the appropriate location to be picked up by the mailroom.

After assembly of a national stage application, the contractor shall use a PC to activate the serial number. For each application the contractor shall enter:

- Mail Room Date
- Effective Receipt Date
- Application Number
- Express Mail Tracking Number
- International Application Number
- International Filing Date
- Post Card Mailed?
- No Postage (if applicable)
- No Address (if applicable)
- Post card and application Mismatch (if applicable)
- Description (if applicable)
- Biochemical Diskette Received ? (if applicable)

Next, using a PALM CRT (see Appendix C for data entry screen), the contractor shall:

- enter Code 2905 and press the enter key,
- scan the serial number bar code label on the application file jacket,
- set "Delay Waived" flag,
- set "Demand Received" flag,
- enter transaction code 5050, and
- forward the application to RAM.

**DNA Sequence Applications**

If the national stage application papers are filed with a DNA Sequence Diskette, the assembly of the application remains the same. To process the DNA Sequence Diskette, the contractor shall attach a PCT Data Diskette label to the diskette, stamp the application serial number on the label, insert the labeled diskette into a small brown envelope, and complete the required PCT CRF Submission form. The diskette is attached to the submission forms and placed in the designated location or pickup by STIC personnel. For each sequence application the contractor shall enter PALM code 1669, the PCT international serial number (including the 40, 41, or 44 prefix) from the bar code label, and the US serial number; scan the serial number bar code label; then enter code 1194.

APPENDIX D  
ASSEMBLING PCT APPLICATIONS FOR SCANNING

Application papers for each new international application must be assembled and scanned in the following order.

1. SEP SHEET – New International Application
2. SEP SHEET – New International Application – Request Form – **Conventional**
  - **First Sheet** of Request Form
  - **Any Continuation Sheets** of Request Form
  - **Second Sheet** of Request Form
  - **Any Supplemental Sheets** of Request Form
  - **Last Sheet** of Request Form
  - **Annex** (also known as Fee Calculation Sheet)

OR

SEP SHEET – New International Application – Request Form – **PCT EASY**

- **All Sheets** of Request Form
  - **Annex** (also known as Fee Calculation Sheet)
  - **PCT EASY** Information Sheet
3. SEP SHEET – Full Text OCR
  4. SEP SHEET – New International Application – Description
    - **All Sheets** of description
  5. SEP SHEET – New International Application – Claims
    - **All Sheets** of claims
  6. SEP SHEET – New International Application – Abstract
    - **Sheet** of abstract
  7. SEP SHEET – Stop Sending OCR



8. SEP SHEET – Drawings

- All sheets of drawings

9. SEP SHEET – New International Application – Sequence Listing

- All Sheets of sequence listing (if present)

10. SEP SHEET – New International Application – Other Scannable Documents

Including but not limited to (placement order is not critical):

- Cover letter (free form or Form PTO-1382)
- All separate Powers of Attorney
  - ❖ PCT Model Power of Attorney
  - ❖ PCT Model General Power of Attorney
  - ❖ Free form Power of Attorney
- Statement explaining lack of signature (rare)
- Separate indication concerning deposited microorganism  
(Form PCT/RO/134)
- Certificate of Express Mail or Express Mail envelope label
- Assignment
- Request to inspect and make copies
- Form PCT/RO/102(b)

11. SEP SHEET – New International Application – Inventory of Unscannable Items







4/10/79

PCT

REQUEST

The undersigned requests that the present International Application be processed according to the Patent Cooperation Treaty.

The receiving Office uses only

International Application No. **99 / 17035**

International Filing Date

Name of Receiving Office and "PCT International Application"

Affiliation of the applicant (if applicable) (23 characters maximum) A/P-98035

**Title of Invention**  
**SUBSTITUTED QUINAZOLINE DERIVATIVES**

**Applicant**

**AMERICAN HOME PRODUCTS CORPORATION**  
a corporation of the State of Delaware  
Five Quaker Farms  
Madison, New Jersey, 07040-0874  
United States of America

☐ This patent is also requested

Telephone No.  
(610) 602-2635

Facsimile No.  
(673) 683-4117

Telex No.

**State (and its country) of nationality:** US

**State (and its country) of residence:** US

**This person is applicant:** ☒ **Individual** ☐ **Entity** ☐ **United States entity** ☐ **Foreign entity**

**Name, title, function, address, and nationality of the person(s) authorized to sign the application:**

**CLIFFORD B. CONRAD**  
58 Valley Drive  
Portonville, New York, 10870  
United States of America

☐ This person is:  
☐ applicant only  
☐ representative only  
☒ inventor only (if he is the sole inventor)

**State (and its country) of nationality:**

**State (and its country) of residence:**

**This person is applicant:** ☐ **Individual** ☐ **Entity** ☐ **United States entity** ☐ **Foreign entity**

**Name, title, function, address, and nationality of the person(s) authorized to sign the application:**

**ALBERT C. COLLIER**  
ALBERT C. COLLIER RESEARCH, INC.  
One American Home Products Corporation  
Patent Law Department - 2B  
One Campus Drive  
Parsippany, New Jersey, 07054  
United States of America

☐ This person is:  
☐ applicant only  
☐ representative only  
☐ inventor only (if he is the sole inventor)

**Address (and its country) of the applicant:**

**Address (and its country) of the applicant:**

**Address (and its country) of the applicant:**

**Address (and its country) of the applicant:**

**Applicant's Name**  
**ARNOLD S. MILOWSKY**

**Applicant's Address**  
**AMERICAN HOME PRODUCTS CORPORATION**

**Applicant's Address**  
**PATENT LAW DEPARTMENT - 2B**

**Applicant's Address**  
**ONE CAMPUS DRIVE**

**Applicant's Address**  
**PARSIPPANY**

**Telephone Number**  
**610-602-2635**

**Applicant's Address**  
**NEW JERSEY**

**Facsimile Number**  
**973-683-4117**

**Applicant's Address**  
**UNITED STATES**

**Telex Number**

**Applicant's Address**  
**07054**

**Email Address**

**Correspondence Address**

**Check the box(es) indicating the correspondence address(es) to which the application should be sent:**

**Applicant's Address**

**Applicant's Address**  
**Applicant's Address**

**Applicant's Address**  
**Applicant's Address**

**Applicant's Address**  
**Applicant's Address**

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**Applicant's Address**

**Applicant's Address**  
**Applicant's Address**

10-05

PCT

REQUEST

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only

International Application No. **PCT/US99/17035**

International Filing Date

Name of Receiving Office and PCT International Application No. (if different from above) **USP-99-0003**

Best No. 1 TITLE OF INVENTION  
**SUBSTITUTED QUINAZOLINE DERIVATIVES**

Best No. 2 ABSTRACT

Best No. 3 SUMMARY OF THE INVENTION (This field is optional for the applicant, but it is recommended that it be included. It should be a brief, clear, and concise statement of the nature of the invention, its objects, and its advantages. It should not exceed 15% of the total length of the application.)

**AMERICAN HOME PRODUCTS CORPORATION**  
a corporation of the State of Delaware  
Five Quinola Farms  
Madison, New Jersey, 07940-0874  
United States of America

State (and its country) of residence: **US**

Best No. 4 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

Best No. 5 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

**GLETSOS, Constantine**  
68 Halsey Drive  
Pomona, New York, 10970  
United States of America

State (and its country) of residence: **US**

Best No. 6 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

Best No. 7 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

**WILCHINSKY, Arnold B.**  
American Home Products Corporation  
Patent Law Department - 28  
One Campus Drive  
Parsippany, New Jersey, 07054  
United States of America

State (and its country) of residence: **US**

Best No. 8 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

Best No. 9 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

Best No. 10 FULLER APPLICATION AND/OR OTHER RELEVANT DOCUMENTS

Processing Application Information

Agent for Applicant: **PCT/US99/17035**

10-05

Agents for Applicant: **PCT/US99/17035**

(Legal Name)

(Family Name)

(Given Name)

(Middle Name)

(Suffix)

(First Name)

(Last Name)

(Common Name)

(Other Name)

(Other Name)

(Other Name)

(Other Name)

(Other Name)

(Other Name)

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(Other Name)

(Other Name)

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(Other Name)

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(Other Name)

(Other Name)

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(Other Name)

(Other Name)

(Other Name)

(Other Name)





1. If in any of the boxes the space is insufficient to provide all the information in such code, write "Continuation of Box No. ..." and indicate the number of the Box. And include the information in the same manner and type as according to the caption of the boxes which the codes were identified. In particular:



TARNOWSKI, George; SELFERT, Arthur G.;  
MLOWISKY, Arnold B.; ECK, Steven R.;  
BARRETT, Rebecca R. and NAGY, Michael R.

American Home Products Corporation  
Wyeth-Ayerst Laboratories Division  
P. O. Box 8209  
Philadelphia, PA 19101  
United States of America

**Telephone:** (610) 802-2835  
**Facsimile:** (610) 888-0273

WILLEMANN, David Fennell; CONNELLY, Michael John; WALTERS, Philip Bernard; WILLIAMS, Sally Kim and TALBOTT, Owen Jacobus

400 Wyrath Laboratories  
Hunnamonde Lane South  
Tadew, Madonhead,  
Bentshire BUS 094  
G9

**Telephone:** (0828) 604377  
**Facsimile:** (0828) 788004

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# Realizing the Vision

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 J40m  
 J40m  
 E41



Form No. 3... **PC/AS 99/17035**

Supplemental Form If the Supplemental Form is not used, this sheet should not be included in the request.

It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(1) "Continuation of Box No. 1" and "Continuation of Box No. 2" are not to be furnished to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(2) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(3) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(4) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(5) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(6) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(7) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

(8) It is not of the Bureau's policy to furnish information to third parties in such cases, with "Continuation of Box No. 1" and "Continuation of Box No. 2" and to furnish information to the same parties as required according to the caption of the Box in which the question was submitted, in particular:

**Continuation of Box No. 1:**

TABACHNIK, George; SEBERT, Arthur G.;  
MELCHERS, Arnold E.; ECK, Steven R.;  
BARNETT, Rebecca R. and NAGY, Michael R.

American Home Products Corporation  
Wyeth-Ayerst Laboratories Division  
P.O. Box 6280  
Philadelphia, PA 19101  
United States of America

Telephone: (610) 602-2635  
Facsimile: (610) 606-0273

WILLIAMS, David Francis; CONNELLY, Michael John;  
WALTERS, Philip Bernard; MANNION, Sally Kim  
and TALBOT, Dawn Margalite

60 Wyeth Laboratories  
Huneeus Lane South  
Tulose, Maryland  
Baltimore 21204  
USA

Telephone: (410) 604-5177  
Facsimile: (410) 710-0048

Form PC/AS/OT/181 (Supplemental Form) Only (Not required January 1999)

MEY

Legal Name

Family Name

Given Name

Middle Name

Prefix

Suffix

Reg. No.

Agreed

Common Report

SEBERT

ARTHUR

G.

Received 2/2/99

Adm. Sec. Dept. Inv. Ext. Eval. Eval. Eval. Eval.

~~PCIMS 99/17035~~

Item #	1
Application #	09306130
Filing Date	07/30/1998
Mail App Country	UNITED STATES
Receiving Office	
Region Name	
<input checked="" type="checkbox"/> Reproduction item sent to card file copy to International Bureau?	

~~PCITMS 99-17035~~

Basic VI: PRIORITY CLAIM		<input type="checkbox"/> Further priority claim was referenced in the 8th column of the table	
File # date of earlier application (legislatively) used	Number of earlier applications	Where earlier application in	
		national application country	regional applications* regional Offices
			where national applications resulting Offices
Item (1) 30 July 1998 (P0007154)	00138202	US	
Item (2)			
Item (3)			

[illegible]

<p>Circle of International Scientific Publications (CISP) is an international scientific publishing organization that is active in the field of international scientific publications. It is a non-profit organization that is active in the field of international scientific publications. It is a non-profit organization that is active in the field of international scientific publications.</p> <p>ISA / SP</p>	<p>Date (day/month/year)</p> <p>Number</p> <p>Country for reprint (date)</p>
--	--

PART VII. CHECK (YES) LANGUAGE OF FILM	
The international application contains the following number of sheets:	
original	4
description (including sequence listing part)	16
claims	3
abstract	1
drawings	0
sequence listing part of description	0
Total number of sheets: 24	
The international application is accompanied by the item(s) noted in column 1. <input checked="" type="checkbox"/> for each item noted	
1. <input type="checkbox"/> sequence listing sheet 2. <input type="checkbox"/> sequence listing part of abstract 3. <input type="checkbox"/> copy of general part of abstract, reference sources, if any; 4. <input type="checkbox"/> abstract comprising both of sequence 5. <input checked="" type="checkbox"/> priority document(s) identified in Box No. VI or item(s) (1) 6. <input type="checkbox"/> translation of international application into English; 7. <input type="checkbox"/> sequence listing(s) containing deposited laboratory samples or other biological material 8. <input type="checkbox"/> nucleotide and/or amino acid sequence listing in computer readable form 9. <input checked="" type="checkbox"/> other (specify): copy of Acknowledgment for US DO/28/2002	

<p>Priority of the inventions which national economy the interests</p>	<p>Language of filling of the international applications</p>
<p>English</p>	<p>English</p>

Egon E. Baur, Vice President

For mailing Office ONLY	
1. Date of initial receipt of the proposed international application	430 Rec'd PCT/PTD 28 JUN 1999
2. Completed date of actual receipt due to later but clearly marked payment of priority on completing the proposed international application	2. Date of receipt: <input type="checkbox"/> received <input type="checkbox"/> not received
3. Date of latest payment of the PCT	
4. International Standard Publication ISA /	4. <input type="checkbox"/> International fee finally paid delayed (if this fee is not completed)

For information please see entry	Date of receipt of the second copy by the International Bureau	Date of receipt of the second copy by the International Bureau
None	None	None

**Allegro Control**

**IntelliMouse™**

**ZoomIn™**

**ZoomOut™**

Application?	
Country	
Regional Office	

**ISAP**

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 1880

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Zoom! Zoom! Zoom!

[illegible]

Fincham, W. A. 1993. *Phylogeny and Biogeography of the Family Ranunculaceae*. Oxford: Oxford University Press.

This sheet is not part of and does not count as a sheet of the International application.

PCT

FEE CALCULATION SHEET  
Answer to the Request

For meeting Office use only  
International No. **PCT/US 99/17035**

Applicant's name  
As reference **AHP-980033**

Date receipt of the working Office

Applicant  
**AMERICAN HOME PRODUCTS CORPORATION**

CALCULATION OF PUBLISHED FEES

1. TRANSMITTAL FEE ..... **240.00** **1**  
2. SEARCH FEE ..... **1002.00** **2**

International search to be carried out by **ISA/E**  
If you or your International Patenting Agency are resident in relation to the International application, indicate the name of the Agency which is to carry out the International search.

3. INTERNATIONAL FEE

Basic Fee

The International application consists of **24** sheets.

Basic fee sheets ..... **455.00** **1**

Additional sheets ..... **0.00** **0**

Additional sheets ..... **0.00** **0**

Add amounts entered at 1 and 2 and enter total at 3. **455.00** **3**

4. PUBLICATION FEE

The International application consists of **24** sheets.

Number of sheets ..... **105.00** **1**

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Number of sheets ..... **105.00** **1**

International No. **PCT/US 99/17035**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
**AMERICAN HOME PRODUCTS CORPORATION**

Applicant's name  
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This sheet is not part of and does not count as a sheet of the international application.

# PCT

## FILE CALCULATION SHEET

Answer to the Request

The receiving Office use only

PCT/US 99 / 17035

Applicant's or agent's  
file reference

Date stamp of the receiving Office

Applicant  
AMERICAN HOME PRODUCTS CORPORATION

### CALCULATION OF PRESCRIBED FEES

1. TRANSMITTAL FEE ..... 240.00 [7]

2. SEARCH FEE ..... 1002.00 [8]

3. INTERNATIONAL FEE ..... 465.00 [9]

4. TOTAL FEES PAYABLE ..... 2747.00 [10]

5. TOTAL FEES PAYABLE ..... 2747.00 [11]

6. TOTAL FEES PAYABLE ..... 2747.00 [12]

7. TOTAL FEES PAYABLE ..... 2747.00 [13]

8. TOTAL FEES PAYABLE ..... 2747.00 [14]

9. TOTAL FEES PAYABLE ..... 2747.00 [15]

10. TOTAL FEES PAYABLE ..... 2747.00 [16]

11. TOTAL FEES PAYABLE ..... 2747.00 [17]

12. TOTAL FEES PAYABLE ..... 2747.00 [18]

13. TOTAL FEES PAYABLE ..... 2747.00 [19]

14. TOTAL FEES PAYABLE ..... 2747.00 [20]

15. TOTAL FEES PAYABLE ..... 2747.00 [21]

16. TOTAL FEES PAYABLE ..... 2747.00 [22]

17. TOTAL FEES PAYABLE ..... 2747.00 [23]

18. TOTAL FEES PAYABLE ..... 2747.00 [24]

19. TOTAL FEES PAYABLE ..... 2747.00 [25]

20. TOTAL FEES PAYABLE ..... 2747.00 [26]

Identification  
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## US FILE ASSEMBLY

The contractor is responsible for assembling all application folders **except** for reexams. All reexam applications should be returned to the Government for processing. Application serial number labels are provided by the Government and should be used in sequential order. It is the contractor's responsibility to insure the appropriate serial number is used for each application type:

- Design application - serial number begins with 29,
- Utility application - serial number begins with 09,
- Provisionals - serial number begins with 60,
- Reissues - use same label type as parent application ,
- Plants - use same labels as for utility applications.

To "set up" an application folder (file wrapper, file jacket, case file):

- Retrieve a new application package and an empty application folder:

Designs - lavender folder,  
Utilities - green and yellow folder,  
Provisionals - blue and white folder,  
Plants - same folder as utility applications,  
Reissues - white with an orange stripe.

A Continued Prosecution Application (CPA) is not assigned a new serial number nor should it be placed in a new file jacket. If a CPA has been sent to file assembly from open/sort, the CPA should promptly be forwarded to RAM in accordance with established instructions.

- On the "Contents" side of the folder, place a serial number bar code label over the top edge of the word "Contents."
- For any Design application filed on or after January 1, 1998, the sticky label (form PTO-436A) is to be affixed to the face of the file.
- If the contractor places application papers in the wrong type of folder and assigns the wrong type of serial number and these papers subsequently are erroneously endorsed during the scanning process, the contractor will be required to correct the error by placing the application in the correct file jacket and taping over each of the erroneous endorsements. The Government will provide the Mono Correction Tape to be used for this function. The contractor also will be required to correct any erroneous PALM entries.

Process the application papers as follows.

1. Identify and separate documents to be scanned and not to be scanned (see appendix A).
  - Scanned documents will have the application serial number printed on each page during the scanning process.
  - Documents that do not get scanned will have a monarch label affixed.
2. Applications submitted with a "Standard Application Format" must be identified by writing the letter "B" on the front of the file wrapper in the upper right corner "Initials" area. The "B" should be large enough to readily see but not so large as to obliterate other information. In addition, the contractor should forward to the Director, OIPE a weekly count of applications received which contained a Standard Application Format.
3. Remove all staples and clips from material to be scanned. **Be careful to keep pages of each individual document together.**
4. Clip together documents to be scanned and set aside.
5. Staple sets of extra drawings together.
6. Determine whether fee payment is included.

Review the application package and determine the number of monarch labels needed:

- two labels for the file jacket,
- one label for the assignment cover letter (if present) **(never affix a monarch label to the assignment form itself), and**
- one label for each of the Do Not Scan documents in accordance with the following list.



**Attach Monarch Labels as follows:**

Extra Transmittal Letter copies	1st Page/each copy
Prior art	1st Page
Information Disclosure Statement *	1st Page
Standard Bib Data Form	1st Page
Other Reference Material	1st Page
Applicant Postcard	back of each
Assignment recordation documents	Cover sheet only
Biotech diskette	Each disk
Stapled Sets of Extra Drawings	1st page each set
Microfilm	Film jacket
Photographs	Each
Petitions	1st page

\*Be sure to securely clip together all pages of an Information Disclosure Statement

To generate the monarch (date/serial number) labels needed **scan (do not key)** in date from monarch label applied during open/sort and **scan (do not key)** serial number barcode label, key in desired number of labels, and press Enter.

Affix a monarch label in each of the following locations:

- over the word "Initials" on the "Contents" side of the folder,
- in the upper left corner of the front of the folder,
- to each Do Not Scan document in accordance with the above chart, and
- to the applicant-provided receipt postcard (if present).

**THE CONTRACTOR MUST INSURE THE SERIAL NUMBER SHOWN ON ALL MONARCH LABELS IS THE SAME AND THAT IT MATCH THE SERIAL NUMBER SHOWN ON THE APPLICATION SERIAL NUMBER LABEL. ERRONEOUS USE OF MONARCH LABELS FROM ANOTHER APPLICATION WILL CREATE MAJOR PROCESSING PROBLEMS.**

After all monarch labels have been affixed, the contractor must verify the application papers actually received against the application contents listed on the applicant-provided postcard. **Any discrepancies or missing documents must be noted on the post card and the transmittal letter.** After verifying that the postcard has a mailing address for either the applicant's attorney or the applicant and postage is present, the postcard is placed in a pile for outgoing mail. If a postcard does not contain a return address, the contractor should check the Transmittal Letter or Declaration and use that information to properly address the

postcard. If a postcard is addressed to the PTO, the contractor should affix a white label over the PTO mailing address and properly address the postcard for return to the applicant's attorney or the applicant. **Under no circumstances should a postcard with no address or addressed to the PTO be placed in outgoing mail.** If no postcard was provided by the applicant, verify the application's contents against the transmittal letter and note any missing items on that letter.

The Government may also require that any deficiencies be noted on a Scanning Deficiency sheet.

Assemble the application documents as follows:

1. Determine whether an assignment form and cover letter have been submitted.
  - If payment for the assignment fee was submitted by separate check or deposit account authorization, staple the check, letter, and form together (check on top) **using only one staple** and put in a pile for forwarding to Assignment Branch. Be sure to affix the monarch label to the cover letter **before** separating the assignment package from the rest of the application package.
  - If payment for the assignment fee was submitted as part of a bulk check, keep the assignment form and cover letter together with the rest of the application.
2. Staple or clip together any of the following Finance items which are present
  - any fee documents such as Assignments paid by bulk check, Extensions of Time, Petitions, etc.,
  - an extra copy (if available) of the Transmittal Letter *if the applicant is paying by deposit account*,
  - bank check (staple the check to the inside of the small flap in the middle interior of the folder).
3. Band or clip Do Not Scan documents together and place a "Do Not Scan" sheet on top of the bundle.
4. Assemble the documents inside the file jacket in the following order:
  - Do Not Scan documents (on bottom),
  - Scan documents (next),
  - Finance documents (on top).

Insert documents under flap in middle of application folder using rubber bands to secure the folder as needed.

## SCANNING SPECIFICATIONS

Scanning currently is performed in the Office of Initial Patent Examination (OIPE) and PCT Operations. US patent applications to be electronically captured will include Utility, Re-exam, and Provisional and Design applications. All international Chapter I applications currently are scanned, with Chapter II demands expected to be added in late 2000.

The Kodak 500D scanner is used to scan and endorse the application number and file date onto the front of each document scanned. The Fujitsu flatbed scanner is used to rescan documents as necessary and to scan documents not suitable for scanning on the Kodak 500D scanner.

### **US Applications**

A lead sheet must be scanned with each application's documents. Based on information provided by the Classification and Routing staff, the contractor must insert a Chemical, Electrical, Mechanical, or Unknown bar-coded sheet into any application identified as requiring L&R review. L&R cases are high priority and should be scanned immediately upon receipt. The contractor must insert a Cleared sheet in any application not requiring L&R review and should process each such application within normal processing times.

After updating PALM location information for each newly received application, the following processing steps are required:

1. **Wand the mail receipt date and application serial number** – In order for the mail receipt date and the application number to be printed on the front left side of each scanned page of an application, this information must be read into the scanning system. If a serial number and/or date label is not present, the data must be entered manually in order to scan the application.
2. **Review the items to be scanned** – The documents to be scanned (see appendix A) must be visually examined to ensure that they are in the proper order, free of staples, damage, or torn pages. Items that are "to be scanned" but are not suitable for scanning on the Kodak 500D scanner must be removed and scanned on the Fujitsu flatbed scanner. Application pages with double-sided images which have not been copied to single-side images must be copied before they can be scanned. (Both the original pages and the copy will be retained in the application file.) If not present, blue and gold separator sheets must be appropriately inserted in any application which has a red "B" written on the top right front of the file wrapper or which contains a Patent Application Data Entry Format Document (ACRS Bib Data Sheet). (The contractor should place a red "B" on the top right front of any file wrapper which contains an ACRS Bib Data Sheet but has not been marked with the red "B.")

3. **Remove the items to be scanned from the file wrapper** – The items to be scanned will be removed from the file wrapper, starting at the front of the file wrapper and going back to the point where the white “DO NOT SCAN” separator sheet is placed during Document Preparation, indicating the end of the items to be scanned. The “DO NOT SCAN” separator sheet will not be scanned.
4. **Scan and endorse the document** – The scanner will be started and the operator must monitor the scanner to ensure that the documents feed one at a time, in the correct order, and with minimum skew. US application documents are scanned in portrait mode with settings for 8 ½” x 11” images. The operator will insure the correct application number and mailroom date are printed on the front left side of each application document. In the OIPE Scanned/QA box on the front of the file, the QA operator must annotate the equipment group on which the application was scanned and provide his/her initials. This will insure that the application is QA’d on the same group as which scanned.
5. **Return scanned items to the file wrapper** – After scanning, the operator will return the scanned items to the file wrapper, inserting them loosely, and will initial the filewrapper in the OIPE Scanned/QA box on the front of the file.
6. **Move the file wrapper to the Quality Assurance (QA) station** – After documents are returned to file wrapper, the application will move to the QA station. The QA operator shall perform 100% quality assurance by reviewing all images against the application to insure all pages were scanned and pages are not skewed. If problems are identified, the QA operator will scan/rescan pages or take other steps as appropriate to correct the problem. If the problem/deficiency cannot be corrected, the QA operator will insert a deficiency sheet (appendix B) with the problems annotated. The operator must hand-stamp “scanned” in the middle left-hand margin of each document scanned on the Fujitsu flatbed scanner.
7. **Assemble file wrapper** – After the scanning and QA/rescan processes are complete, separator sheets must be removed from the file and two copies of all drawings in the application must be made using 8 ½” x 14” paper. Two holes are then drilled in the top center of all documents to be inserted into the application file wrapper. After verifying that the application serial number on each document is the same as the serial number on the file wrapper, the application should be assembled as follows:
  - the two copies of the drawings are placed on the inside, right-hand side of the file wrapper;
  - all remaining documents are inserted in the center of the file wrapper in the same order as they were scanned;
  - the yellow fee sheet is placed on top of the transmittal letter and the original drawings are placed on top of the fee sheet.

All documents must be securely anchored in the clamps contained in the application file wrapper. Appendix C demonstrates the correct order for assembling an application. The individual responsible for assembling the application should initial the file in the OIPE Scanned/QA box on the front of the file.

If an application is oversized and cannot be contained in one file wrapper, the contractor shall construct additional file wrappers as needed to hold any additional documents. Approximately 500 document sheets should be inserted in each file wrapper. The contractor must ensure that the correct application serial number is written on the front and back of each additional file wrapper constructed and that each wrapper is numbered sequentially (e.g., 1 of 3, 2 of 3, 3 of 3). When forwarding an application to the next location, the contractor must ensure that each file wrapper relating to that application is kept together.

Very large provisional applications may remain in the boxes in which they were received and do not need to be broken down into multiple file jackets. The first provisional jacket and bar code label are attached to the first box. Each box must be labeled with the serial number and numbered sequentially in the same manner as additional file wrappers.

**8. Move the file wrapper to the next step in Pre-Exam** – After being PALMed out, the assembled file should be delivered to the appropriate location, generally one of the following:

- missing part application – missing part file room, currently CP2, 6C12;
- abandoned applications – place in bag for pickup;
- re-exam application – retrieved by OIPE employee;
- applications requiring formality review – delivered to designated locations (usually the formality review teams);
- applications to go to Tech Centers – place for mail pickup;
- applications to go to OIPE Director's office – deliver to designated individual;
- applications to go to other areas (e.g., Petitions) – deliver to designated individual.

### **Follow-on Papers**

Follow-on papers (i.e., application papers received after the original application) which must be scanned include:

- Responses to Notice of Incomplete Application,
- Responses to Omitted Items,
- English-language translation response.

These documents are processed through open/sort and sent to OIPE's missing part file room.

The contractor will retrieve the application file, insert the paper(s), and forward the file to Formality Review personnel. Formality Review personnel deliver the case to Gloria whose staff removes from the file those pages requiring scanning and attaches them to the top of the file wrapper. After the papers are scanned and QA'd, the contractor will insert the scanned pages into the middle clamp in the appropriate order and will forward the file as directed by the Government.

### **International Applications**

New international applications requiring scanning will have the appropriate separator sheets inserted before the application is forwarded to scanning. Appendix D identifies the documents to be scanned and the separator sheets which should be present. The contractor must promptly update the PALM location information for each newly received application.

For each application to be scanned, the contractor must key in the last 5 digits of the application serial number along with the 8-digit scan date (mm/dd/yyyy) in order for this information to be available for endorsing on the scanned documents. As necessary, the contractor will enter this information manually. The contractor should examine all documents to be scanned to insure they are free of staples, damage, or torn pages. Items which are not suitable for scanning on the Kodak 500D scanner must be removed and scanned on the Fujitsu flatbed scanner. Application pages with double-sided images which have not been copied to single-side images must be copied before they can be scanned. Missing separator sheet(s) must be inserted in the appropriate location(s). If the application to be scanned is a "19.4 case" (i.e., no US applicant), the contractor should turn off the endorsing function before placing the documents in the scanner.

International application documents are scanned in landscape mode with settings comparable to A4 paper. The scanning operator should monitor each application's scanning to ensure correct document feed, minimum skew, and endorsing with the correct application serial number and date. Care must be taken that no documents listed on the inventory of unscannable items are scanned. If a hand-written document is present, the contractor must insure the OCR function is off while that document is scanned. After scanning is complete, the operator should insert the application documents in the Original Copy (OC) folder, annotate the folder with the equipment group on which the application was scanned, initial the folder, and forward the application to the QA station.

The QA operator will perform 100% quality assurance by reviewing all images against the application to insure all pages were scanned and pages are not skewed. If problems are identified, the QA operator will scan/rescan pages or take other steps as appropriate to correct the problem. If the problem/deficiency cannot be corrected, the QA operator will insert a deficiency sheet (appendix B) with the problems annotated. The operator must hand-stamp "scanned" in the middle left-hand margin of each document scanned on the Fujitsu flatbed scanner. After QA is complete, the QA operator should initial the OC folder and should remove all separator sheets from the application. All application papers must be

inserted in the OC folder and that folder, along with the search copy folder, forwarded to the designated location.

### **Equipment and System**

Currently there are 12 scanning workstations and 4 servers housed in OIPE and 3 scanning workstations and 2 servers planned for PCT. Each workstation is composed of one Kodak scanner, one Fujitsu flatbed scanner, two monitors, two CPUs, and one power system PC and monitor. Three workstations and two servers are planned for PCT. The contractor is expected to perform routine daily maintenance such as changing bulbs, replacing toner, and cleaning equipment.

Cornerstone's Input/Accel is the document capture software utilized by the scanning system. The contractor is required to become familiar with all system operating parameters in order to maximize performance. For example, if more than 500 applications are scanned on any one server but they are not QA'd, a significant degradation of the scanning services will occur. The contractor also should be aware that the system allows scanning a maximum of 7,999 pages per application per group (i.e., server) per day.

Each scanned image moves through PICS in the following order:

#### **Application/Image Movement**

(Electronic movement of images)

- A) SCAN
- B) ENHANCE
- C) QUALITY ASSURANCE – File wrapper moves from the Scan station to QA for review. If documents are scanned properly select OK.
- D) RESCAN (if necessary) Select open batch to re-scan, pull document from file wrapper to re-scan.
- E) EXPORT (automated) sends to server located in PK2, 11<sup>th</sup> floor to store.
- F) Prime Recognition OCR Module
- G) Bibliographic Extract Module
- H) Bibliographic Configuration Module
- I) Bibliographic Verify Module
- J) Bibliographic Data Export Module
- K) SGML Tagging Module
- L) SGML TEXCEL Export Module
- M) Input Accel Module - First Level Security Screening
- N) Input Accel Module - Initial Classification

## APPENDIX A

## SCAN/NOT SCAN LIST

## WHAT IS SCANNED?

- Original Transmittal Letter (including Express Mail Certificate)
- Small entity statement
- Application Data Sheet (bar-coded Separator)
- Patent Application (ACRS) Data Entry Format Sheet
- Application Text Sheet (bar-coded Separator)
- Preliminary amendment
- Specification
- Non-English Specification
- Computer listings
- Biotech sequence listings
- Claims
- Abstract
- Miscellaneous Material bar-coded Separator Sheet (gold)
- Drawings (including photographs submitted as drawings)
- Oath/Declaration
- Statement of Deposit of invention material with a laboratory, for example American Type Culture Collection. (Sequence)
- Scanning Deficiency Forms re missing papers or best available copy.
- Power of Attorney
- All Appendices

- ⇒ *Only one copy of the Transmittal letter should be prepared for scanning.*
- ⇒ *Only one copy of the drawings should be prepared for scanning.*
- ⇒ *When English translation of a foreign specification is not present, prepare the foreign specification for scanning and place behind Miscellaneous Material Separator Sheet.*



## WHAT IS NOT SCANNED?

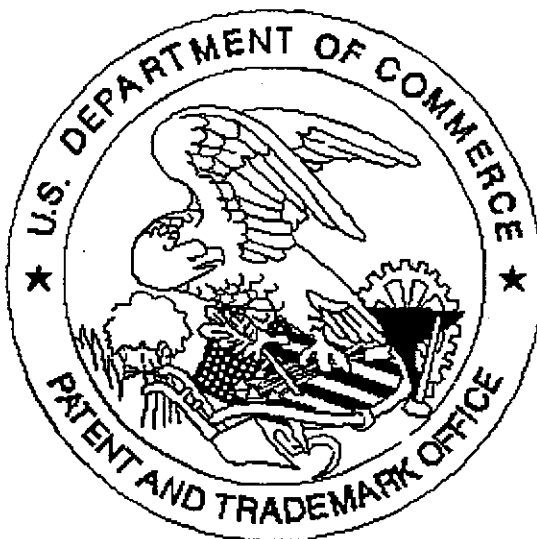
- Extra copies of the Transmittal Letter
- Yellow Fee Sheet
- Prior art
- Information Disclosure Statement
- Other Reference Material
- Assignment Recordation
- Extensions of Time
- Express Mail Label (Post Office Form)
- Petitions
- Biotech diskette
- Sets of Extra Drawings
- Microfilm
- Photographs (not submitted as drawings)
- STIC printout (Sequence).
- Raw Sequence Listing Error Report
- CRF Diskette Problem Report
- CRF Errors Corrected by the STIC Systems Branch
- Declaration to Support Filing and Submission under 37 CFR 1.821 – 1.825. (Sequence)

- ⇒ *There is no need to remove staples and clips from documents that will not be scanned.*
- ⇒ *Insure that documents not being scanned are identifiable with the Application Serial Number since they will not be secured to the file, and if removed or separated, they are essentially lost.*

## Appendix B

### United States Patent & Trademark Office

Office of Initial Patent Examination -- Scanning Division



Application deficiencies found during scanning which could not be corrected in QA:

☐ Page(s) \_\_\_\_\_ of \_\_\_\_\_ were not present for scanning. (Document title)

☐ Page(s) \_\_\_\_\_ of \_\_\_\_\_ were not present for scanning. (Document title)

Additional Comments:

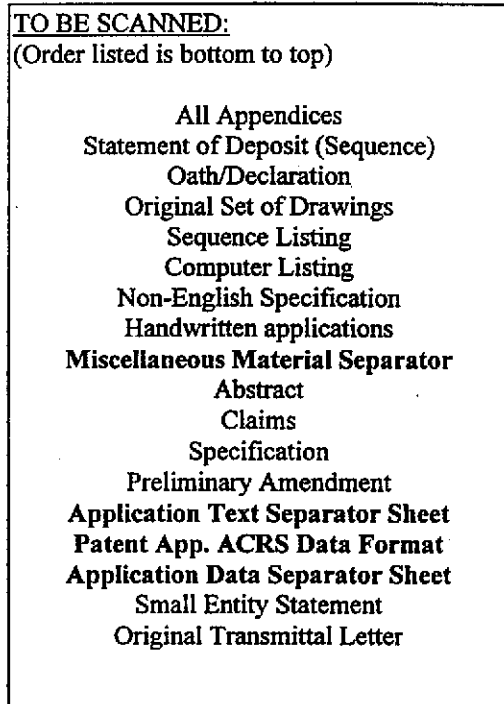
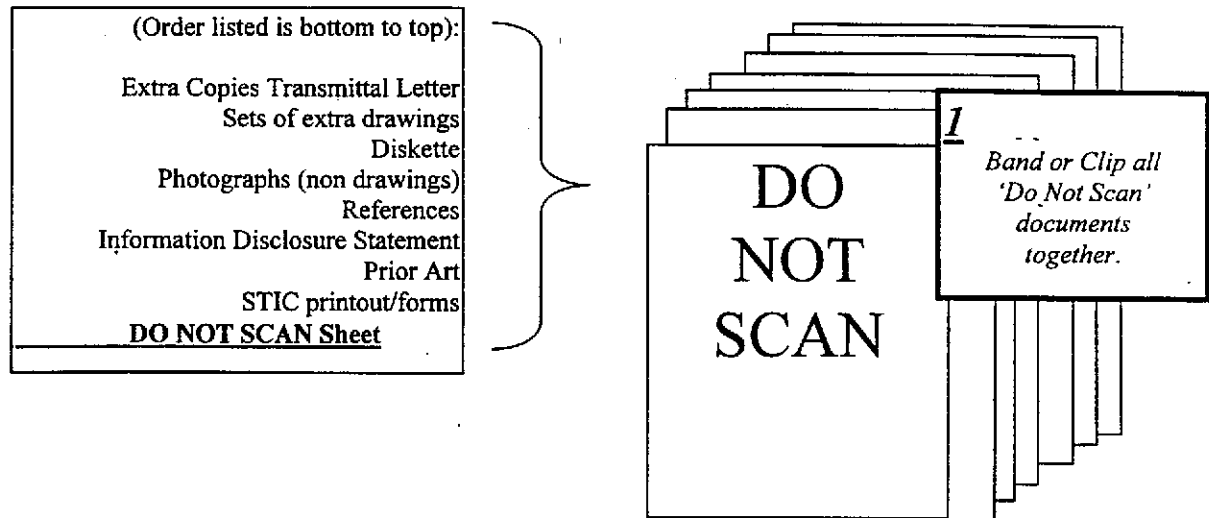
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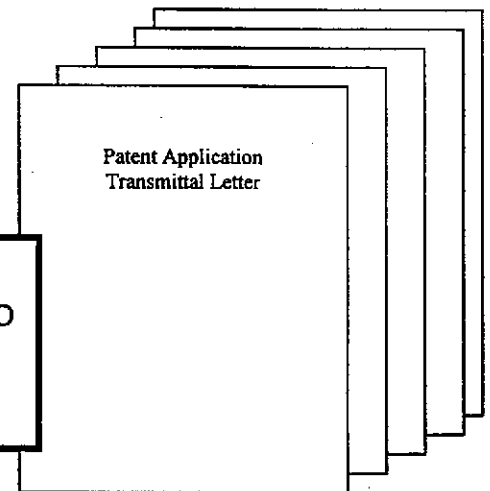
☐ Scanned copy is best available.

**APPENDIX C SET-UP OF APPLICATION DOCUMENTS INSIDE FILE WRAPPER**

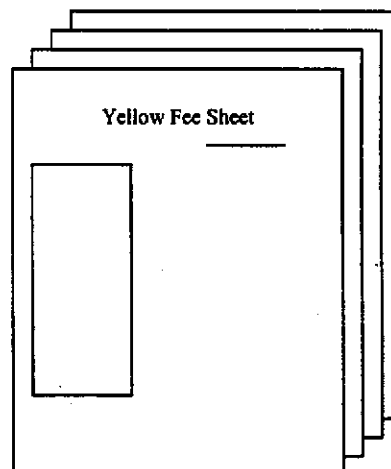
(See Complete List of Documents to be Scanned and Not Scanned)



**2**  
Band or clip all TO BE SCANNED documents together.



**3** Clip or staple all Finance documents together; staple check to flap in applic. file



(Order listed is bottom to top)  
 Petitions  
 Assignment  
 Assignment Cover Sheet  
 Extra copy of Transmittal with deposit account authorization  
 Yellow Fee Sheet  
 Check

## APPENDIX D

### ASSEMBLING PCT APPLICATIONS FOR SCANNING

Application papers for each new international application must be assembled and scanned in the following order.

1. SEP SHEET – New International Application
2. SEP SHEET – New International Application – Request Form – **Conventional**
  - **First Sheet** of Request Form
  - Any **Continuation Sheets** of Request Form
  - **Second Sheet** of Request Form
  - Any **Supplemental Sheets** of Request Form
  - **Last Sheet** of Request Form
  - **Annex** (also known as Fee Calculation Sheet)

OR

SEP SHEET – New International Application – Request Form – **PCT EASY**

- **All Sheets** of Request Form
  - **Annex** (also known as Fee Calculation Sheet)
  - **PCT EASY** Information Sheet
3. SEP SHEET – Full Text OCR
  4. SEP SHEET – New International Application – Description
    - **All Sheets** of description
  5. SEP SHEET – New International Application – Claims
    - **All Sheets** of claims
  6. SEP SHEET – New International Application – Abstract
    - **Sheet** of abstract
  7. SEP SHEET – Stop Sending OCR
  8. SEP SHEET – Drawings

- **All sheets** of drawings
9. SEP SHEET – New International Application – Sequence Listing
- **All Sheets** of sequence listing (if present)
10. SEP SHEET – New International Application – Other Scannable Documents

Including but not limited to (placement order is not critical):

- Cover letter (free form or Form PTO-1382)
  - All separate Powers of Attorney
    - ❖ PCT Model Power of Attorney
    - ❖ PCT Model General Power of Attorney
    - ❖ Free form Power of Attorney
  - Statement explaining lack of signature (rare)
  - Separate indication concerning deposited microorganism (Form PCT/RO/134)
  - Certificate of Express Mail or Express Mail envelope label
  - Assignment
  - Request to inspect and make copies
  - Form PCT/RO/102(b)
11. SEP SHEET – New International Application – Inventory of Unscannable Items

REGISTER OF WAGE DETERMINATION UNDER  
THE SERVICE CONTRACT ACT

By direction of the Secretary of Labor

Division of Wage Determinations

U.S. DEPARTMENT OF LABOR  
EMPLOYMENT STANDARDS ADMINISTRATION  
WAGE AND HOUR DIVISION  
Washington, D.C. 20210

Wage Determination No.: 94-2103

Revision No.: 19

Date of Last Revision: 06/28/1999

State(s): District of Columbia, Maryland, Virginia

Areas: Maryland COUNTIES OF Calvert, Charles, Frederick, Montgomery,  
Prince George's, St Mary's  
Virginia COUNTIES OF Arlington, Fairfax, Fauquier, King George,  
Loudoun, Prince William, Stafford, Alexandria, Falls Church

**\*\* Fringe Benefits Required For All Occupations Included In  
This Wage Determination Follow The Occupational Listing \*\***

OCCUPATION CODE AND TITLE

MINIMUM HOURLY WAGE

Administrative Support and Clerical Occupations:

01011 Accounting Clerk I	\$ 9.82
01012 Accounting Clerk II	\$ 11.48
01013 Accounting Clerk III	\$ 13.57
01014 Accounting Clerk IV	\$ 15.82
01030 Court Reporter	\$ 13.22
01050 Dispatcher, Motor Vehicle	\$ 13.85
01060 Document Preparation Clerk	\$ 10.91
01070 Messenger (Courier)	\$ 8.99
01090 Duplicating Machine Operator	\$ 10.91
01110 Film/Tape Librarian	\$ 13.18
01115 General Clerk I	\$ 8.99
01116 General Clerk II	\$ 10.55
01117 General Clerk III	\$ 11.79
01118 General Clerk IV	\$ 16.46
01120 Housing Referral Assistant	\$ 16.62
01131 Key Entry Operator I	\$ 10.05
01132 Key Entry Operator II	\$ 11.23
01191 Order Clerk I	\$ 11.26
01192 Order Clerk II	\$ 12.44
01261 Personnel Assistant (Employment) I	\$ 11.10
01262 Personnel Assistant (Employment) II	\$ 12.12
01263 Personnel Assistant (Employment) III	\$ 13.97
01264 Personnel Assistant (Employment) IV	\$ 16.66
01270 Production Control Clerk	\$ 15.75
01290 Rental Clerk	\$ 13.55
01300 Scheduler, Maintenance	\$ 13.55
01311 Secretary I	\$ 13.55
01312 Secretary II	\$ 14.83
01313 Secretary III	\$ 16.63
01314 Secretary IV	\$ 18.91
01315 Secretary V	\$ 21.27
01320 Service Order Dispatcher	\$ 12.08
01341 Stenographer I	\$ 13.26
01342 Stenographer II	\$ 14.87
01400 Supply Technician	\$ 18.91
01420 Survey Worker (Interviewer)	\$ 13.22
01460 Switchboard Operator-Receptionist	\$ 10.28
01510 Test Examiner	\$ 14.83

01520 Test Proctor	\$ 14.83
01531 Travel Clerk I	\$ 8.76
01532 Travel Clerk II	\$ 9.41
01533 Travel Clerk III	\$ 10.41
01611 Word Processor I	\$ 10.48
01612 Word Processor II	\$ 12.05
01613 Word Processor III	\$ 14.95

**Automatic Data Processing Occupations:**

03010 Computer Data Librarian	\$ 10.20
03041 Computer Operator I	\$ 10.23
03042 Computer Operator II	\$ 12.06
03043 Computer Operator III	\$ 14.62
03044 Computer Operator IV	\$ 16.53
03045 Computer Operator V	\$ 17.79
03071 Computer Programmer I 1/	\$ 16.50
03072 Computer Programmer II 1/	\$ 19.36
03073 Computer Programmer III 1/	\$ 22.67
03074 Computer Programmer IV 1/	\$ 26.29
03101 Computer Systems Analyst I 1/	\$ 20.62
03102 Computer Systems Analyst II 1/	\$ 26.82
03103 Computer Systems Analyst III 1/	\$ 27.62
03160 Peripheral Equipment Operator	\$ 11.47

**Automotive Service Occupations:**

05005 Automobile Body Repairer, Fiberglass	\$ 18.39
05010 Automotive Glass Installer	\$ 16.45
05040 Automotive Worker	\$ 16.45
05070 Electrician, Automotive	\$ 17.44
05100 Mobile Equipment Servicer	\$ 14.43
05130 Motor Equipment Metal Mechanic	\$ 18.39
05160 Motor Equipment Metal Worker	\$ 16.45
05190 Motor Vehicle Mechanic	\$ 18.46
05220 Motor Vehicle Mechanic Helper	\$ 13.38
05250 Motor Vehicle Upholstery Worker	\$ 15.47
05280 Motor Vehicle Wrecker	\$ 16.45
05310 Painter, Automotive	\$ 17.44
05340 Radiator Repair Specialist	\$ 16.45
05370 Tire Repairer	\$ 14.43
05400 Transmission Repair Specialist	\$ 18.39

**Food Preparation and Service Occupations:**

07010 Baker	\$ 11.47
07041 Cook I	\$ 10.06
07042 Cook II	\$ 11.47
07070 Dishwasher	\$ 8.31
07100 Food Service Worker (Cafeteria Worker)	\$ 7.91
07130 Meat Cutter	\$ 13.19
07250 Waiter/Waitress	\$ 7.89

**Furniture Maintenance and Repair Occupations:**

09010 Electrostatic Spray Painter	\$ 17.44
09040 Furniture Handler	\$ 12.13
09070 Furniture Refinisher	\$ 17.44
09100 Furniture Refinisher Helper	\$ 13.38
09110 Furniture Repairer, Minor	\$ 15.47
09130 Upholsterer	\$ 17.44

**General Service and Support Occupations:**

11030 Cleaner, Vehicles	\$ 7.93
11060 Elevator Operator	\$ 8.31
11090 Gardener	\$ 11.54
11121 Housekeeping Aide I	\$ 7.41
11122 Housekeeping Aide II	\$ 8.21
11150 Janitor	\$ 8.18
11210 Laborer, Grounds Maintenance	\$ 9.05
11240 Maid or Houseman	\$ 7.35
11270 Pest Controller	\$ 10.79
11300 Refuse Collector	\$ 8.31
11330 Tractor Operator	\$ 10.70
11360 Window Cleaner	\$ 8.92

**Health Occupations:**

12020 Dental Assistant	\$ 11.80
12040 Emergency Medical Technician/Paramedic Ambulance Driver	\$ 11.55
12071 Licensed Practical Nurse I	\$ 13.63
12072 Licensed Practical Nurse II	\$ 15.30
12073 Licensed Practical Nurse III	\$ 17.13
12100 Medical Assistant	\$ 10.55
12130 Medical Laboratory Technician	\$ 10.55
12160 Medical Record Clerk	\$ 10.55
12190 Medical Record Technician	\$ 12.71
12221 Nursing Assistant I	\$ 7.28
12222 Nursing Assistant II	\$ 8.18
12223 Nursing Assistant III	\$ 10.48
12224 Nursing Assistant IV	\$ 11.77
12250 Pharmacy Technician	\$ 11.44
12280 Phlebotomist	\$ 9.85
12311 Registered Nurse I	\$ 18.26
12312 Registered Nurse II	\$ 20.47
12313 Registered Nurse II, Specialist	\$ 20.47
12314 Registered Nurse III	\$ 24.78
12315 Registered Nurse III, Anesthetist	\$ 24.78
12316 Registered Nurse IV	\$ 29.70

**Information and Arts Occupations:**

13002 Audiovisual Librarian	\$ 18.31
13011 Exhibits Specialist I	\$ 15.11
13012 Exhibits Specialist II	\$ 18.90
13013 Exhibits Specialist III	\$ 23.27
13041 Illustrator I	\$ 15.11
13042 Illustrator II	\$ 18.90
13043 Illustrator III	\$ 23.27
13047 Librarian	\$ 20.60
13050 Library Technician	\$ 13.52
13071 Photographer I	\$ 13.46
13072 Photographer II	\$ 15.11
13073 Photographer III	\$ 18.90
13074 Photographer IV	\$ 23.27
13075 Photographer V	\$ 25.60

**Laundry, Drycleaning, Pressing and Related Occups:**

15010 Assembler	\$ 6.61
15030 Counter Attendant	\$ 6.61
15040 Dry Cleaner	\$ 8.53
15070 Finisher, Flatwork, Machine	\$ 6.61
15090 Presser, Hand	\$ 6.61
15100 Presser, Machine, Drycleaning	\$ 6.61



15130 Presser, Machine, Shirts	\$ 6.61
15160 Presser, Machine, Wearing Apparel, Laundry	\$ 6.61
15190 Sewing Machine Operator	\$ 9.21
15220 Tailor	\$ 9.87
15250 Washer, Machine	\$ 7.25

**Machine Tool Operation and Repair Occupations:**

19010 Machine-Tool Operator (Toolroom)	\$ 17.44
19040 Tool and Die Maker	\$ 21.21

**Materials Handling and Packing Occupations:**

21010 Fuel Distribution System Operator	\$ 17.02
21020 Material Coordinator	\$ 15.56
21030 Material Expediter	\$ 15.56
21040 Material Handling Laborer	\$ 10.01
21050 Order Filler	\$ 12.76
21071 Forklift Operator	\$ 12.25
21080 Production Line Worker (Food Processing)	\$ 11.25
21100 Shipping/Receiving Clerk	\$ 12.65
21130 Shipping Packer	\$ 11.80
21140 Store Worker I	\$ 8.61
21150 Stock Clerk (Shelf Stocker; Store Worker II)	\$ 11.53
21210 Tools and Parts Attendant	\$ 14.27
21400 Warehouse Specialist	\$ 12.61

**Mechanics and Maintenance and Repair Occupations:**

23010 Aircraft Mechanic	\$ 19.28
23040 Aircraft Mechanic Helper	\$ 14.02
23050 Aircraft Quality Control Inspector	\$ 20.30
23060 Aircraft Servicer	\$ 16.21
23070 Aircraft Worker	\$ 17.24
23100 Appliance Mechanic	\$ 17.44
23120 Bicycle Repairer	\$ 14.43
23125 Cable Splicer	\$ 18.39
23130 Carpenter, Maintenance	\$ 17.44
23140 Carpet Layer	\$ 16.85
23160 Electrician, Maintenance	\$ 18.55
23181 Electronics Technician, Maintenance I	\$ 15.51
23182 Electronics Technician, Maintenance II	\$ 19.80
23183 Electronics Technician, Maintenance III	\$ 21.56
23260 Fabric Worker	\$ 15.23
23290 Fire Alarm System Mechanic	\$ 18.39
23310 Fire Extinguisher Repairer	\$ 14.43
23340 Fuel Distribution System Mechanic	\$ 18.39
23370 General Maintenance Worker	\$ 15.90
23400 Heating, Refrigeration and Air-Conditioning Mechanic	\$ 18.39
23430 Heavy Equipment Mechanic	\$ 18.39
23440 Heavy Equipment Operator	\$ 18.66
23460 Instrument Mechanic	\$ 18.39
23470 Laborer	\$ 9.71
23500 Locksmith	\$ 17.44
23530 Machinery Maintenance Mechanic	\$ 19.82
23550 Machinist, Maintenance	\$ 20.79
23580 Maintenance Trades Helper	\$ 13.38
23640 Millwright	\$ 18.39
23700 Office Appliance Repairer	\$ 17.44
23740 Painter, Aircraft	\$ 17.44
23760 Painter, Maintenance	\$ 17.44
23790 Pipefitter, Maintenance	\$ 17.77
23800 Plumber, Maintenance	\$ 17.44

23820 Pseudraulic Systems Mechanic	\$ 18.39
23850 Rigger	\$ 18.39
23870 Scale Mechanic	\$ 16.45
23890 Sheet-Metal Worker, Maintenance	\$ 18.39
23910 Small Engine Mechanic	\$ 19.37
23930 Telecommunications Mechanic I	\$ 18.39
23931 Telecommunications Mechanic II	\$ 19.37
23950 Telephone Lineman	\$ 18.39
23960 Welder, Combination, Maintenance	\$ 18.39
23965 Well Driller	\$ 18.39
23970 Woodcraft Worker	\$ 18.39
23980 Woodworker	\$ 14.80

**Personal Needs Occupations:**

24570 Child Care Attendant	\$ 8.69
24580 Child Care Center Clerk	\$ 12.12
24600 Chore Aide	\$ 7.35
24630 Homemaker	\$ 13.86

**Plant and System Operation Occupations:**

25010 Boiler Tender	\$ 18.39
25040 Sewage Plant Operator	\$ 17.44
25070 Stationary Engineer	\$ 18.39
25190 Ventilation Equipment Tender	\$ 13.38
25210 Water Treatment Plant Operator	\$ 17.44

**Protective Service Occupations:**

27004 Alarm Monitor	\$ 11.97
27006 Corrections Officer	\$ 17.09
27010 Court Security Officer	\$ 17.57
27040 Detention Officer	\$ 17.09
27070 Firefighter	\$ 18.20
27101 Guard I	\$ 8.50
27102 Guard II	\$ 11.20
27130 Police Officer	\$ 19.80

**Stevedoring/Longshoremen Occupational Services:**

28010 Blocker and Bracer	\$ 15.90
28020 Hatch Tender	\$ 13.83
28030 Line Handler	\$ 13.83
28040 Stevedore I	\$ 14.95
28050 Stevedore II	\$ 16.86

**Technical Occupations:**

29010 Air Traffic Control Specialist, Center 2/	\$ 25.37
29011 Air Traffic Control Specialist, Station 2/	\$ 17.49
29012 Air Traffic Control Specialist, Terminal 2/	\$ 19.27
29023 Archeological Technician I	\$ 13.63
29024 Archeological Technician II	\$ 15.25
29025 Archeological Technician III	\$ 18.90
29030 Cartographic Technician	\$ 21.74
29035 Computer Based Training (CBT) Specialist/Instructor	\$ 20.62
29040 Civil Engineering Technician	\$ 18.90
29061 Drafter I	\$ 11.44
29062 Drafter II	\$ 14.32
29063 Drafter III	\$ 16.08
29064 Drafter IV	\$ 20.11
29081 Engineering Technician I	\$ 13.28

29082 Engineering Technician II	\$ 15.41
29083 Engineering Technician III	\$ 18.52
29084 Engineering Technician IV	\$ 21.25
29085 Engineering Technician V	\$ 25.99
29086 Engineering Technician VI	\$ 31.45
29090 Environmental Technician	\$ 18.27
29100 Flight Simulator/Instructor (Pilot)	\$ 26.82
29150 Graphic Artist	\$ 17.93
29160 Instructor	\$ 21.16
29210 Laboratory Technician	\$ 14.62
29240 Mathematical Technician	\$ 18.48
29361 Paralegal/Legal Assistant I	\$ 14.04
29362 Paralegal/Legal Assistant II	\$ 17.90
29363 Paralegal/Legal Assistant III	\$ 21.90
29364 Paralegal/Legal Assistant IV	\$ 26.50
29390 Photooptics Technician	\$ 20.35
29480 Technical Writer	\$ 19.23
29491 Unexploded Ordnance Technician I	\$ 16.12
29492 Unexploded Ordnance Technician II	\$ 19.51
29493 Unexploded Ordnance Technician III	\$ 23.38
29494 Unexploded Safety Escort	\$ 16.12
29495 Unexploded Sweep Personnel	\$ 16.12
29620 Weather Observer, Senior 3/	\$ 17.02
29621 Weather Observer, Combined Upper Air & Surface Programs 3/	\$ 14.62
29622 Weather Observer, Upper Air 3/	\$ 14.62

**Transportation/Mobile Equipment Operation Occups:**

31030 Bus Driver	\$ 13.24
31260 Parking and Lot Attendant	\$ 8.33
31290 Shuttle Bus Driver	\$ 11.38
31300 Taxi Driver	\$ 9.67
31361 Truckdriver, Light Truck	\$ 11.38
31362 Truckdriver, Medium Truck	\$ 14.46
31363 Truckdriver, Heavy Truck	\$ 16.93
31364 Truckdriver, Tractor-Trailer	\$ 16.93

**Miscellaneous Occupations:**

99020 Animal Caretaker	\$ 8.61
99030 Cashier	\$ 7.49
99041 Carnival Equipment Operator	\$ 10.73
99042 Carnival Equipment Repairer	\$ 11.57
99043 Carnival Worker	\$ 7.23
99050 Desk Clerk	\$ 9.45
99095 Embalmer	\$ 18.40
99300 Lifeguard	\$ 7.92
99310 Mortician	\$ 20.90
99350 Park Attendant (Aide)	\$ 9.75
99400 Photofinishing Worker (Photo Lab Tech., Darkroom Tech)	\$ 8.72
99500 Recreation Specialist	\$ 15.40
99510 Recycling Worker	\$ 10.73
99610 Sales Clerk	\$ 7.76
99620 School Crossing Guard (Crosswalk Attendant)	\$ 8.31
99630 Sports Official	\$ 7.76
99658 Survey Party Chief (Chief of Party)	\$ 11.91
99659 Surveying Technician (Instr. Person/Surveyor Asst./Instr.)	\$ 10.83
99660 Surveying Aide	\$ 7.08
99690 Swimming Pool Operator	\$ 11.47
99720 Vending Machine Attendant	\$ 9.35
99730 Vending Machine Repairer	\$ 11.50
99740 Vending Machine Repairer Helper	\$ 9.35

**\*\* Fringe Benefits Required For All Occupations Included In  
This Wage Determination \*\***

HEALTH & WELFARE: \$1.63 an hour or \$65.20 a week or \$282.53 a month.

VACATION: Two weeks paid vacation after 1 year of service with a contractor or successor; 3 weeks after 5 years; 4 weeks after 15 years. Length of service includes the whole span of continuous service with the present contractor or successor, wherever employed, and with the predecessor contractor in the performance of similar work at the same Federal facility. (Reg. 4.173)

HOLIDAYS: Minimum of ten paid holidays per year: New Year's Day, Martin Luther King Jr.'s Birthday, Washington's Birthday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving Day, and Christmas Day. (A contractor may substitute for any of the named holidays another day off with pay in accordance with a plan communicated to the employees involved.) (See 29 CFR 4.174)

1/  
Does not apply to employees employed in a bona fide executive, administrative, or professional capacity as defined and delineated in 29 CFR 541. (See 29 CFR 4.156)

2/  
APPLICABLE TO AIR TRAFFIC CONTROLLERS ONLY - NIGHT DIFFERENTIAL: An employee is entitled to pay for all work performed between the hours of 6:00 P.M. and 6:00 A.M. at the rate of basic pay plus a night pay differential amounting to 10 percent of the rate of basic pay.

3/  
WEATHER OBSERVERS - NIGHT PAY & SUNDAY PAY: If you work at night as part of a regular tour of duty, you will earn a night differential and receive an additional 10% of basic pay for any hours worked between 6pm and 6am. If you are a full-time employee (40 hours a week) and Sunday is part of your regularly scheduled workweek, you are paid at your rate of basic pay plus a Sunday premium of 25% of your basic rate for each hour of Sunday work which is not overtime (i.e. occasional work on Sunday outside the normal tour of duty is considered overtime work).

**\*\* UNIFORM ALLOWANCE \*\***

If employees are required to wear uniforms in the performance of this contract (either by the terms of the Government contract, by the employer, by the state or local law, etc.), the cost of furnishing such uniforms and maintaining (by laundering or dry cleaning) such uniforms is an expense that may not be borne by an employee where such cost reduces the hourly rate below that required by the wage determination. The Department of Labor will accept payment in accordance with the following standards as compliance:

The contractor or subcontractor is required to furnish all employees with an adequate number of uniforms without cost or to reimburse employees for the actual cost of the uniforms. In addition, where uniform cleaning and maintenance is made the responsibility of the employee, all contractors and subcontractors subject to this wage determination shall (in the absence of a bona fide collective bargaining agreement providing for a different amount, or the furnishing of contrary affirmative proof as to the actual cost), reimburse all employees for such cleaning and maintenance at a rate of \$4.25 per week (or \$.85 cents per day). However, in those instances where the uniforms furnished are made of "wash and wear" materials, may be routinely washed and dried with other personal garments, and do not require any special treatment such as dry cleaning, daily washing, or commercial laundering in order to meet the cleanliness or appearance standards set by the terms of the Government contract, by the contractor, by law, or by the nature of the work, there is no requirement that employees be reimbursed for uniform maintenance costs.

**\*\* NOTES APPLYING TO THIS WAGE DETERMINATION \*\***

**Source of Occupational Titles and Descriptions:**

The duties of employees under job titles listed are those described in the "Service Contract Act Directory of Occupations," Fourth Edition, January 1993, as amended by the Second Supplement, dated August 1995, unless otherwise indicated. This publication may be obtained from the Superintendent of Documents, at 202-783-3238, or by writing to the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. Copies of specific job descriptions may also be obtained from the appropriate contracting officer.

**REQUEST FOR AUTHORIZATION OF ADDITIONAL CLASSIFICATION AND WAGE RATE  
{Standard Form 1444 (SF 1444)}**

**Conformance Process:**

The contracting officer shall require that any class of service employee which is not listed herein and which is to be employed under the contract (i.e., the work to be performed is not performed by any classification listed in the wage determination), be classified by the contractor so as to provide a reasonable relationship (i.e., appropriate level of skill comparison) between such unlisted classifications and the classifications listed in the wage determination. Such conformed classes of employees shall be paid the monetary wages and furnished the fringe benefits as are determined. Such conforming process shall be initiated by the contractor prior to the performance of contract work by such unlisted class(es) of employees. The conformed classification, wage rate, and/or fringe benefits shall be retroactive to the commencement date of the contract. {See Section 4.6 (C) (vi)} When multiple wage determinations are included in a contract, a separate SF 1444 should be prepared for each wage determination to which a class(es) is to be conformed.

The process for preparing a conformance request is as follows:

- 1) When preparing the bid, the contractor identifies the need for a conformed occupation(s) and computes a proposed rate(s).

2) After contract award, the contractor prepares a written report listing in order proposed classification title(s), a Federal grade equivalency (FGE) for each proposed classification(s), job description(s), and rationale for proposed wage rate(s), including information regarding the agreement or disagreement of the authorized representative of the employees involved, or where there is no authorized representative, the employees themselves. This report should be submitted to the contracting officer no later than 30 days after such unlisted class(es) of employees performs any contract work.

3) The contracting officer reviews the proposed action and promptly submits a report of the action, together with the agency's recommendations and pertinent information including the position of the contractor and the employees, to the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, for review. (See section 4.6(b)(2) of Regulations 29 CFR Part 4).

4) Within 30 days of receipt, the Wage and Hour Division approves, modifies, or disapproves the action via transmittal to the agency contracting officer, or notifies the contracting officer that additional time will be required to process the request.

5) The contracting officer transmits the Wage and Hour decision to the contractor.

6) The contractor informs the affected employees.

Information required by the Regulations must be submitted on SF 1444 or bond paper.

When preparing a conformance request, the "Service Contract Act Directory of Occupations" (the Directory) should be used to compare job definitions to insure that duties requested are not performed by a classification already listed in the wage determination. Remember, it is not the job title, but the required tasks that determine whether a class is included in an established wage determination. Conformances may not be used to artificially split, combine, or subdivide classifications listed in the wage determination.

**Government Furnished Equipment (GFE)**

<b>Quantity</b>	<b>Item</b>
115	Tall Patent Storage Racks (blue trucks)
50	Computers w/keyboards and CPUs
2	Group Printers
1	Label Printer
2	Laser Printers
2	high-speed Xerox printers
66	PALM BCRs
56	PALM CRTs
24	Brothers Printers
32	Time/Date Stamps
15	Scanning stations*
2	Challenge Drills
2	Xerox Copiers
4	PICS Servers
	Carts
	Computer disks (including zip disks)
	Bulbs and Print Cartridges, Scanning Stations

\*Each scanning station is composed of one Kodak scanner, one Fujitsu flatbed scanner, two monitors, two CPUs, and one power system PC and monitor.

## DEFINITIONS

ABANDONED APPLICATION/NOTICE OF ABANDONMENT: An application for which the applicant has decided not to further prosecute the application. An official notice of abandonment is mailed 120 days after failure to respond to the office action.

ABOLISHED CLASSIFICATIONS: A grouping or set of classifications within the Patent and Trademark Office's (PTO) subject matter numerical classifications which has been deleted. During a Reclassification Project, the abolished classifications are replaced by another newly defined set of subject matter classifications.

ABSTRACT: A short narrative summary of the technical disclosure of a patent. An English-language abstract usually is attached to the front of a foreign patent.

ACCEPTABLE COPY: A patent copy which contains all pages, figures, claims, and identifying data and which otherwise meets the established standards.

ALIEN PROPERTY CUSTODIAN PUBLICATION (APC): An application vested in the Alien Property Custodian during World War II which was published in 1943 even though it did not become a patent. Such a document is identified by the words "Alien Property Custodian" and is considered to be non-patent literature.

ALPHA SUBCLASS (Unofficial Subclass): A subclass which is an examiner-initiated unofficial further breakdown of an official classification. An alpha subclass is identified by a subclass number with an alpha suffix appended. Although no definition is available for and alpha subclasses (hence the term "unofficial"), it is recorded on the Subclass Data File.

APPLICATION FILE (File Wrapper): Colored legal-size folder containing official papers designated for that file. This file contains all documents relative to the examination/prosecution of the application..

Design application -- An application for an invention of a new, original and ornamental design for an article of manufacture. The current file wrapper for a Design application is Lavender in color and the current serial number series begins with 29.

Utility application -- An application for an invention for any new and useful improvement of a process, machine manufacture, or composition of matter. The file wrapper for a Utility application currently is green and/or yellow and green and the serial number series begins with 08 or 09 (use of the 09 series began Jan 1998).

Provisional application -- A written document which consists of a specification, drawings (if applicable) and the fee required by law.. A provisional application is not examined and is considered abandoned 12 months after the filing date. The current



file wrapper for a provisional application is blue and white and the serial number series currently begins with 60.

Reissue – An application for a patent to take the place of an unexpired patent that is defective in one or more particulars. The current file wrapper for a reissue application is white with orange stripes. A reissue application uses the same label type and serial number series as parent application.

Plant application – An application for a patent for the invention or discovery and asexual reproduction of any distinct and new variety of plant. A plant application uses the same file wrapper and serial number series as a utility application.

ART: A generic term for areas of technology. The term is also used for the actual patents and literature concerning such technology.

ART UNIT: A division within a Tech Center. (See Tech Center.)

BIBLIOGRAPHIC DATA: Information related to a patent application that includes the inventor name, address, and citizenship; attorney's name, address, and phone number; assignee's name, address and phone number; title of the invention; and filing date. This data is entered into PALM and/or PACE and is used in the mailing of office actions and printed on the face of issuing patents

BAD COPY: A patent which is incomplete, illegible, or otherwise not acceptable in accordance with established standards.

CANCELED PATENT COPY: A cross-reference patent within a reclassification project whose classification has been abolished and no new classification established.

CENTRAL FILES: The location(s) in each Technology Center where all pending applications files are stored. The application files are maintained in numeric sequence by serial number.

CERTIFICATE OF CORRECTION (CofC): A certificate issued by the PTO as a result of a mistake in a patent. A printed copy of the certificate is attached to the patent copy(ies) and is considered part of the original patent.

CLAIM (s): Statement(s) at the end of the specification of a patent application that particularly points out the distinctly claimed subject matter which the applicant regards as his/her invention.

CLASS: A major grouping of subject matter or functional categories designated by a numeric code and a title. There are over 420 classes, each of which is further divided into approximately 152,539 subclasses

CLASSIFICATION: (1) The science of systematically arranging the prior art documents (e.g., U.S. patents, foreign patents, and non-patent literature) into a system of numerical categories called classes and subclasses in such a manner as to facilitate the search for and retrieval of specific technical information disclosed in the prior art documents; (2) the class and subclass assigned to a document.

CLASSIFICATION LABEL: A printed label which is attached or intended to be attached to a patent copy and which contains all pertinent information for patent identification and search file location (e.g., patent number, class/subclass, and/or date of publication).

CLASSIFICATION ORDER: Official published notification of specific changes in the official set of classifications. The order details the reclassification action that has taken place by identifying the classifications abolished and established and provides a new set of definitions for the established classifications. The order also contains all pertinent information which permits users to understand what has taken place and who did the reclassification.

CLASSIFIER: The person who practices the science of classification of patented subject matter.

CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE (COTR): The individual within the PTO responsible for the technical aspects of the contract and technical liaison with the Contractor. The COTR also is responsible for the final inspection and acceptance of all the work required under the contract.

COUNT MONDAY: Commonly used term which refers to the Monday following the end of a biweek. "Count Monday" is the last day on which information can be entered into PALM to give an examiner credit for work performed during the previous biweek.

COVER WORKSHEET (Coversheet): A sheet of paper attached to, or intended to be attached to, a designated portion of a patent and which contains classification information about the patent. A coversheet for each patent is marked by a classifier to indicate a change in classification pursuant to a reclassification project.

CONTINUED PROSECUTION APPLICATION (CPA): A continuation is a second application for the same invention claimed in a prior nonprovisional application and filed before the original application becomes abandoned or patented. The applicant in the continuation application must include at least one inventor named in the prior nonprovisional application.

CROSS REFERENCE (XR): All classifications assigned to a patent other than the classification designated as the Original (OR).

CYCLE TIME: The amount of time between the filing of an application and the disposal of the application when the processing time is charged to the PTO.

DEFENSIVE PUBLICATION: An abstract of a patent application published by the PTO and placed in the Search Files as prior art. The person holding the pending patent application must first file a written waiver of his/her rights to a patent and open the patent application to inspection by the public, thereby making the entire application part of the prior art. The intent of a Defensive Publication is to preclude anyone from subsequently patenting the subject matter of the application. These documents have been given a separate series of number preceded by "T;" e.g., T123,456. Defensive Publications were replaced by SIR documents in 1986.

DESIGN APPLICATION: see Application File

DIGEST: A collection of cross-reference patent copies in a subclass identified by the class number and the letters "DIG" followed by up to three numbers. There are no "OR" patents located in this type of subclass. This term also refers to a patent which has some pages removed at the direction of the Examiner and which has been stamped "DIGEST."

DISPOSAL: Equivalent to an allowance, abandonment, examiner's answer, international preliminary examination report, SIR disposal after first action on merit, or interference when application is in condition for allowance except for interference. At the PTO office level, refers only to an allowance or abandonment.

DOUBLE MISSING: A patent copy missing from both the Examiner Search File and Public Search File (ESF and PSF) in File Integrity processing.

DUPLICATE PATENT COPY: A patent copy which has the same patent number and classification as another patent in a reclassification project.

ESTABLISHED CLASS: Newly created or redefined technology resulting from the professional review of an existing classification.

EXAMINER (Patent Examiner): An individual whose function is to examine U.S. patent applications to determine patentability based on a review of the prior art.

EXAMINING CORPS: That organization within the PTO which is charged with the examination of patent applications. The Corps is organized into six Technology Centers, each responsible for like technologies. Each Technology Center further divides into multiple Work Groups consisting of several Art Units. A Technology Center is managed by several Group Directors; each Art Unit is headed by a Supervisory Patent Examiner (SPE). Each Center also includes a Technical Support Staff (TSS) headed by Supervisory Legal Instrument Examiners (SLIE).

EXAMINER SEARCH FILE (ESF): A complete paper set of the classified file of U.S. patents, foreign patents, and non-patent literature which is located in the patent examining groups. Each examining group has multiple search rooms which house pertinent portions of the search file. The ESF may also be referred to as the "Examiner Set."

EXTERNAL CROSS REFERENCE: A cross-reference patent whose original classification is outside the scope of a reclassification project. This patent copy is considered a "preferred patent copy" for which a patent cover worksheet is generated and attached to the patent copy prior to forwarding the patent copy to the Classifier for professional review.

FLAT WORK: Commonly use term which refers to application-related documents which are submitted subsequent to the filing of an application.

FOREIGN PATENTS: Patents and published patent applications printed by foreign countries. Copies of these documents are located in the Examiner Search File only and are used as reference material by the patent examiners and the public. Each foreign language document has an English-language abstract attached to it.

FOUND PATENT COPY: A patent copy which is not of record in the classification where it is found. The classification label affixed to the patent copy indicates it belongs in that classification but there is no computer record (label, cover worksheet, computer-generated listing) indicating that it belongs in that classification.

GOVERNMENT REPRESENTATIVE: An individual appointed by the Government to serve as a representative for the Government in the administration of the contract.

HOUSEKEEPING: Any physical maintenance of the facilities such as relabeling racks, mini-expansions of search files, compressing files in central files, etc.

IN HOUSE: A term used to describe those functions or activities which are performed within the PTO by Government employees.

INCOMPLETE COPY: A patent copy which has figures or textual material missing or illegible.

INFORMAL TRANSFER: A patent on which someone, presumably an Examiner, has manually marked through the class and/or subclass on the patent copy and substituted a different class and/or subclass and then refiled the patent according to the substitute classification.

INTERNAL CROSS REFERENCE: A cross reference patent within a reclassification project whose original classification also is within the project. These patent copies are removed as surplus during Preprocessing because the OR patent will be sent to the

**Classifier.** These patent copies are stored (by the contractor) for use as an additional copy as needed during Final Processing.

**INTERNATIONAL PATENT CLASSIFICATION (IPC):** A subject matter classification system similar to that of the U.S. which is used by many foreign countries and sometimes used in the Examiner Search File for filing foreign patent documents.

**JUMBO PATENT COPY:** A patent copy having more than 40 pages.

**LABELING:** The act of physically attaching a printed classification label to a patent copy in a specified manner.

**LISTING:** A computer-generated list of information.

**LIST PROJECT:** A reclassification project whose new classification data is marked on and keyed from a list rather than the cover worksheets or patents themselves.

**MANUAL OF CLASSIFICATION (Class Manual):** The document (paper or electronic) containing the classification schedules which list the number and descriptive titles of the more than 420 classes and 130,000 subclasses used in the subject classification of patents.

**MANUAL SEQUENCE:** Subclass numbering as contained in the Manual of Classification; may not be numeric sequence (e.g., Class 36, subclasses 138, 139, 2.6, 3, 5.1, 7.7, 7.3).

**MASTER CLASSIFICATION FILE (MCF):** The automated data base which contains each U.S. patent number and its corresponding classification(s).

**MINI-FILE EXPANSION:** A file expansion done as part of routine Examiner Search Room Maintenance. A mini-file expansion automatically is initiated by the contractor when sufficient space for a file expansion exists within three shoecase columns of an area requiring expansion.

**MISFILE PATENT:** A patent copy which is found in a classification or search file location which is not the classification or search file location indicated on the label of that patent copy.

**MISSING PATENT:** A patent for which there is no copy in the search file being processed. A copy of each missing patent must be obtained. Does not include additional copies which can be photocopied from a copy in hand in a reclassification or file integrity project or obtained from the stored surplus.

**NOTICE OF AUTHORITY (NOA):** A written authorization permitting the Contractor to initiate work.

NUMERIC CLASSIFICATIONS: Official classifications in the file of classified patents (i.e., search file) which contain only numeric symbols as classification indicia.

OATH: Statement that applicant believes himself/herself to be the original and first inventor for which he/she solicits a patent. A statement of citizenship also must be included in the oath.

OFFICE ACTION: Any official communication from the Patent Office to patent applicants or their representatives.

ORIGINAL REFERENCE (OR): The classification for each patent pertaining to the most comprehensive claimed subject matter of that patent. A patent can have only one OR classification.

PATENT APPLICATION CORRECTION ENTRY SYSTEM (PACE): Automated system used to enter bibliographic data.

PATENT APPLICATION LOCATING AND MONITORING (PALM): Automated system which maintains a record on each patent application and the physical location of the application. Each PALM workstation is composed of a CRT screen, a keyboard, and a printer. PALM transactions (e.g., changing location, printing information) normally are performed by "wandering" (i.e., optically scanning) a bar code printed on an application file and/or keying in additional data. PALM also is available using a PC connected to PTO's Network.

PAPER MATCHING: Taking incoming papers (faxes and mail), locating the related application files, placing the papers in the related application files and delivering them to the Technical Support Staff for entry. (Synonymous with file retrieval)

PATENT: A grant of certain rights to an individual inventor by the Government acting through the PTO. The subject matter of the patent is an invention. The right conferred by the patent grant is for a limited time period and allows the patent owner to exclude others from making, using, or selling the invention in this country. There are several types of patents:

DESIGN: Patents for ornamental designs which are issued under a separate series of numbers preceded by "D;" e.g., D140,000.

PLANT: Patents for asexually reproduced varieties of plants which are issued under a separate series of numbers preceded by "PP;" e.g., PP13.

REISSUE: Patents which correct errors in a previously granted parent patent. Reissue patents do not extend the period of patent coverage since they expire when

the previously granted patent expires. Reissues are issued under a separate series of numbers preceded by "RE;" e.g., RE229,106.

X-SERIES: These are the approximately 10,000 patents issued between 1790 and July 1836. They were not originally numbered but have been assigned numbers in the sequence in which they were issued..

UTILITY: The mechanical, electrical, and chemical patents granted since 1836. This series comprises the bulk of all U.S. patents. Utility patents are issued under a series of numbers now including seven digits; e.g., 4,517,367.

A.I. SERIES: Patents issued from 1838 to 1861 covering an inventor's improvement on his/her own patented device. These patents were given a separate series of numbers preceded by "A.I." to indicate Additional Improvement; e.g., A.I.113. Approximately 300 such patents were issued.

PATENT COPY: The document which is a facsimile of the patent and which is placed in the search file in the PTO. The official patent is a grant issued to the inventor and is in the possession of the inventor or his/her assignee.

PATENT IMAGE CAPTURE SYSTEM (PICS): The system which captures and stores application images scanned in OIPE.

PCT: Patent Cooperation Treaty. Also refers to an organization within the PTO.

PCT OPERATIONS WORKFLOW AND ELECTRONIC REVIEW (POWER) SYSTEM: The automated system which enables electronic processing of new international applications on the PC desktop.

PRIOR ART: The collection of U.S. patents, foreign patents, and non-patent literature which constitutes the documents disclosing technical information which are reviewed during the patent application examination process.

PROBLEM OR: A patent copy which has no original classification or more than one original classification.

PROJECT SCOPE: The classification or series of classifications included in a reclassification or file integrity project.

PROJECT TRANSFER: A patent copy within one project which is to be transferred to a second project.

PROVSIONAL APPLICATION: see Application File.

PTO: An acronym which refers to the Patent and Trademark Office, an agency within the Department of Commerce.

PTO-666 (Shoe Label): A PTO standard form which is used on each shoe in the Examiner Search File to identify the document type, class/subclass, and patent number range of patent documents filed within the shoe.

PUBLIC SEARCH FILE (PSF): A complete set of the classified file of U.S. patents which is located in the Public Search Room (PSR) on the first floor of Crystal Plaza (CP) 34 and the mezzanine directly above and is available for search by the general public. The PSF may also be referred to as the "Public Set."

RACK: An upright, doorless cabinet having accessible horizontal storage compartments, each of which can hold a few inches of U.S. patents. The Public Search File is kept in racks in the Public Search Room. A special rack mounted on wheels is called a truck since it can be used for transportation as well as storage of prior art documents. Racks also are used to houses application files.

RECEIPT OF MATERIALS: A written verification issued by the Government and signed by the Contractor acknowledging receipt of specified materials from the Government.

RECLASSIFICATION: The professional science of reorganizing the technological grouping(s) of the prior art documents (i.e., U.S. patents, foreign patents, and non-patent literature). Reclassification is necessitated by the growth and development of technology and new relationships and interactions between and among technologies. The purpose of reclassification is to facilitate the retrieval of specific technical information disclosed in the prior art.

RECLASSIFICATION PROJECT: A particular group of classifications which have been selected for reclassification. The project may include one or more classes, subclasses, or any combination thereof.

REEXAMINATION: An examination of a previously issued patent in view of prior art patents or printed publications which results in confirmation or cancellation of one or more patent claims.

REFERENCE COPY: Any document (e.g., U.S. patent) that has been copied for mailing with an office action.

REISSUE APPLICATION: see Application File

RESPONSIVE PAPER: Any amendment filed by the applicant that changes the content of the application or any request by applicant for reconsideration of the examiner's position.



REVENUE ACCOUNTING and MANAGEMENT SYSTEM (RAM): Provides for the automated support and controls for processing all fees collected for products and services provided by the PTO.

SERIAL NUMBER: Sequential number assigned to application files by the PTO for identification purposes. Beginning January 1998, the current series of utility application numbers begins with 09/.

SOFT COPY: A patent copy printed on less than 28 pound paper.

SHOE: A term applied to a removable storage drawer in which documents maintained in the Examiner Search File are kept. These drawers or shoes are arranged in doorless cabinets called shoeboxes and are individually labeled to indicate the classification and patent number range of documents contained within each shoe.

SHOEBASE: An upright, doorless cabinet holding removable storage drawers called shoes, each of which can hold a few inches of prior art documents.

STATUTORY INVENTION REGISTRATION DOCUMENTS (SIR): SIR documents are published without the formal examination required for a utility patent. A SIR document is designated by a registration number preceded by the letter "H". These documents replaced Defensive Publications in 1986.

STAFF DAY: The unit of measurement used to determine the volume of work to be completed in 1 workday by 1 employee.

SUBCLASS: The smallest segment breakdown of the PTO's official numeric subject matter classification system.

SUBCLASS DATA FILE (SDF): An automated data file of U.S. classification information containing the numeric and/or alpha subclass designator for each and every valid, existing classification as well as the Examiner Search Room location for each.

SUPERVISORY LEGAL INSTRUMENT EXAMINER (SLIE): A support staff supervisor in a Patent Examining Group responsible for all activities and work output of the support staff within an Examining Group.

SUPERVISORY PATENT EXAMINER (SPE): A patent examiner assigned supervisory and training responsibility for an Art Unit of patent examiners. This individual is assigned responsibility for on-the-job training of new patent examiners and for monitoring the patent examination process and the productivity level of the Art Unit.

SURPLUS PATENT: An additional cross-reference patent copy which is removed from the search file during the Preprocessing phase of a reclassification project. Since only the

unique copy of each patent in the project is processed and delivered to the classifier, all other copies are removed as surplus and stored for later use.

TECHNOLOGY CENTER: see Examining Corp.

UNIQUE PATENT COPY: In a Reclassification Project, only one copy of each patent having a unique patent number and contained in the project is sent to the Classifier. This patent copy, whether it contains an "OR" or "XR" designation, is considered the unique patent copy for the project. Any extra copies are removed as surplus and stored for later use.

UTILITY APPLICATION: see Application File.

VALIDATE: The process of checking for errors which may exist in the data file.

WORK GROUP: A group of approximately 4 to 9 Art Units headed by a Group Director.

WORKING NUMBER: An identifying code consisting of four numeric digits followed by an alpha character (e.g., 4162A) which is assigned to a proposed subclass created during a reclassification project. The working number is translated into a final subclass number which reflects the subclass position within the new classification schedule.