NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-241-76-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

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These items, unless subsequently superseded, may be used by the agency to disposition records.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

All other items remain active.

NOTE: Item 115 was stated to be superseded by N1-241-04-001, item 1, but this is not true. They are related, but different, records.

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 1a was superseded by N1-241-96-001, items 1 and 2
Item 1b was superseded by N1-241-95-001, items 6 and 17
Item 1b was also shown as superseded by N1-241-96-001, item 28
Item 3 was superseded by N1-241-96-001, item 3
Item 4 was superseded by N1-241-96-001, item 40
Item 6 was superseded by N1-241-96-005, item 28
Item 6 was also superseded in part by N1-241-95-001, item 41
Item 7 was superseded by N1-241-96-005, item 22
Item 8b was superseded by N1-241-96-003, items 31 and 32
Item 9 was superseded by N1-241-95-001, item 7
Item 12 was superseded by N1-241-95-001, item 43
Item 15 was superseded by N1-241-95-001, item 28
Item 16 was superseded by N1-241-95-001, item 29
Item 24 was superseded by N1-241-96-004, item 15
Item 31 was superseded by N1-241-96-005, item 8
Item 34a was superseded by N1-241-96-007, item 26a
Item 34b was superseded by N1-241-96-007, items 36 and 45
Item 35 was superseded by N1-241-96-007, item 27
Item 39 was superseded by N1-241-96-003, item 88
Item 40 was superseded by N1-241-96-003, item 89
Item 43 was superseded by N1-241-96-003, item 41
Item 44 was superseded by N1-241-96-003, item 86
Item 50 was superseded by N1-241-96-004, item 47
Item 52 was superseded by N1-241-96-005, item 10
Item 55 was superseded by N1-241-96-007, item 51
Item 58 was superseded by N1-241-96-003, item 7
Item 59a was superseded by N1-241-96-003, item 4a
Item 59b was superseded by N1-241-96-003, item 4b
Item 62 was superseded by N1-241-92-003, items 1a and 1b
Item 68a was superseded by N1-241-96-007, item 84
Item 69 was superseded by N1-241-96-005, item 11
Item 71 was superseded by N1-241-96-005, items 12 and 13
Item 72 was superseded by N1-241-96-005, item 17
Item 74 was superseded by N1-241-96-005, item 15
Item 75 was superseded by N1-241-96-005, item 14
Item 76 was superseded by N1-241-96-001, item 6
Item 79 was superseded by N1-241-96-001, item 33
Item 80 was superseded by N1-241-92-001, item 1
Item 81 was superseded by N1-241-97-001, item 2
Item 82 was superseded by N1-241-96-001, item 30
Item 83 was superseded by N1-241-96-006, item 38
NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Item 84 was superseded by N1-241-96-006, item 37
Item 86 was superseded by N1-241-96-005, items 1, 2, 3, and 4
Item 87 was superseded by N1-241-96-006, item 46
Item 88 was superseded by N1-241-96-006, item 46
Item 89 was declared non-record by N1-241-96-004, item 41
Item 93 was superseded by N1-241-96-004, item 44
Item 95 was superseded by N1-241-96-004, item 33
Item 97 was superseded by N1-241-97-001, item 7
Item 98 was superseded by N1-241-96-006, item 47
Item 99 was superseded by N1-241-96-006, item 43
Item 100 was superseded by N1-241-96-006, item 44a
Item 101 was superseded by N1-241-96-006, item 45
Item 103 was superseded by N1-241-96-006, item 38
Item 104 was superseded by N1-241-96-006, item 37
Item 105 was superseded by N1-241-97-001, item 4
Item 106 was superseded by N1-241-97-001, item 5
Item 107 was superseded by N1-241-97-001, item 1
Item 108 was superseded by N1-241-96-001, item 19
Item 109 was superseded by N1-241-96-001, items 20 and 27
Item 110 was superseded by N1-241-96-001, item 21
Item 111 was superseded by N1-241-97-001, item 6
Item 111 was also shown as superseded by N1-241-96-001, item 4
Item 112 was superseded by N1-241-96-001, item 23
Item 114 was superseded by N1-241-96-004, items 22 and 46
Item 120 was superseded by N1-241-96-004, items 4 and 6
Item 127 was superseded by N1-241-96-007, item 85
Item 128 was superseded by N1-241-97-001, item 8
Item 129 was superseded by N1-241-96-007, item 69 then declared non-record in that schedule's
NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

revisions (see p. 22 of its dossier)

Item 130 was superseded by N1-241-96-007, item 67

Item 132 was superseded by N1-241-96-003, item 87
REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Commerce

2. MAJOR SUBDIVISION
Patent and Trademark Office

3. MINOR SUBDIVISION
Printing and Records Management Division

4. NAME OF PERSON WITH WHOM TO CONFER
Robert G. Masarsky

5. TEL. EXT.
557-3571

6. CERTIFICATE OF AGENCY REPRESENTATIVE:
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 23 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.
☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE
3/10/76

D. SIGNATURE OF AGENCY REPRESENTATIVE
C. Marshall Denn

E. TITLE
Commissioner of Patents and Trademarks

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<th>DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)</th>
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<td>This request for records disposition authority covers</td>
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<td>those records of the Patent and Trademark Office not covered</td>
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<td>by the GSA General Records Schedules Nos. 1-20.</td>
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<td>It supersedes all previously approved disposition schedules.</td>
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STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4
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COMMISSIONER'S AND DEPUTY COMMISSIONER'S RECORDS

1. Commissioner's Correspondence and Subject Files. Correspondence to and from other public officials, members of the public, and the Patent and Trademark Office staff; reports; special investigations and survey reports; and related materials. (See index under Item 3).

2. Reports to the Commissioner. Reports received by the Commissioner from the Patent and Trademark Office staff and maintained as separate series.

3. Index to Commissioner's Correspondence and Subject Files. Card index to records described under Item 1.

4. Deputy Commissioner's Correspondence and Subject Files. Correspondence to and from other public officials, members of the public, and the Patent and Trademark Office staff, with related materials (exclusive of records retained in Item 1).

5. Congressional Correspondence Files.
   a. Correspondence with Members of Congress concerning agency policy, or the status of major programs or projects, or complaints or comments regarding the prosecution of patent applications.
   b. Correspondence with Members of Congress regarding letters from their constituents requesting general information about the Patent and Trademark Office.

   PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

   PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

   PERMANENT. Transfer to Federal Records Center with related files. Offer to National Archives with related files.

   PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

   Destroy when 5 years old or sooner if no longer needed.
6. **Policy Documentation Files.** Formal policy and procedural issuances, current and obsolete, such as organizational charts, regulations, orders, circulars, manuals, and other types of directives, with related forms, recommendations, endorsements, clearances and comments.

7. **Work-flow Control and/or Statistical Reports Files.** Various periodic statistical reports used to show the flow of work through the Patent and Trademark Office and the printers, such as PALM, TRAM, PROP, Statistical Reports on Patents to Printers, and similar reports.

8. **Production and Pendency Reports Files.** Quarterly, monthly, and biweekly statistical reports prepared to show production and quality output of examiners and clerks and the status of the assigned projects. Reports are mainly used to evaluate the efficiency of personnel for promotion purposes.
   
a. Office of Assistant Commissioners or equivalent:

b. Other Offices.

9. **Special Studies Files.** Reports on special studies surveys, and inspections of operations, management and systems with related papers showing their inception, scope, procedure and results.

   **PERMANENT.** Transfer to FRC when obsolete. Offer to National Archives when 25 years old.

   Destroy when 5 years old or sooner if no longer needed.

   Transfer to FRC when 5 years old. Destroy when 10 years.

   Destroy when updated report is received.

   **PERMANENT.** Transfer to FRC when 10 years old. Offer to National Archives when 25 years old.
10. **Narrative and Statistical Reports Files.** Annual or other periodic narrative and statistical reports.
   
   a. Reports to the Office of the Commissioner and the Offices of the Assistant Commissioners.
      
      PERMANENT. Transfer to FRC when 10 years old. Offer to the National Archives when 25 years old.
   
   b. Other Offices
      
      Destroy when 5 years old.

11. **Internal Administrative Files.** Administrative operations files of organizational offices, consisting of:
   
   a. Correspondence concerning routine or temporary internal administrative matters.
      
      Destroy when 2 years old.
   
   b. Office personnel files.
      
      Destroy after separation of employee.
   
   c. Completed requisitions for services, supplies and equipment, and travel documents.
      
      Destroy 1 year after action is completed.
   
   d. Records pertaining to charity drives, bond campaigns, blood donations, and other voluntary activities.
      
      Destroy on completion of program.
   
   e. Hand receipt files.
      
      Destroy when property is accounted for.
   
   f. Suspense files.
      
      Destroy when purpose is served.
   
   g. Chronological files.
      
      Destroy when 2 years old.

12. **Program Planning and Evaluation Files.** Files showing the overall development of Patent and Trademark Office plans and the evaluation of their effectiveness. Included are one copy of each staff study, evaluation report, system study, and related correspondence and background materials.
   
   PERMANENT. Transfer to FRC when 10 years old. Offer to the National Archives when 30 years old.
General Records Schedule Items
(Use in conjunction with the GSA General Records Schedule)

13. Surplus Property Case Files. Case files on disposal of surplus real and related personal property.

14. Excess Real Property Reports. Reports of real property with related papers.

15. Budget Policy and Procedures Correspondence Files. Correspondence files showing Patent and Trademark Office policy and procedures governing budget administration, and reflecting expenditures for Patent and Trademark Office programs.

16. Budget Estimates Files. File copies of budget estimates comprising appropriation language sheets, narrative statements, and related schedules and data.

17. Records Disposition Files. Descriptive inventories, disposal authorizations, schedules for retirement of records and correspondence or memoranda relating to revisions.

18. Forms Files. One copy of each form with data showing the inception and scope of the form, the program or administrative purpose of the form, and the related procedures instituted, revised, superseded, or canceled.

19. Systems Development Program Files. Program documents, schedules, and correspondence pertaining to the execution, review, and analysis of Patent Office research and development programs, and relating to the general planning and supervision of the programs.

20. Systems Development Task Force, Committee, and Board Files. Agendas, directives, minutes of meetings, and related papers, of Task Forces, Committees, Boards, etc. of which the Patent Office serves as Secretary, or Chairman thereof.

Transfer to FRC 3 years after close of file. Destroy 10 years after close of file.

Destroy when 10 years old.

PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 25 years old.

PERMANENT. Transfer to FRC after 10 years. Offer to National Archives when 25 years old.

PERMANENT. Offer to National Archives when 25 years old or when no longer needed, whichever is longer.

PERMANENT. Offer to National Archives when 25 years old or when no longer needed, whichever is longer.

PERMANENT. Transfer to FRC 5 years after completion of program. Offer to National Archives 20 years later or when 25 years old, whichever is sooner.

PERMANENT. Transfer to FRC 5 years after close of file. Offer to National Archives 20 years later or after 25 years old, whichever is sooner.
21. **Technical Report Files.** One copy of each technical report of unpublished manuscript or report prepared in connection with a project, terminal narratives, statistical and graphic compilations, summariations, analyses, and related papers.

22. **Systems Development Project Case Files.** Project case files reflecting a complete history of each project from initiation through research, development, design, and testing to completion.

23. **ADP Planning Documents Files.** Planning documents consisting of master plan, feasibility studies with associated charts and diagrams and supporting data that reflect on the characteristics of the data automation activity.

24. **ADP Program Management Files.** Program management documents consisting of the development of plans, policy, and procedures governing the conversion of electrical machine operations and the supervision, control, coordination, and operation of the mechanization program.

25. **ADP Standardizations Files.** Standardization files consisting of data elements and codes, standardization requests, and justification for all data systems developed by or for the Patent Office.

26. **ADP Data Systems Planning Files.** Documents containing definition of the system.

27. **ADP Information Retrieval System Master Reference File.** Magnetic media containing an index to patents and trademarks and publications.

28. **Publication Tape File.** Magnetic media which are reproduced and disseminated as publication or used for reproducing a printed publication.
29. Advertising Files. Copies of proposed advertising matter, circulars, letters, cards, and related correspondence intended to solicit patent business and submitted by registrants as required by regulations.

30. Complaint Files. Case files relating to complaints made against attorneys registered to practice before the Patent Office.

31. Board of Appeals Decision Files. Copies of Board of Appeals decisions with related background materials.
   a. Cases patented.
   b. All others.

32. Indexes to Appeal Cases. Indexes, arranged in various ways, to the appeal cases.

33. Declaration of Assistance Received Files. Form received from applicants showing assistance received, if any, in the preparation of application for patent (PTOL-284).

34. Academy Lecture Files. Lectures prepared by the Staff for presentation at the Academy. (These lectures are updated periodically to reflect the changing views of the Patent and Trademark Office)
   a. Historical Sample
   b. All other copies.

PERMANENT. Retain 1 copy of each basic lecture and of any major changes made to it. Offer to NARS when 25 years old.

Destroy when obsolete.
35. **Academy Training Sessions Files.** Background materials relating to each session of the Patent Office Academy, including names of attendees and instructors, schedule of classes, evaluation sheets, and related materials.  

36. **Academy Examinations Files.** Completed examinations of persons attending the Academy.

37. **Academy Applications Files.** Applications for training in the Academy, including memoranda of agreement and personal history statements.

38. **Academy Correspondence File.** Correspondence relating to the courses offered by the Patent Office Academy.

   
a. Disclosure Documents referred to in a separate letter in a related patent application filed within two years.  
   
   b. Disclosure Documents not referred to.

40. **Disclosure Documents Index.** Cross-reference index to Disclosure Documents maintained by inventor's name and includes DD number and date of receipt.

41. **Index to Patents Available for License or Sale.** Index created when a patent is made available for license or sale, issued to the U.S. Government or dedicated to the Public.

42. **General Correspondence File.** Consists mainly of inquiries and requests for information and publications. Also includes correspondence regarding the "Register of Patents Available for License or Sale."

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**Retention:**
- **PERMANENT.** Offer to National Archives when 25 years old.
- Destroy when 1 year old.
- Destroy when 2 years old.
- Destroy when 5 years old.
- Dispose of with related patent application.
- Destroy when 2 years old.
- Destroy with related DD's.
- Destroy when no longer needed for reference.
- Destroy when 3 years old.
43. **Foreign Filing Licensing Documents.** Petitions to the Commissioner of Patents and Trademarks for license to file applications for patents in foreign countries.

44. **Indexes to Foreign Filing Licensing Documents.** Indexes to licensing documents described in Item 43.

45. **Transmittals to Other Agencies Files.** Copies of transmittal letters to other agencies enclosing correspondence and related enclosures sent to the Patent and Trademark Office for services rendered by other agencies, such as copyright information and requests for publications from the Government Printing Office.

46. **D-1 Files.** Files relating to patent applications which may have a bearing on national security. Files usually consist of form listing serial number of application filing date, examining unit, title of invention, attorney assignee, and the concurrences listing the recommendation, signature, agency, and date; a memorandum summary indicating whether a secrecy order is required; the defense agency's request for a secrecy order; the secrecy order issued; and related materials.

47. **Drawing Correction Slips.** Index arranged by serial number of application and used to locate orders for correction of drawings.

48. **Inventor's Index to Patent Applications.** Index arranged alphabetically by name of the inventor. Each slip shows the inventor's name and residence, title of the invention, name and address of the attorney, application serial number and the filing date of the application.

49. **Numerical (serial) Index to Patent Applications.** Index arranged by the serial number assigned to the application.

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Destroy 25 years after date of issue.

Destroy 25 years after issue.

Destroy when 1 year old.

Destroy 35 years after date of receipt for review.

Destroy when 2 years old.

PERMANENT. Offer to National Archives when no longer needed for reference.

PERMANENT. Offer to National Archives when no longer needed for reference.
50. **Assignment Document Files and Index.** Copies of documents assigning and transferring from one party to another the rights, title, and interest to trademarks and inventions and the letters patent obtained therefrom, with related indexes.

51. **Indexes to Government Interests.** Indexes to patents in which the Federal government has an interest by virtue of either of ownership of the application or resulting patent, thru assignment, or receipt of a license.
   a. Government Agency Index.
   b. Patent Number Index.
   c. Assignor Index.

52. **Petitions to the Commissioner.** Petitions to the Commissioner concerning patent applications.
   a. Original petitions in patent case file.
   b. Other copies.

53. **Patent Protest Letters.** Protests to the grant of a patent (Rule 291).
   b. Others.

54. **Patent Docket Cards.** Cards used to control patent applications.

55. **Classifications Definitions Files.** One copy of each issuance of Classifications Definitions, with related background papers.

PERMANENT. Offer to the National Archives when no longer needed for current business.

PERMANENT. Offer to National Archives when no longer needed for reference.

Destroy when no longer needed for reference.

Dispose of with related case file.

Destroy when 2 years old.

Dispose of with related case file.

Destroy when 5 years old.

Destroy when 6 months old.

PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 30 years old.
56. **International Classifications Files.** Files showing the participations of the United States in developing an international system for the classification of patents. (These files should supplement those retained in the office responsible for international affairs.)

57. **Canceled Drawings.** Drawings that were canceled because they did not meet Patent and Trademark Office specifications. Copy of drawing is filed with application.

58. **Abandoned Patent Application Files.** Patent applications that did not result in a patent.
   a. Those that are retained because they are referred to in another application that may have become patented.
   b. All others.

59. **Patent Files.** Case files showing the prosecution of application for, and the granting of, a patent. Includes the original application, copy of drawing, and all material relating to the prosecution of the application and subsequent actions by the Patent and Trademark Office.
   a. Files selected by the Commissioner of Patents and Trademarks or the Archivist of the U.S.
   b. All others.

60. **Patent File Charge-out Records.** Record showing name of person charging out a patent file.

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PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 30 years old.

Destroy 5 years after filing date.

Dispose of with patent file in which cited.

Destroy when 20 years old.

PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 40 years old.

Destroy when 35 years old.

Destroy after file is returned and all papers are determined to be in file.
61. **Statistical Reports on Patents to Printers Files.**
Weekly statistical report to management concerning the number of patents sent to the printers and the amount of backlog.
   b. Operating Unit Copy.

62. **Quality Review of Sample of Allowed Applications.**
Records relating to the examination of allowed applications sampled for quality review, includes query to the examining group and their reply.

63. **Sample Pull-Rate Files.** Form showing which of the allowed applications are to be selected for the quality review sample, includes the pull rate and list of applications by serial number.

64. **Printer-Waiting Register Files.** Register showing status of Query Disposition Records return to a group for reply.

65. **Query Disposition Record Files.** Form used to return printer-waiting cases to a group for answer to a specific query.

66. **Batch Control Sheet for Allowed Cases Files.** Form uses as input to PALM System showing routing control and batch contents, such as PTO Form 1238-1.

67. **Checklist for Applications Allowed by Examiner File.**
Form used in completing a final review of allowed applications before sending to the printer, such as PTO Form 1167.

68. **International Patent and Trademark Activities Case Files.** Project case files showing Patent and Trademark Office activity relating to international patent and trademark programs.
   a. Records that supplement the International Activities Case Files (Item 83).
   b. Other materials.

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61. **Destroy when 5 years old.**
62. **Destroy when 2 years old.**
63. **Destroy 1 year after ultimate disposition of related case.**
64. **Destroy when 1 year old.**
65. **Destroy when 1 year old.**
66. **Destroy when 1 year old.**
67. **Destroy 6 months after query is returned.**
68. **Destroy when 1 year old.**

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61. **PERMANENT.** Transfer to office responsible for international affairs after case is closed.
62. **Destroy 5 years after close of case or sooner if no longer needed.**
69. **Patent Interference Files.** Case files produced in the process of resolving or adjudicating conflicts arising between parties in this matter or priority of invention.

   a. Cases that reach the hearing stage.

   b. Cases that are abandoned before reaching a hearing.

70. **Board of Interference Decisions.** Copies of Board of Interference Decisions.

71. **Index to Patent Interferences.** Arranged numerically by interference number. Shows names of parties involved, application serial number and/or patent numbers involved, subject of interference, sections, date of hearings, decisions rendered, and other remarks.

71. **Index to Interference Exhibits.** Describes exhibits in each interference.

73. **Access Index Cards.** Index to granted petitions for access to patent applications.


75. **Settlement Agreements.** Files relating to the settlement agreed to by parties in the interference.

76. **Court Cases.** Proceedings in cases where the Commissioner is a party of a civil suit.

   a. Cases selected by the Solicitor as being precedent setting or of historical or political significance.

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**PERMANENT.** Transfer to Federal Records Center when 10 years old. Offer to National Archives when 40 years old. Destroy when 40 years old.

**PERMANENT.** Offer to National Archives when 40 years old.

Destory when 40 years old.

Destory when 40 years old.

Destory 30 years after filing date of application.

Dispose of with related patent files.

Dispose of with related interference case file.

**PERMANENT.** Offer to the National Archives when 30 years old.
b. All other cases.

77. Index to Court Cases. Card index to cases described under Item 76. Retain in agency until no longer needed for reference.

78. Index to Petitions. Card index to petitions to the Commissioner of Patents. Retain in agency until no longer needed for reference.


80. Case Folders of Registered Attorneys and Agents. Application folders of the attorneys, agents, or firms registered to practice before the Patent and Trademark Office. Destroy after undated listing is received.

81. Unsuccessful Application for Registration to Practice before the Patent and Trademark Office. Application folders of those applicants who failed to be registered. Destroy on death of attorney or agent.

82. Examination Papers of Applicants for Registration. Examination answer papers to applications for registration to practice before the Patent and Trademark Office. Destroy 5 years after date of examination.

83. International Intellectual Property Activities Case Files. Project case files showing Patent and Trademark Office activity relating to problems concerning the protection of intellectual property throughout the world. Includes correspondence with private individuals, the Department of State and other government agencies, and with other countries; reports, records of international meetings concerning patents; trademarks and other matters pertaining to the protection of intellectual property throughout the world; and other materials relating to international affairs. PERMANENT. Transfer to FRC 5 years after close of case. Offer to National Archives when 25 years old.
84. Proposed Intellectual Property Legislation Files. Documents accumulated in the preparation and processing of legislation proposed by or in the interest of the Patent and Trademark Office. Includes drafts of legislation, reports to committees on introduced legislation, and comments on legislative proposals.

PERMANENT. Transfer to FRC after 5 years. Offer to National Archives when 25 years old.
TRADEMARK RECORDS

85. **Trademark Examiners Work Reports.** Records showing amount of work processed by examiners in a given time. Used to evaluate examiners work and progress. 

86. **Trademark Adversary Proceedings Files.** Consists of Trademark Opposition, Cancellation, Interference, and Concurrent-Use proceedings files.

87. **Canceled Trademark Registration Files.** Consists of original application and all related correspondence.

88. **Expired Trademark Registration Files.** Consists of original application and all related correspondence.

89. **Abandoned Trademark Application Files.** Consists of original application and all related correspondence.

90. **Trademark Renewal Index.** Index to trademark registrations that are renewed.

91. **Indexes to Trademark Applications.** Index shows applicant's name, serial number of application, filing date, name of mark description of goods, attorney's name, and final disposition of the application.

   a. Applicant's Index.

   b. Serial Index.

   Destroy when 5 years old.

   Destroy 10 years after termination date or sooner if no longer needed for reference.

   Destroy 2 years after the date of cancellation.

   Destroy 2 years after expiration of registration.

   Destroy 2 years after date of abandonment.

   **PERMANENT.** Offer to National Archives when no longer needed for reference.
92. **Proceedings Index to Trademark Adversary Proceedings.**
   Index arranged by type of proceeding. Shows status of proceeding prior to and immediately after a decision by the Board.

93. **Trademark Adversary Proceedings Records.** Card file showing records of Trademark Adversary Proceedings.

94. **Trademarks Published in Official Gazette.**
   Clippings of marks from Official Gazette.
   a. Those which have been opposed.
   b. All others.

95. **Trademark Registrant's Index.** Index to Trademark registrant's name, includes serial and registration numbers, date of registration, line of goods and other related information.

96. **Class of Goods Index.** Card index used to indicate into what class any conceivable goods may fall.

97. **Index to Trademark Trial and Appeal Board Cases.**
   Record of trademark trial and appeal board cases.

98. **Public Advisory Committee for Trademark Affairs Files.**
   a. Agenda, minutes, correspondence, reports and related supporting files.
   b. Working papers and reference materials.

   Destroy 3 years after termination of the proceeding.

   PERMANENT. Offer to National Archives when no longer needed for reference.

   Retain in agency until no longer needed for reference.

   Destroy when mark is registered.

   PERMANENT. Offer to National Archives when no longer needed for reference.

   Destroy after information transferred to magnetic media.

   PERMANENT. Offer to National Archives when no longer needed for references.

   PERMANENT. Transfer to Federal Records when 10 years old. Offer to National Archives when 25 years old.

   Destroy when 10 years old or no longer needed for reference, whichever is sooner.

100. Trademark Petitions Files. Petitions to the Commissioner relating to trademarks, with related materials.
   b. Other copies.


   a. Records that supplement the International Intellectual Property Activities Case Files (Item 103).
   b. Other materials.

PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 25 years old.

Dispose of with related case file.

Destroy when 2 years old.

Destroy when no longer needed or when three years old, whichever is earlier.

PERMANENT. Transfer to office responsible for international affairs after case is closed.

Destroy 5 years after close of case or sooner if no longer needed.
103. **International Intellectual Property Activities Case Files.** Project case files showing Patent and Trademark Office activity relating to problems concerning the protection of intellectual property throughout the world. Includes correspondence with private individuals, the Department of State and other countries; reports; records of international meetings concerning patents; trademarks and other matters pertaining to the protection of intellectual property throughout the world; and other materials relating to international affairs.

104. **Proposed Intellectual Property Legislation Files.** Documents accumulated in the preparation and processing of legislation proposed by or in the interest of the Patent and Trademark Office. Includes drafts of legislation, reports to committees on introduced legislation, and comments on legislative proposals.
PUBLIC INFORMATION AND SERVICE RECORDS

105. **Printed Articles Files.** Articles submitted for clearance and printed in magazines, journals, and other information media, including related background materials.

106. **Public Affairs Report.** Weekly, monthly, and quarterly reports relating to public affairs activities prepared for the Department of Commerce.

107. **Speakers Files.** Correspondence, schedules, travel material and related records concerning the scheduling of Patent and Trademark Office speakers.

108. **Exhibit Files.** Correspondence, photographs, reports and related materials concerning major exhibits developed by the Patent and Trademark Office, such as the 175th anniversary exhibit.

109. **Photograph Files.** Photographs of key Patent and Trademark Office officials, major exhibits and other subjects that related to the functioning of the Patent and Trademark Office. Includes the negative and one positive print.

110. **Publications Files.** Official record copy of each publication that contributes to an understanding of the organization and functioning of the Patent and Trademark Office.

111. **Speech Files.** Official records copy of each speech given by the Commissioner and other Patent and Trademark Office executives.

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Destroy when 10 years old.

Destroy when 6 months old.

Destroy when 3 years old.

PERMANENT. Transfer to FRC when 10 years old. Offer to the National Archives when 30 years old.

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PERMANENT. Transfer to FRC when 10 years old. Offer to the National Archives when 30 years old.
112. **News Release Files.** Official records copy of each new release.

113. **Patents Received and Files Register.** Register showing date and number of patent cases received in search room and date filed.

114. **Reports on Search Room Activities Files.** Weekly, monthly and other periodic reports showing production and general activities of the public search room, with related background papers.
   b. Operating Office Copy.

115. **Patent and Trademark Reproduction Copy Files.** The master copy of patents and trademarks used for the photoreproduction of sales copies, includes original drawings and specifications.

116. **Reprint Requisition File.** Requisitions, such as PTO Form 228, used for ordering the reprint or printed patents or trademarks after current stock is depleted.

117. **Sales Journal.** Shows statistical information on sales of copies of patents and trademarks.

118. **Correspondence and Sale Control Records.** Records used to control the flow of correspondence and sale of printed materials.

119. **Requests for Publications.** Correspondence requesting copies of certain publications or other printed materials.

120. **Microform Files.** Microform copies of applications as filed, printed patent files and printed trademark files.
   a. Master microfilm files.
      (Certified as processed under 41 CFR 101-11.504)

121. **Permanency.** Transfer to Federal Records Center when 10 years old. Offer to National Archives when 30 years old.

122. **Destroy.** Destroy 2 years after date of last entry in volume.

123. **Transfer to FRC.** Transfer to FRC when 10 years old. Destroy when 20 years old.

124. **Destroy.** Destroy when 1 year old.

125. **Destroy.** Destroy when 2 years old.

126. **Return request.** Return request with ordered materials.

127. **Transfer to classified site.** Offer to National Archives when 25 years old.
b. All other microform copies

121. **Charge-Out Slips File.** Slips recording the charge-out of records to Patent and Trademark Office employees and the public, such as PTO Forms 124, 125, and 271.

122. **Binding Instructions.** Cards showing instructions on how the various publications received by the library are to be bound.

123. **Charge-out Files of Library Materials.** Sets of 3'' x 5'' cards showing records of library materials on temporary or indefinite loan to researchers or Patent and Trademark Office staff.

124. **Interlibrary Loans Files.** Records of books borrowed from other libraries.

125. **Library Serial Order Cards.** 3'' x 5'' cards used to record purchase of journals, magazines, etc.

126. **Library Book Order Cards.** 3'' x 5'' cards showing book purchases.

127. **Foreign Patent Accession Register.** Bound volumes arranged by country. Each shows the patent number and the date that copy was received in the Patent and Trademark Office.

128. **Inventor's Index.** Arranged alphabetically by name of inventor. Shows name and address of inventor, title of invention, serial number of application, patent number, date of issuance, attorney, and assignee.

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Non-Records.

Destroy when records are returned.

Destroy when no longer needed.

Destroy when obsolete or on return of book.

Destroy 2 years after return of book.

Destroy when no longer needed for reference.

Destroy when no longer needed for reference.

PERMANENT. Offer to National Archives when no longer needed for reference.
The Records Disposal Act of 1943, as amended, states that "library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word 'records' as used in this Act." Non-record material is disposed of as soon as its purpose is served. The following list consists of those non-record materials that are unique to the Patent and Trademark Office.

129. **Foreign Patents.** Copies of patents issued by foreign countries.

130. **Translation of Foreign Patents and Publications and related Indexes.** Typewritten copies of translations and related indexes.

131. **Card Catalogs.** 3'' x 5'' cards used as finding aids to the library.

132. **Patent Examiner's Search Files.** Reference file used by examiners in processing applications. Arranged by class and subclass and consist of U.S. patents, foreign patents, extracts from publications, and other materials relating to a certain class of subclass.

133. **Examiner's File of Printed Trademarks.** Printed copies of registered trademarks with related papers used by the examiners in determining the registrable merits of an application.

134. **Printed Trademark Registrations Reference Files.** Digest of registered marks consisting of a set of registered work marks arranged alphabetically and secondarily by trademark registration number; a set of registrations comprising symbols, arranged according to the classification of the goods or services with which they are used; of registration arranged by registration number.

135. **Numerical Index to Patent Classification.** Arranged numerically by patent number and shows the class and subclass assignment of each patent.

136. **Shelf List of Classified Patents.** Listing of all U.S. Patent numbers comprising, respectively, the "original" and "cross reference" classification of patents according to the official classification of the Patent and Trademark Office.
137. **Public Search Files of U.S. Patents.** Printed or microfilm copies of U.S. Patents arranged in two series: 1) numerically by class and subclass assignment, and secondarily by patent number and 2) numerically by patent number.

138. **Legislative History Files.** Consist mainly of copies of published materials relating to legislation that is of interest to the Patent and Trademark Office. Includes copies of bills, public laws, *Federal Register*, *Congressional Record*, and similar materials.