

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

1. FROM (Agency or establishment)
Department of Commerce

2. MAJOR SUBDIVISION
Patent and Trademark Office

3. MINOR SUBDIVISION
Data Administration Division

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

5. TELEPHONE
(703) 308-7400

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-241-96-F

DATE RECEIVED
12-21-95

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
1-10-97

ARCHIVIST OF THE UNITED STATES
John W. Paul

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/18/95	<i>Kathleen A. Schultz</i>	<i>Records Officer</i>

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>See attached items 1-56 (Phase IV)</p> <p>SEE REVISIONS ATTACHED TO THIS SCHEDULE</p> <p><i>Verbal concurrence for all changes and modifications was received from the PTO records officer on December 19, 1996.</i></p> <p><i>Larry Baume 12/20/96</i></p>		

JAN 23 1997 *MMR* Copy to: Agency, NWRE
NWID, NWRC

Standard Form 115
submission to the
National Archives and Records Administration

for

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

Prepared by

NCI Information Systems, Inc.

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

Patent and Trademark Copy Sales Program

1 (10) Plant Patent Copy Files* Proposed
 A master copy of plant patents drawings and specifications used for the photo reproduction of sales copies.

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

2 (12) Files of Redeemed Coupons Proposed
 Original coupon used as payment for copies of patents or trademarks.

Disposition: Destroy when 6 months old.

SEE REVISIONS

Assignment Division

3 (13) Government Register* Proposed
 Copies of documents which license to the Federal Government, the rights, title and interest to patents and trademarks.

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

4 (13a) Patent and Trademark Assignments - NC1-241-76-1
#120 Rev.
MICROFILM

Microfilm copy of documents requesting a change in the patent application, such as a change of assignee, attorney, agent, or address. Documents are located by searching PALM and TRAM.

- a. ~~Microfilm master.~~
- b. ~~All other copies.~~

Disposition: a. ~~Permanent. Transfer microform master plus one copy to NARA when no longer needed. (See 38 CFR 1230.22 and 38 CFR 1230.26 regarding inspection of microfilm prior to transfer.)~~
 b. ~~Destroy copies when no longer needed.~~

Certification Division

5 (19) CANOFILE Optical Working Requests - Proposed
ELECTRONIC

Digital optical images of orders used for reference after the original document is returned to the customer with the requested product. Filed by serial number. Assists in resolving subsequent questions concerning the order. This optical device permits data writing and reading thus allowing storage reuse.

Disposition: Delete record when 2 years old.

6 (22) Patent and Trademark Assignments - NC1-241-76-1
#120 Rev.
MICROFILM

Microfilm copy of documents requesting a change in the patent application, such as a change of assignee, attorney, agent, or address. Documents are located by searching PALM and TRAM. Note: Microfilm master is maintained by the Assignment Division.

Disposition: Destroy copies when no longer needed.

Center for Patent and Trademark Information

7 (29) Center Administrative/Subject Files Proposed*
 Record copy of correspondence, reports, and memoranda relating to the functions of the Office.

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

8 (30) Information Dissemination Organization Products and Services Catalog Proposed

A manual of services which are available to the public and to PTO staff from the Center. Note: Manual is scheduled for completion in 1995.

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

Disposition: a. Destroy record copy 3 years after superseded.
 b. Destroy all other copies when superseded.

SEE REVISIONS

Patent and Trademark Depository Library Program

9 (31) Patent and Trademark Depository Library Files Proposed*
 Files arranged by Patent and Trademark Depository Library (PTDL) containing all materials pertaining to the respective libraries.

Disposition: ~~Permanent. Transfer to NARA when no longer needed.~~

10 (32) Chron File Proposed*
 Record copy of program correspondence, arranged chronologically. Materials relate to entire scope of services available through the PTDL system.

Disposition: ~~Break files by fiscal year. Transfer to FRC when 10 years old. Destroy when 20 years old, or no longer needed.~~

11 (33) PTDL Partnership Files NC1-241-76-1
#6 c. Rev.
 Files containing the Service Level Agreements negotiated between PTO and PTDLs and background source materials. Materials articulate rights and responsibilities of participants, and establishes review periods and procedures. Arranged by PTDL.

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

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed.~~
 b. ~~Destroy all other copies when superseded or obsolete.~~

12 (36) PTDL Numbered Memoranda Mailings Proposed*
 Record copy of most recent 10 years of numbered memoranda sent to PTDLs, filed chronologically. Subjects cover entire range of information services including: PTO organization, staffing, publications, research techniques, software enhancements, training, and conferences. Finding aid entitled "Memorandum List" contains subjects.

Disposition: ~~Transfer to FRC when 10 years old. Destroy when 20 years old, or no longer needed.~~

- 13 (38) "Ad Lib" Newsletter Files Proposed*
Record copy of each newsletter with drafts and source material.
a. Record copy.
b. All other copies.

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed.~~
b. ~~Destroy when 5 years old.~~

- 14 (39) PTDL Annual Conference Working Papers Proposed*
Record copy of agenda, proceedings, working papers, and related handout materials for each annual conference.

Disposition: ~~Permanent. Transfer to NARA when no longer needed.~~

- 15 (41) PTDL - APS Pilot Program NC1-241-76-1
#24 Rev.
Copies of materials pertaining to successful pilot program which resulted in availability of online Automated Patent System to PTDLs. Includes documents relating to the pilot program, usage log reports during the pilot, bimonthly task order and deployment meetings, and APS system release documentation. Materials used to document origin and growth of program.

Disposition: ~~Transfer to FRG 5 years after expiration of plan or program. Destroy when 10 years old, or when no longer needed.~~

SEE
REVISIONS

- 16 (43) Plant Patent Files - MICROFICHE NC1-241-76-1
#120 Rev.
NONRECORDS
Color microfiche copy of the printed version of allowed plant patents.
a. Microform master.
b. All other copies.

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed.~~
b. ~~Destroy when no longer needed.~~

- 17 (44) Patent Status Files - MICROFILM NC1-241-76-1
#120 Rev.
NONRECORDS
Commercial, second generation microfilm of post issue actions (such as re-issues, certificates of corrections, disclaimers, dedications, etc.) Copies of film used for public reference in Patent Search Room and PTDLs.
a. ~~Second generation microfilm.~~
b. ~~All other copies.~~

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed.~~
b. ~~Destroy when no longer needed.~~

- 18 (44a) Patent Status File Paper Index* ~~Proposed~~
Nonrecord*
Commercial paper index to commercial microfilm of post issue actions (such as re-issues, certificates of correction, disclaimers, dedications, etc.), which is housed in the Patent Search Room, in PTDLs, and at Boyers.

Disposition: Destroy when no longer needed.*

Public Search Services Division

- 19 (48) Customer Infraction Files Proposed*
Records relating to customer infractions of regulations, includes original communication and resolution.

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

20.00 (49) Project Files (Search Services Division)

Proposed

Files relating to various search service projects including, but not limited to: the development of the automated search system, fee collection systems, new search procedures, implementation of Pre-Grant Publications (PG Pub).

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

Patent Search Branch**21.00 (50) Comment Card Files**

Proposed*

Patent search room comment cards that are brought to the attention of the search room staff. The card asks service related questions on quality, timeliness, employee helpfulness, and comments.

~~Disposition: Destroy when 2 years old, or when no longer needed. Note: GRS 14-
(5) applies, but user wants longer retention.~~

22.00 (51) Reports on Search Room Activities

NC1-241-76-1 #114 Rev.*

Weekly, monthly, and other periodic reports showing production and general activities of the public search room, with related background papers.

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

~~Disposition: a. Destroy when 10 years old, or when no longer needed.
b. Destroy when 2 years old, or when no longer needed.~~

SEE REVISIONS**Patent Search Room****23.00 (54) Public Search Files of U.S. Patents**

See Disposition Instructions

Copies of printed patents arranged by class and subclass or by patent number. Includes paper copies (unbound, loose sheets arranged by class and subclass), bound volumes (including plant patents, design patents, reissues, B-Patents), and microfilm copies (arranged by patent number). Note: Second generation archival microfilm is retained by OIPD.

~~Disposition: Final disposition not yet determined.
(NC1-241-76-1 #137 Rev.)~~

24.00 (58) Defensive Publications~~Proposed.~~

Publications that are used to prevent others from obtaining a patent on a prior invention by publishing its description in the *Official Gazette* or other publications. Includes bound volumes and microfilm.

NONRECORD

~~Disposition: Destroy when superseded or no longer needed for public reference.~~

25.00 (60) Certificate of Corrections - MICROFILM

NC1-241-76-1 #120 Rev.

Microfilm copy of certificate issued when an inventor wishes to make minor corrections of a technical or clerical nature to an application after the patent has been issued. Paper record copy of certificate contained in patent case file.

NONRECORD

- a. ~~Microform master.~~
- b. All other copies.

~~Disposition: a. Permanent. Transfer to NARA when no longer needed.
b. Destroy when no longer needed.~~

26 (61) Alien Property Custodian File Proposed
 Bound volumes of patent applications submitted by former enemies of the United States and appropriated by the American people during WWII. These applications were published in 1943 even though they had not become patents. Used for public reference.

Disposition: ~~Permanent. Transfer to NARA when no longer needed for public reference.~~

27 (63) Patent Suits Index Proposed
 Card index to lawsuits between inventors. Includes patent number, pending suits, plaintiff, defendant, decisions, and cross references. Discontinued in 1985. Replaced by LITALERT, a commercial publication. Note: Card index was not converted to LITALERT.

Disposition: ~~Permanent. Transfer to NARA when no longer needed for reference.~~

28 (66) Reclassification Orders Proposed
 Copies of orders that identify classifications that are established or abolished as a result of reclassification projects. These orders are used to bridge the gap between the time the change is officially made and the time that search tools are updated to include the new information.

Disposition: Destroy when superseded or no longer needed for public reference.

NONRECORD

**SEE
REVISIONS**

Patent Assignment Search Room

29 (80) Patent Assignment Deeds and Indexes NC1-241-76-1
#120 Rev.
 Microfilm copy of each assignment deed accepted for recordation and the microfilm index to patents containing the names of the assignee and assignor. Original assignment document returned to applicant. Includes card index of assignments including the inventors index, the assignor index, and the assignee index. Includes reel and frame number index to microfilm.
 a. Microfilm master.
 b. Microfilm copy.
 c. Card indexes.

Disposition: a. ~~Permanent. Transfer to the NARA when no longer needed.~~
 b. Destroy when superseded or no longer needed for public reference.
 c. ~~Permanent. Transfer to the NARA when no longer needed.~~

LIBRARY MATERIALS

30 (81) ASIGN CD-ROM - ELECTRONIC Proposed
 The ASIGN CD-ROM is a subsystem of CASSIS. This system allows electronic searching of assignment information by patent number, serial numbers of issued patents, patent title, date of issue, date of recording, microfilm reel/frame number and includes assignment brief.

Disposition: Destroy when superseded or no longer needed for public reference.

NONRECORD

Trademark Search Library

31 (93) Applicant's Index - MICROFILM* NC1-241-76-1
#120 Rev.
 Microfilm copy of index to trademark applications by name, words, and designs.
 Covers period from 1922 -1979. Used as the public reference copy.
 a. Master copy.
 b. All other copies.

Disposition: a. ~~Permanent - Transfer to NARA when no longer needed.~~
 b. ~~Destroy when no longer needed.~~

32 (96) Published Trademarks - MICROFILM NC1-241-76-1
#120 Rev.
 Microfilm copy of trademarks arranged by words and applicable designs
 classifications. Used for public reference.
 a. ~~Master copy.~~ NONRECORD
 b. All other copies.

Disposition: a. ~~Permanent - Transfer to NARA when no longer needed.~~
 b. Destroy when no longer needed.

33 (98) Registrant's Index NC1-241-76-1
#95 Rev.
 Index to registrant's name. Includes line of goods, serial number, registration
 number, and registration date. Maintained in separate series for years
 1931-1966, and 1966 to present. Used as the public reference copy.
 a. Card file.
 b. Microfilm of card file.

Disposition: a. ~~Permanent - Transfer to NARA when no longer needed for
 reference.~~
 b. ~~Destroy when no longer needed for public reference.~~

SEE REVISIONS

34 (100) Annual Index of Trademarks/Index of Proposed
 Trademarks
 Bound volumes of printed indexes include an alphabetical list of registrants,
 applicants, and registrant's labels, and a classified list of trademarks. Early index
 data in these volumes is not available on electronic systems or on microfilm.
 Covers period from 1881-1991. Record copy; also used for public reference.

Disposition: ~~Permanent - Transfer to NARA when no longer needed for reference.~~

35 (101) Official Register of Trademarks - Bound Proposed
 Volumes
 Primary legal authority for trademark registrations. Arranged by registration
 number. Contains the design, date of application, date of registration, registration
 number, and corrections, cancellations, and abandoned notations handwritten on
 printed pages or pasted from text cut from copies of the *Official Gazette*. Includes
 vols. 1-1199, 2000, 001-856 covering period from 1870-February 1, 1994.
 Record copy; also used as the public reference copy.

Disposition: ~~Permanent - Transfer to NARA when no longer needed for public
 reference.~~

36 (102) Corrected and Amended Trademark Registrations

Proposed

Published corrections and amendments from the *Official Gazette*. Pages removed and filed by registration numbers in 8"x6" card file drawers. Supplements the Official Register of Trademarks - Bound Volumes series by replacing the earlier practice of gluing corrections and amendments to the respective trademark records in these volumes. Used as the public reference copy.

~~Disposition: Permanent. Transfer to NARA with Official Register of Trademarks - Bound Volumes.~~

37 (103) Examiners Registrations/Trademark Operations*

Proposed

Bound ledgers of handwritten registrations of trademark applications in serial number order with notations on issuance, applicant, attorney, date of application, date received, drawings, and actions. A tabbed index listing applicants in alphabetical order is bound into the front of each volume. Covers period from 1890-1921. Information is not duplicated in electronic systems. These ledgers contain listings for applications and notations on registration, abandonment, cancellations, and other actions. Precedes series Trademark Docket Cards. Record copy; also used as the public reference copy.

SEE
REVISIONS

~~Disposition: Permanent. Transfer to NARA when no longer needed for public reference.~~

38 (104) Trademark Docket Cards

Proposed*

Tracking records used to assign examiners and to monitor activity of trademark applications during processing for registration. Cards also serve as an index to registrations. Each card contains class, filing date, serial number, registrant, trademark, and address. Examiner's name is handwritten on upper left corner. Some cards are stamped "Abandoned" with date. Trademark Docket Cards succeeded the Examiners Registrations/Trademark Operations series. The TRAM II system has succeeded the Trademark Docket Cards; cards were not converted to TRAM. Cards stored in boxes. Used as the public search copy.

- a. Cards.
- b. Microfilm of cards.

~~Disposition: a. Permanent. Transfer to NARA when no longer needed for public reference.~~

~~b. Destroy when no longer needed for public reference.~~

39 (105) Abandoned Trademark Applications - MICROFILM

NC1-241-76-1
#120 Rev.

Microfilm copy of trademarks abandoned after opposition or failure to respond to office action. Records consist of a single sheet per entry and include applicant address, goods, date of prior use, and date of abandonment by applicant. Filmed in 1970, 1980, and 1990, and separated into word and design series. Used as the public reference copy.

NONRECORD

- a. Microform master.
- b. All other copies.

~~Disposition: a. Permanent. Transfer to NARA when no longer needed.~~

~~b. Destroy when no longer needed.~~

7. Item No.

8. DESCRIPTION OF ITEM

9. GRS or Superseded Citation

10. ACTION TAKEN (NARA Use)

40 (106) Abandoned Trademark Drawings - MICROFILM

NC1-241-76-1 #120 Rev.

Microfilm copy of trademark drawings which have been abandoned by applicant. Filed by name and class. Includes dates of first use, mark, and date of abandonment. Used as the public reference copy. a. Microform master. b. All other copies.

NONRECORD

Disposition: a. Permanent. Transfer to NARA when no longer needed. b. Destroy when no longer needed.

41 (107) Abandoned Trademark Applications by Design Classification and by Name

NC1-241-76-1 #89 Rev.

Trademark applications which have been abandoned before completion. Filed in separate groups by design classification and by first word occurrence. Used as the public reference copy. a. Paper search records. b. Microfilm master. c. Microfilm copy.

NONRECORD

SPE REVISIONS

Disposition: a. ~~Destroy after microfilming and verification.~~ b. ~~Permanent. Transfer to NARA when no longer needed.~~ c. ~~Destroy when no longer needed for public reference.~~

42 (108) Expired and Cancelled Trademark Registrations - MICROFILM

NC1-241-76-1 #120 Rev.

Expired and cancelled marks removed from search area at 10 year intervals. Records do not include application, documentation, or correspondence. Records cover period from 1870-1986. Public search copy. a. Microform master. b. All other copies.

NONRECORD

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed.~~ b. ~~Destroy when no longer needed.~~

43 (109) Trademark Suits Index

Proposed

Index of civil lawsuits involving trademark disputes originally maintained in the Solicitor's Office. Separate indexes for decided, pending, plaintiff, defendant, cross-reference, and a single drawer of cross-reference for patent suits. Discontinued by the Solicitor's Office in 1985 when LitAlert began collecting and publishing the information. Used as the public reference copy.

Disposition: Destroy when no longer needed for public reference.

44 (110) Trademark Adversary Proceedings Index

NC1-241-76-1 #93 Rev.

Index of proceedings separated into oppositions, defendants, plaintiffs, and decisions. Records cover period from 1940's -1995. Used as the public reference copy. a. Index cards. b. Microfilm of index cards.

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

45 (111) Trademark Oppositions Proposed
 Oppositions to trademarks by serial number of opposition contained in 17 ledgers. Handwritten entries date from the 1940's - 1991. Information is not indexed in TRAM but some records are duplicated in the Adversary Proceedings Card Files. Record copy; also used as the public reference copy.

Disposition: ~~Permanent Transfer to NARA when data entered in electronic system and verified or when no longer needed for public reference.~~

46 (112) Trademark Search Library Reports NC1-241-76-1
#114 Rev.
 Reports on Trademark Search Library activities. Weekly, monthly, and other periodic reports showing production and general activities of the public search room with related background papers.

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

Trademark Assignment Search Room

47 (113) Trademark Assignments and Indexes NC1-241-76-1
#50 Rev.
 Records of individual trademark assignments. Records also include security agreements, mergers, change of name, and other types of conveyances. Original records returned to assignors after filming. Microfilm records cover the period from 1955 to the present and begin with registration number 570. Separate card indexes by registration, assignee, and assignor. Each card contains name of assignee, assignor, registration date, registration number, date recorded, and reel and frame location of trademark assignment records on microfilm.

- a. Assignment microfilm.
- b. Card indexes.
- c. Microfilm of card indexes.

Disposition: a. ~~Permanent Transfer to NARA when no longer needed for public reference.~~
 b. ~~Permanent Transfer to NARA when no longer needed for public reference.~~
 c. ~~Destroy when no longer needed for public reference.~~

SEE REVISIONS

Office of Information Products Development

48 (121) PTDL Search System Use-Level Reports Proposed
 Patent and Trademark Depository Libraries (PTDL) subscribe through this Office for access to online patent and trademark text files. Reports of each PTDL connect time are provided as statements of their subscription account, and a copy is maintained in the Office for reference.

Disposition: Destroy when 3 years old.

Product Development and Product Management Divisions

- 49 (129) CD ROM Products - ELECTRONIC Proposed
An archival copy of each CD ROM product distributed by the Office. A collection of approximately 170 disks growing at the rate of 12 disks per month. CD ROMs are mastered and duplicated by a contractor through the National Technical Information Service (NTIS). CD ROM Publications are listed in Electronic Information Products Brochure. DUPLICATE
COPIES
~~Disposition: Permanent. Transfer to NARA when no longer needed for PTO business.~~
- 50 (135) Technology Assessment Forecast Reports Proposed*
Printouts of database records. Used to analyse incidence and distribution of patents by various characteristics such as class, type, or geography.
a. Record copy.
b. All other copies.

Disposition: Destroy when superseded or no longer needed.
- 51 (137) Design Patent Drawings - MICROFILM NC1-241-76-1
#120 Rev.
Microfilm copy of design patent drawings. Paper record copy of design patents stored at Cinderbed and the FRC.
a. ~~Second generation archival microfilm.*~~
b. ~~All other copies.~~ SEE
REVISIONS
~~Disposition: a. Permanent. Transfer to NARA when no longer needed for public reference.~~
~~b. Destroy when no longer needed for public reference.~~
- 52 (138) Patent Reissues and Index - MICROFORM NC1-241-76-1
#120 Rev.
Microform copy of reissues. Reissues are granted when a patent is wholly or partly inoperative or when the owner wishes to change or correct the specifications of the issued patent. Includes microfilm of reissues and microfiche used to cross-index from Original to Reissued patent number. Record copy of the reissued patent maintained as a separate case file. Used for public reference.
a. ~~Second generation archival microfilm.*~~
b. ~~All other copies.~~

Disposition: a. ~~Permanent. Transfer to NARA when no longer needed for public reference.~~
~~b. Destroy when no longer needed for public reference.~~
- 53 (139) Statutory Invention Registrations (SIR) - MICROFILM NC1-241-76-1
#120 Rev.
Annual microfilm or SIRs which have been issued during the past calendar year.
a. ~~Second generation archival microfilm.*~~
b. ~~All other copies.~~

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

54 (140) U.S. Utility Patents - MICROFILM
 Microfilm of utility patents issued weekly from the USPTO arranged in numeric sequence.
 a. ~~Second generation archival microfilm.*~~
 b. ~~All other copies.~~
 Disposition: a. ~~Permanent. Transfer to NARA when no longer needed for public reference.~~
 b. ~~Destroy when no longer needed for public reference.~~

NC1-241-76-1
#120 Rev.

55 (141) Patent Full-Text Master Tape File -
 ELECTRONIC
 Contains the machine-readable full text of all patents issued weekly. Used as input to the creation or re-creation of a variety of by-product files such as patent bibliographic data, patent bibliographic data with exemplary claim, and patent claims.
 a. ~~Archival copy.~~
 b. ~~All other copies.~~
 Disposition: ~~Transfer to NARA when no longer needed for PTO business.~~

Proposed

56 (142) Patent Image Master Tape File - ELECTRONIC
 Patent images are downloaded from the APS to tape. The patent image data is copied from tape for dissemination.
 a. ~~Archival copy.~~
 b. ~~All other copies.~~
 Disposition: ~~Transfer to NARA when no longer needed for PTO business.~~

Proposed

*SEE
REVISIONS*

**Patent and Trademark Office
Revisions to Phase IV
Job No. N1-241-96-4**

Item 1. Plant Patent Copy Files

Paste-up copies of plant patent drawings used for the photo reproduction of sales copies.

Revised disposition: Destroy when no longer needed for current PTO business.

Item 3. Government Register. Revised disposition.

Item 3a: Close files at the end of each FY and transfer to the FRC 5 years after closure. Destroy 25 years after closure. {N1-241-90-1, Item 1}

New Item 3b. Microfilm copies (nonrecord reference materials). Destroy when no longer needed. Added as per phone call from K. Schultz 3/4/96.

Item 4. Patent and Trademark Assignments

Microfilm copies of paper documents received by PTO requesting a change in the patent application such as a change of assignee, attorney, agent, or address. Assignments are located by searching PALM and TRAM. The original microfilm is created by the Assignment Division and copies are distributed to other PTO units.

- a. Paper records. Return to customer.
- b. Microfilm. PERMANENT. Transfer the original camera film and one reference copy to the National Archives in accordance with provisions of 36 CFR 1230 when 25 years old.
- c. Index to Patent and Trademark Assignments.

PERMANENT. Transfer to the National Archives with the records listed in 4b. NOTE: the electronic index is already scheduled as permanently valuable in Job No. N1-241-96-5, Item 67, "A-16 text files."

Item 6. Patent and Trademark Assignments. Disposition revised. Reference copies of Patent and Trademark Assignments (microfilm) listed in Item 4.

Destroy when no longer needed.

- Item 9. Patent and Trademark Depository Library Files. Disposition revised.
Break closed files annually and transfer to the FRC 10 years after closure. Destroy 20 years after closure.
- Item 10. Chron Files (Record copy of Program Correspondence). Revised disposition.
Break closed files annually and transfer to the FRC 10 years after closure. Destroy 20 years after closure.
- Item 11. PTDL Partnership Files. Revised disposition.
Break closed files annually and transfer to the FRC 10 years after closure. Destroy 20 years after closure.
- Item 12. PTDL Numbered Memoranda. Revised disposition.
Break closed files annually and transfer to the FRC 10 years after closure. Destroy 20 years after closure.
- Item 13. PTDL Program Newsletters and Publications. Revised description and disposition.
One copy of each newsletter, such as "Ad Lib", PTDL annual conference proceedings, or other regular or occasional publications produced by PTDL or during a PTDL fellowship.
- a. Record copy: PERMANENT. Break files annually and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure.
 - b. Drafts, source materials, proofs, and working papers: Destroy when 5 years old.
- Item 14. PTDL Annual Conference Working Papers. Disposition revised.
Break files annually and destroy when 10 years old.
- Item 15. PTDL - APS Program Files. Description and disposition revised.

Materials pertaining to the successful pilot program and follow-on projects or programs related to making the online Automated Patent System available to PTDLs....

Break closed files annually and transfer to the FRC 5 years after close. Destroy when 20 years old.

Item 16. Plant Patent Files--Microfilm. Nonrecord materials. Vital records for PTO.

Item 17. Patent Status Files--Microfilm. Nonrecord materials. Vital records for PTO.

Item 18. Patent Status File Paper Index. Nonrecord materials.

Item 19. Customer Infraction Files. Disposition revised.

Destroy 5 years after the complaint is settled or the case is resolved, or 5 years after the last entry.

Item 20. Project Files (Search Services Division). Disposition revised.

Close files at the end of project. Destroy 10 years after closure.

Item 21. Comment Card Files. Disposition revised.

Destroy when 2 years old.

Item 22. Reports on Search Room Activities. Disposition revised.

a. Destroy when 10 years old.

b. Destroy when 2 years old.

Item 23. Public Search Files of U.S. Patents (new item)

Inactive copies of printed patents arranged by class and subclass, and thereunder by patent number. These records are used to facilitate internal and external patent searches by class and subclass.

Disposition: Break inactive class and subclass records and transfer to the FRC. Withdraw from the FRC or destroy in 2027. These records are not eligible to be stored in the FRC system after 2027. NOTE: Inactive files are defined as those classes and subclasses that receive fewer than 50 reference requests per year.

Item 24. Defensive Publications--microfilm and paper. Nonrecord materials

- Item 25. Certificate of Corrections--Microfilm. Nonrecord materials.
- Item 26. Alien Property Custodian Files. Disposition revised.
- 26a. Textual records that have been microfilmed. Destroy when no longer needed for current agency business. Nonrecord materials. {New item}
- 26b. Microfilm. PERMANENT. Transfer to the National Archives immediately in accordance with provisions in 36 CFR 1230.
- Item 27. Patent Suits Index. Nonrecord materials
- Destroy when superseded, obsolete, or no longer needed for current agency business.
- Item 28. Reclassification Orders. Nonrecord materials
- Destroy when superseded, obsolete, or no longer needed for current agency business.
- Item 29. Patent Assignment Deeds and Indexes. Library reference materials.
- Destroy when superseded, obsolete, or no longer needed for current agency business.
- Item 30. ASIGN CD-ROM--Electronic. Nonrecord copy.
- Items 31. Applicant's Index, 1922-1979--Microfilm. Disposition revised.
- Microfilm copy of index to trademark applications by name, words, and designs from 1922-1979.
- a. Original camera film and one reference copy: PERMANENT. Transfer to the National Archives when 25 years old. {New Item}
- b. All other copies. Destroy when no longer needed for current PTO business.
- Item 32. Published Trademarks--Microfilm. Nonrecord copies. The record copy of Published Trademarks is not maintained in the Library, and will be appraised in Job No. N1-241-96-6, Assistant Commissioner for Trademarks.
- Item 33. Registrant's Index. Description and disposition revised.

Card files and microfilm records of the Index to registrant's names. Index includes line of goods, serial number, registration number, and registration date. Maintained in separate series for 1931-1966, and from 1966 to 1991. The original card files are also the public reference copy. Card files date from 1955 to 1991, and microfilm dates from 1931-1955. Card files cease in 1991 and have been replaced by TAPS, TRAM II, and/or PTAS.

- a. Card files. PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of paper reduction and agency move studies.
- b. Microfilm. PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.
- c. Electronic indexes. Refer to Job No. N1-241-96-5, Item 37.

Item 34. Annual Index of Trademarks/Index of Trademarks. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 35. Official Register of Trademarks--Bound Volumes. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 36. Corrected and Amended Trademark Registrations. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 37. Examiner's Registrations/Trademark Operations. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 38. Trademark Docket Cards. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 39. Abandoned Trademark Applications--Microfilm. Nonrecord materials.

Destroy when no longer needed for current PTO business.

Item 40. Abandoned Trademark Drawings. Nonrecord materials.

Destroy when no longer needed for current PTO business.

Item 41. Abandoned Trademark Applications by Design Classification and by Name. Nonrecord materials.

Destroy when no longer needed for current PTO business.

Item 42. Expired and Canceled Trademark Registrations. Nonrecord materials.

Destroy when no longer needed for current PTO business.

Item 44. Trademark Adversary Proceedings Index. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 45: Trademark Oppositions. Disposition revised.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

Item 47: Trademark Assignments and Indexes. Disposition revised.

a. Assignment Microfilm.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

b. Card Indexes.

PERMANENT. The Patent and Trademark Office will initiate transfer discussions with the National Archives in 1998, at the completion of ongoing library automation, paper reduction, and agency move studies.

c. Electronic Indexes and records.

Disposition not authorized at this time.

- Item 49: CD-ROM Products. Dissemination products. The master files for these products are scheduled with each individual system in other schedules.
- Item 51. Design Patent Drawings--Microfilm. Nonrecord materials.
Destroy when no longer needed for current PTO business.
- Item 52. Patent Reissues and Index--Microform. Library reference materials.
Destroy when no longer needed for current PTO business.
- Item 53. Statutory Invention Registrations (SIR)--Microfilm. Nonrecord materials.
Destroy when no longer needed for current agency business.
- Item 54. U.S. Utility Patents--Microfilm. Nonrecord materials.
Destroy when no longer needed for current PTO business.
- Item 55. Patent Full Text Master Tape File. Nonrecord materials. The record copy has been appraised and scheduled in N1-241-96-5 (Phase V) as permanently valuable. This item schedules the nonrecord copies, subitem "b", in the Product Development Office.
b. Destroy when no longer needed for current PTO business.
- Item 56. Patent Image Master Tape File. Nonrecord materials. The record copy has been appraised and scheduled in N1-241-96-5 (Phase V) as permanently valuable. This item schedules the nonrecord copies, subitem "b", in the Product Development Office.
b. Destroy when no longer needed for current PTO business.