

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

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

1. FROM (Agency or establishment)  
Department of Commerce

2. MAJOR SUBDIVISION  
Patent and Trademark Office

3. MINOR SUBDIVISION  
Data Administration Division

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

5. TELEPHONE  
(703) 308-7400

LEAVE BLANK (NARA use only)

JOB NUMBER  
N1-241-96-6

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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  
12-11-97

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 15 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: 12/20/95  
SIGNATURE OF AGENCY REPRESENTATIVE: *Kathleen A. Schultz*  
TITLE: *Records Officer*

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>See Attached Items 1-36 (Phase VIII)</p> <p>SEE ATTACHED REVISIONS</p> <p><i>Kathy Schultz, PTO records officer, concurred with all revisions by e-mail and telcon 11/24/97.</i></p> <p><i>J. Baume</i></p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>J. Baume</i> 11/24/97  <small>NARA appraiser      date      Agency representative      date</small></p>		

# INSTRUCTIONS

## GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIRA), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

## SPECIFIC

*Entry 1* should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

*Entries 2 and 3* should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

*Entries 4 and 5* should provide the name and telephone number of the person to be contacted for information.

*Entry 6* must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

*Entry 7* should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

*Entry 8* should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

*Entry 9* must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

*Entry 10* is for NARA use only and should be left blank.

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

for

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

ORIGINAL AGENCY SUBMISSION

SEE ATTACHED REVISIONS

Prepared by

**NCI Information Systems, Inc.**

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

## Office of Legislative and International Affairs (OLIA)

- 1.00 **Congressional Liaison File** **Proposed**  
Extra copies of congressional correspondence relating to constituent concerns.  
Used to respond to Congressional correspondence.  
Disposition: Destroy when no longer needed.

## Office of the Assistant Commissioner for Trademarks

- 2.00 **Office of the Assistant Commissioner Subject File** **Proposed**  
Includes program and administrative studies, reports, correspondence, notes,  
newsletters, workshop papers and news articles. Used to provide administrative  
and policy direction to the Trademark Examining Groups and related operations.  
Disposition: Review annually. Destroy materials that are 5 years old or no longer  
needed for reference.
- 3.00 **EEO Affirmative Action Plans (AAP)** **Proposed**  
Trademark copy of consolidated AAP and related working papers. Includes copy  
of plan, onsite review material, and EEO annual report documentation. Used to  
develop EEO administrative and policy direction to the Trademark Examining  
Groups and related operations.  
Disposition: Destroy when superseded, obsolete, or no longer needed for  
reference.

- 4.00 **Labor Management Relations Coordinating  
Committee File** **Proposed**  
Correspondence, memoranda, reports, and other records relating to the  
relationship between management and employee unions. Used to document  
negotiations for PTO with labor unions. Record copy of negotiations in Human  
Resources.  
Disposition: Destroy when superseded, obsolete, or no longer needed for  
reference.

- 5.00 **Labor Arbitration General and Case Files** **Proposed**  
Correspondence, forms, and background papers relating to labor arbitration  
cases. Used to document PTO in labor arbitration cases. Record copy of formal  
arbitration in Human Resources.  
Disposition: Destroy when superseded, obsolete, or no longer needed for  
reference.

SEE REVISIONS ATTACHED TO THIS  
SCHEDULE

**6.00 Administrative Grievance, Disciplinary, and Adverse Action Files** **Proposed**

Case files relating to grievances raised by agency employees, except EEO complaints, and case files relating to adverse and performance-based actions against employees. Includes copies of correspondence, reports, notes, decisions, and supporting material. Used to document PTO participation. Record copy in Human Resources.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**7.00 Trademark Applications As Filed - MICROFILM** **Proposed**

Original copy of microfilmed trademark applications. Sent to Boyers when microfilm cabinet is full. Reference copy is sent to Trademark Search library. Used for maintenance of record copy.

- a. Record Copy.
- b. Copy.

**Disposition:** a. Permanent. Transfer to NARA when no longer needed for PTO business.  
b. Destroy when no longer needed for reference.

SEE ATTACHED  
REVISIONS

**Trademark Program Control**

**8.00 Chron File\*** **Proposed**

Correspondence filed in chronological order related to office program activities such as system development, maintenance, quality control, training, and ad hoc projects. Used as the record copy of correspondence.

**Disposition:** Destroy when 2 years old.\*

**9.00 Condition of Trademark Applications** **Proposed**

Weekly listing of applications with oldest amended dates and oldest new cases for each trademark law office. Used to produce the "Trademark Operation" section of the *Official Gazette of the United States Patent and Trademark Office: Trademarks*.

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

**10.00 Data Entry Manuals** **Proposed**

Includes record copy of each edition of the manual and source material used to update sections, such as country codes obtained from the State Department and other non-PTO data. Used as the source for historical documentation of changes to basic data that becomes an integral part of the TRAM database.

**Disposition:** Destroy when no longer needed for PTO business.\*

**11.00 Engineering Change Requests/System Problem Reports** **Proposed**

Requests to Trademark Systems to produce reports or change system programming based on records documenting or analysing problems with the operation or use of the search system. Used to monitor progress and priority of requests.

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

**12.00 Global Correspondence Updates\***

Proposed

Signed letters from law firms requesting changes to their name and/or address on PTO systems. (Not filed in trademark case files.) Used to document changes and refute claims.

- a. Records dated before 1999.
- b. Records dated 1999 or later.

Disposition: Send to FRC when 3 years old.

- a. Destroy records when 20 years old.
- b. Destroy records when 10 years old.\*

**13.00 Inadvertent Issues - ELECTRONIC**

Proposed

Spreadsheet log of registrations cancelled by Assistant Commissioner of Trademarks. Input from Withdrawal Notices - Trademarks. Includes registration and serial number, cancellation date, and reason for cancellation. Previously maintained on 3x5 cards. Used as the source of the *Official Gazette of the United States Patent and Trademark Office: Trademarks* section "Inadvertently Issued Registration Numbers," and to maintain a history of trademarks issued erroneously.

Disposition: Destroy when no longer needed for PTO business.\*

SEE ATTACHED  
REVISIONS

**14.00 Installation Records and Floor Plans**

Proposed

Installation requests for PCs, X-Search, and TRAM terminals with floor plans indicating location. Used to document equipment installations.

Disposition: Discard when no longer needed.

**15.00 Lost Cases - ELECTRONIC**

Proposed

Database listing lost cases by serial number and type of case. Includes statistics on lost cases by type and other factors. Replaces previous card index. (Cards are now attached to case file when card is located.) Used to detect trends and analyze problems.

Disposition: Delete when no longer needed for trend analysis.\*

**16.00 Lost Cases Receipts**

Proposed

Receipts for trademark case files recreated after loss. Signed by recipients at delivery. Used to document delivery.

Disposition: Destroy when 1 year old.\*

**17.00 Notice of Errata**

Proposed

Signed sheets listing errors in published in the *Official Gazette of the United States Patent and Trademark Office: Trademarks* by type with corresponding serial and registration numbers. Used as input to the "Errata" section of the *Official Gazette of the United States Patent and Trademark Office: Trademarks*.

Disposition: Destroy when no longer needed.

**18.00 Photocomposition Reports**

Proposed

*Official Gazette of the United States Patent and Trademark Office: Trademarks* related TRAM reports (TMII PC 20-21, PC 2A, PC 22A, PC 30-31, and PC 40) documenting errors by trademark registration/serial number and error, separated by *Official Gazette of the United States Patent and Trademark Office: Trademarks* categories. Used to track error correction.

Disposition: Destroy when 2 years old.\*

- 19.00 Quality Review of Data Entry - ELECTRONIC** Proposed  
Includes data on errors by type, frequency, and location as well as TRAM system reports listing data entry errors by contractors and PTO staff. Created as a tool for contractor work acceptance. Used to compile error statistics and to formulate changes to the *Data Entry Manual* produced by this office.  
Disposition: Destroy or delete when no longer needed for trend analysis.\*
- 20.00 Quality Review of Data Issued on CD-ROM - ELECTRONIC** Proposed  
Verification copies of CD-ROM products. Used to check for errors before release for sale and to verify problems reported by users after release.  
Disposition: Destroy when superseded by 2 editions.\*
- 21.00 Request for Corrections Filing Receipts - ELECTRONIC** Proposed  
Database tracking errors in the TRAM database by type and data entry clerk. Used for statistics and to document frequency and type of errors.  
Disposition: Delete when no longer needed for trend analysis.\*
- 22.00 Reviews and Amendments Training Errors - ELECTRONIC** Proposed  
Errors for each trainee learning to process reviews and amendments compiled during practice sessions on TRAM. Used to improve trainee accuracy.  
Disposition: Delete when no longer needed.
- 23.00 Reviews and Amendments Manuals** Proposed  
Manual and development records containing procedures required to enter amendments and review cases for publication. Revised when procedures or system programming are altered. Used to train Application Examiners.  
Disposition: Destroy records older than current and previous edition.\*
- 24.00 Subject Files** Proposed  
Includes articles, materials related to the Office mission, and copies of correspondence. (Record copy of correspondence filed in Chron Files.) Used as reference for Office projects.  
Disposition: Review annually and destroy when superseded or obsolete.
- 25.00 Withdrawal Notice - Trademarks\*** Proposed  
Records related to withdrawing registrations published by error in the *Official Gazette of the United States Patent and Trademark Office: Trademarks*. Includes memos from the Assistant Commissioner for Trademarks cancelling registrations or withdrawing trademarks for further review and Form PTO-302 listing serial and registration numbers, class, areas of notification, and date of issue. Filed by issue date. Used as input to the Inadvertent Issues records series and to document the withdrawal of registration.  
Disposition: Destroy when 2 years old.\*

SEE ATTACHED  
REVISIONS

26.00 **Withdrawal Sheets**

Proposed

Log of trademarks withdrawn from the issuing process before publication in the *Official Gazette of the United States Patent and Trademark Office: Trademarks*. Used to track errors.

Disposition: Destroy when 2 years old.\*

**Trademark Examining Groups, Director's Office**

~~27.00 **Subject Files**~~

Proposed

~~Includes studies, reports, correspondence, notes, newsletters, workshop papers and news articles. Used to provide administrative and policy direction to the Trademark Examining Groups.~~

*SEE ITEM 2 (REVISED)*

*SEE ATTACHED  
REVISIONS*

~~Disposition: Review annually. Destroy materials older than 5 years, or when no longer needed for reference.~~

28.00 **Labor Management Relations General and Case File**

Proposed

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions. Used to document negotiations for the Trademark Examining Groups with labor unions. Record copy in Human Resources.

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

**Trademark Law Offices**

29.00 **Pending Trademark Applications\***

Proposed

Trademark application files awaiting action. Includes new cases awaiting initial action, cases awaiting response from an applicant to an office action, and suspended cases awaiting either a proceeding before the PTO or a foreign registration.

Disposition: Forward application for processing upon completion of office action.

30.00 **Abandoned Trademark Applications**

NC1-241-76-1  
#89 Rev.

Consists of original application and all related correspondence.

~~Disposition: Transfer to PTO repository upon abandonment. Destroy 2 years after date of abandonment.~~ *REFER TO NEW ITEM 46*

31.00 **Examiners Form Paragraphs - ELECTRONIC**

Proposed

Paragraphs used by the examining attorneys to cover grounds of refusal and reasons for requirements or objections to standardize language for frequent office actions.

Disposition: Delete when superseded or obsolete.



### Pre-Examination Branch

**32.00 Request for Trademark Fee Refund\***

Copy of Form PTO-1578 requesting a refund for overpayment, duplicate payment, or payment not needed. Copy retained to ensure payment was made and to respond to future inquiries. Original copy is sent to the Office of Finance for payment.

Disposition: Destroy when 1 year old, or when no longer needed.

Proposed

**33.00 Restorations of Filing Dates - ELECTRONIC\***

Response to a request from the Assistant Commissioner of Trademarks for the restoration of the official filing date of a trademark application. Includes name of employee processing the restoration, trademark, serial number, and date restored. Used to process the request.

Disposition: Delete after response is sent and verified, or when no longer needed.

Proposed

SEE ATTACHED  
REVISIONS

### Intent to Use Branch

**34.00 Petition Decisions From the Assistant Commissioner\***

Copies of petition decisions from the Assistant Commissioner concerning issues related to the Intent to Use Section. Used by the legal staff in making decisions based on published rulings that have set precedence for related cases and used for guidance based on nonpublished rulings.\*

Disposition: Destroy when superseded or obsolete, or when no longer needed.

Proposed

**35.00 Divisional Report**

Weekly report on the amount of money spent by an applicant requesting a division of a trademark application. Lists old serial number, new serial number, and dollar totals. Used to track fees.

Disposition: Destroy or delete when no longer needed.

Proposed

### Post Registration Branch

**36.00 Petition Decisions From the Assistant Commissioner\***

Copies of petition decisions from the Assistant Commissioner concerning issues related to the Post Registration Section. Used by the legal staff in making decisions based on published rulings that have set precedence for related cases and used for guidance based on nonpublished rulings.

Disposition: Destroy when superseded or obsolete, or when no longer needed.

Proposed

**Patent and Trademark Office**  
**Revisions to Phase VIII**  
**Job No. N1-241-96-6**

1. Congressional Liaison File. Disposition OK. Nonrecords.

**New  
Item**

37. **Proposed Intellectual Property Legislation Files.** Description and disposition added from Inventory #3.

Includes correspondence, drafts of legislation, reports to committees on introduced legislation, comments on legislative proposals, analysis, notes, and testimony. Used in the preparation and processing of legislation proposed by or in the interest of PTO.

PERMANENT. Close files at the end of each Congress (2 years) and transfer to the FRC 5 years after closure. Transfer to the National Archives 25 years after closure. {Supersedes NC1-76-241-1, Items 84 and 104}

**New  
Item**

38. **International Intellectual Property Activities Subject Files.** Description and disposition added from Inventory #4.

Includes correspondence, notes, informational packets, reports, international meeting records, and other materials relating to international intellectual property protection activities. Used to document PTO participation in international intellectual property rights activities.

PERMANENT. Close inactive files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 25 years after closure. {Supersedes NC1-241-76-1, Items 83 and 103}

2. **Assistant Commissioner for Trademarks, Program and Policy Subject Files.** Description and disposition revised.

Correspondence, reports, studies, memorandums, committee papers, minutes of meetings, briefing books and papers, and similar records that pertain to overall management, oversight, and direction of Trademark policies, procedures, decisions, projects, and programs. The records include files pertaining to the development of new PTO automation projects such as TRAM, X-Search, TTABIS, and other automated information systems; briefing books prepared for the Commissioner and other high level officials; issue papers and reports to higher levels on PTO programs and plans; strategic

and long-range planning files; and issues that affect the overall directions, operations, and programs, and plans of the Assistant Commissioner of Trademarks and the PTO.

**AUTHORIZED DISPOSITION:** PERMANENT. Close inactive files at the end of each FY and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {New item}

**New  
Item**

**39. General Subject Files.** Description and disposition revised.

Correspondence, periodic reports, memorandums, and similar records that are created, received or maintained in the Office of the Assistant Commissioner for Trademarks that pertain to general office administrative management of Trademark programs and projects, and are used primarily for short term reference. These records include, but are not limited to, periodic reports from Trademark Programs Control, Trademark Examining Groups, Trademark Law Offices, and various committee records and reports, copies of controlled correspondence, quality review, safety and security, reference copies of publications, records from professional organizations and associations, education and training programs, human resources reports, delegations of authority, and the like. These records do not document significant Office oversight, direction, policy, procedures, decisions, or programs.

**AUTHORIZED DISPOSITION:** Close inactive files at the end of each FY and destroy when 5 years old. {New item}

**New  
Item**

**40. Controlled Correspondence Files.** Description and disposition revised.

Correspondence largely to and from the public, and to a lesser degree from Legislative Branch officials, requiring special control. Subjects cover areas within the Trademark Office. Correspondence is given a control number, forwarded to appropriate staff for response, and answered within a specific period of time.

**AUTHORIZED DISPOSITIONS:**

- a. Record copy: Close files at the end of the fiscal year and transfer to the FRC when 2 years old. Destroy 5 years after closure. {New item}
- b. Duplicate copies maintained solely for reference: Break files at the end of each fiscal year and destroy when 2 years old. {Nonrecords}

**New  
Item**

**41. Controlled Correspondence Database--Electronic.**

Database used to track A/C Trademark controlled correspondence indicating the correspondent's name, date received, action office, reply date, and similar control and tracking functions.

**AUTHORIZED DISPOSITION:** Update or delete as needed for current agency business.  
{GRS 23, Item 8}

3. EEO Affirmative Action Plans (AAP). Authority revised to GRS 1, Item 25a.
4. Labor Management Relations Coordinating Committee Files. Nonrecord and duplicate copies.
5. Labor Arbitration General Subject and Case Files. Nonrecord and duplicate copies.
6. Administrative Grievance, Disciplinary, and Adverse Action Files. Nonrecords.
7. Trademark Applications As Filed--Microfilm. Disposition revised.

Transfer to offsite storage in Boyers, PA when 5 years old. Destroy when no longer needed for current agency business.

**New  
Item**

**42. Published Trademarks--Microfilm.**

Original microfilm and one duplicate copy of registered trademarks arranged by words and applicable design classification.

The agency certifies that the records described in this schedule item were (or will be) microfilmed in accordance with standards set forth in 36 CFR part 1230 Subpart C, that the storage conditions will comply with the standards of 36 CFR 1230.20 and that the inspections required by 36 CFR 1230.22 will be performed.

- a. Master or original camera microfilm and one duplicate copy: **PERMANENT.**  
Close files annually and transfer to the National Archives with the inspection and certification documents set forth in 36 CFR 1230 Subparts C and D when 20 years old.
- b. Reference copies: Destroy when no longer needed for current agency business.

- c. Indexes to microfilm: PERMANENT. Transfer to the National Archives when the microfilm in "a" above is transferred. [NOTE: The Patent and Trademark Office will initiate transfer discussion with the National Archives in 1998, at the completion of paper reduction and agency move studies. Refer to Items 31 - 38 of Job No. N1-241-96-4, approved 1/10/97, for a list of specific indexes.]

**New  
Item**

**43. Trademark Practice and Procedure Legal Lectures**

Record set of lectures and training materials used to train Trademark Examiners.

PERMANENT. Close files annually and transfer to the FRC 5 years after closure. Transfer to the National Archives 20 years after closure. {NC1-241-76-1, Item 99}

**New  
Item**

**44. Trademark Petitions**

Petitions to the Assistant Commissioner relating to trademarks, and all related correspondence or decision records. The original petition is filed in the Trademark Case File.

- a. Original Petitions. Dispose of with Trademark Case File. {NC1-241-76-1, Item 100}
- b. All other copies. Destroy when no longer needed for current agency business. {Nonrecord copies}

**New  
Item**

**45. Trademark Protest Letters**

Letters of protest to the Commissioner related to Trademarks.

Destroy when 2 years old. {NC1-241-76-1, Item 101}

**New  
Item**

**46. Trademark Case Files.**

Case files showing the prosecution of applications for, and the registration, a trademark. Includes the original application, copy of drawing, and all materials relating to the prosecution of the application and subsequent actions by the Patent and Trademark Office. Maintained in Publication and Issue until all office action is completed and the printed registration is received. The case file is maintained by PTO until the registered mark is canceled or it expires. Also used to record disallowance or non-prosecution by applicant.

Prior to transferring Trademark registrations (case files) or abandoned applications to a PTO repository or to the FRC, PTO staff will select files for permanent retention in the National Archives which meet the following criteria:

1. Trademarks that represent the first of a kind (sound, color, scent, and the like);
2. Trademarks that are filed by especially famous individuals or prominent elected officials, or which represent especially prominent businesses or brand names;
3. Trademarks that set a precedent by changing PTO policy or Trademark law;
4. Trademarks of Federal agencies; and
5. Trademarks that are the subject of widespread abuse, misuse, or counterfeit.

**AUTHORIZED DISPOSITIONS:** {Supersedes NC1-241-76-1, Items 87, 88, 89}

**a. Canceled or Expired registrations**

- (1) **Selected Files: PERMANENT.** Forward to PTO repository upon registration. Transfer to the National Archives 6 years after same. **NOTE:** Trademark case files may be transferred directly to the National Archives sooner if the case file is at risk of degradation or if archival preservation is required to maintain appropriate security or to preserve the integrity of the case file.
- (2) **Nonselected Trademark Case Files:** Forward trademark case files to PTO repository upon registration. Destroy 2 years after cancellation or expiration.

b. Abandoned applications:

- (1) Selected Files: PERMANENT. Forward to PTO repository upon registration. Transfer to the National Archives 6 years after same. NOTE: Abandoned Trademark applications may be transferred directly to the National Archives sooner if the case file is at risk of degradation or if archival preservation is required to maintain appropriate security or to preserve the integrity of the case file.
- (2) Nonselected Files: Destroy 2 years after abandonment.

**New  
Item**

**47. Public Advisory Committee for Trademarks Files**

Records include agendas, minutes, charter, correspondence, reports, working papers, reference materials, and supporting files. Records are used to prepare for and document PTO participation in public advisory committees.

AUTHORIZED DISPOSITION: {Supersedes NC1-241-76-1, Item 98}

- a. Agendas, minutes, official correspondence, reports, and supporting materials: PERMANENT. Close files annually and transfer to the FRC 10 years after closure. Transfer to the National Archives 25 years after closure.
  - b. Working papers and reference materials: Destroy when 10 years old or prior to transferring any files listed in "a" above to the FRC.
8. Chron Files. Disposition revised.  
Destroy when 3 years old. Duplicate copies.
9. Condition of Trademark Applications. Description and disposition revised. Change to "Monthly listings of applications..." rather than "weekly listings."  
Destroy when superseded.
10. Data Entry Manuals. Delete last sentence of description.  
Destroy when superseded.

11. Engineering Change Requests/System Problem Reports. Disposition revised.  
Destroy completed requests at the end of the FY.
12. Global Correspondence Updates. Disposition OK.
13. Inadvertent Issues. Authority revised. GRS 23, Item 8.  
Destroy when no longer needed for current agency business.
14. Installation Records and Floor Plans. Disposition revised.  
Destroy when superseded by new plans, or when no longer needed for current agency business.
15. Lost Cases--Electronic. Disposition OK.
16. Lost Cases Receipts. Disposition OK.
17. Notice of Errata. Disposition revised.  
Destroy when 3 years old.
18. Photocomposition Reports. Disposition OK.
19. Quality Review Data Entry. Disposition OK.
20. Quality Review Data Issued on CD-ROM. Disposition OK.
21. Request for Corrections Filing Receipts. Disposition OK.
22. Reviews and Amendments Training Errors--Electronic. Disposition revised.  
Delete after most current performance review is completed.
23. Reviews and Amendments Manuals. Disposition revised.  
Destroy when superseded or when no longer needed for current agency business.
24. Subject Files. Disposition revised.  
Destroy when 3 years old.



25. Withdrawal Notices--Trademarks. Disposition OK.
26. Withdrawal Sheets. Disposition OK.
27. Subject Files. Removed from schedule. Replaced by Item 2 above.
28. Labor Management Relations General and Case Files. Disposition OK. Nonrecord copies.
29. Pending Trademark Applications. Disposition OK.
30. Abandoned Trademark Applications. Cross reference disposition with New Item 46
31. Examiner's Form Paragraphs--Electronic. Disposition OK.
32. Requests for Trademark Fee Refund. Disposition OK.
33. Restoration of Filing Dates--Electronic. Disposition OK.
34. Petition Decisions from the Assistant Commissioner. Duplicate copies. Covered in New Item 44b.
35. Divisional Report. Authority revised. GRS 23, Item 8.  
  
Destroy when no longer needed for current agency business.
36. Petition Decisions from the Assistant Commissioner. Duplicate copies. Covered in New Item 44b.