

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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| JOB NO NC 1-241-76-1 | |
| DATE RECEIVED MAR 22 1976 | |
| NOTIFICATION TO AGENCY | |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| <i>4-12-76</i> Date | <i>James B. Rhoads</i> Archivist of the United States |

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 <i>C. Marshall Dunn</i> | E. TITLE Commissioner of Patents and Trademarks |
|--------------------|--|--|

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|---|--|---|------------------|
| | <u>RECORDS OF THE PATENT AND TRADEMARK OFFICE</u> This request for records disposition authority covers those records of the Patent and Trademark Office not covered by the GSA General Records Schedules Nos. 1-20. It supersedes all previously approved disposition schedules. | 347-S138 348-S90 II-NNA-1131 1145 1291 2438 2884 3057 NN-164-118 119 | |
| <i>Copy to Agency + NC W 4-14-76 00</i> | | | <i>167 items</i> |

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

2. Reports to the Commissioner. Reports received by the Commissioner from the Patent and Trademark Office staff and maintained as separate series. PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

3. Index to Commissioner's Correspondence and Subject Files. Card index to records described under Item 1. PERMANENT. Transfer to Federal Records Center with related files. Offer to National Archives with related files.

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

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 *and TM* applications. PERMANENT. Transfer to Federal Records Center when 5 years old. Offer to National Archives when 25 years old.

 - b. Correspondence with Members of Congress regarding letters from their constituents requesting general information about the Patent and Trademark Office. Destroy when 5 years old or sooner if no longer needed.

ADMINISTRATIVE RECORDS

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. PERMANENT. Transfer to FRC when obsolete. Offer to National Archives when 25 years old.
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. Destroy when 5 years old or sooner if no longer needed.
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: Transfer to FRC when 5 years old. Destroy when 10 years.
- b. Other Offices. Destroy when updated report is received.
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 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 National Archives when 30 years old.

General Records Schedule Items
(Use in conjunction with the GSA General Records Schedules)

13. Surplus Property Case Files. Case files on disposal of surplus real and related personal property. Transfer to FRC 3 years after close of file. Destroy 10 years after close of file.
14. Excess Real Property Reports. Reports of real property with related papers. Destroy when 10 years old.
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. PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 25 years old.
16. Budget Estimates Files. File copies of budget estimates comprising appropriation language sheets, narrative statements, and related schedules and data. PERMANENT. Transfer to FRC after 10 years. Offer to National Archives when 25 years old.
17. Records Disposition Files. Descriptive inventories, disposal authorizations, schedules for retirement of records and correspondence or memoranda relating to revisions. PERMANENT. Offer to National Archives when 25 years old or when no longer needed, whichever is longer.
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. PERMANENT. Offer to National Archives when 25 years old or when no longer needed, whichever is longer.
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. 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.
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. 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 computations, summarizations, analyses, and related papers. PERMANENT. Transfer to FRC when 5 years old. Offer to National Archives when 25 years old.
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. PERMANENT. Transfer to FRC 5 years after completion or termination of project. Offer to National Archives when 25 years old.

ADP RECORDS
(also use GRS 20)

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. PERMANENT. Offer to National Archives with related materials.
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. PERMANENT. Offer to National Archives with related materials.
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. PERMANENT. Offer to National Archives with related materials.
26. ADP Data Systems Planning Files. Documents containing definition of the system. PERMANENT. Offer to National Archives with related materials.
27. ADP Information Retrieval System Master Reference File. Magnetic media containing an index to patents and trademarks and publications. PERMANENT. Offer to National Archives on termination of Patent and Trademark Office.
28. Publication Tape File. Magnetic media which are reproduced and disseminated as publication or used for reproducing a printed publication. PERMANENT. Offer to National Archives when publication needs cease.

PATENT RECORDS

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. Destroy when 25 years old.
30. Complaint Files. Case files relating to complaints made against attorneys registered to practice before the Patent Office. Destroy on death of attorney.
31. Board of Appeals Decision Files. Copies of Board of Appeals decisions with related background materials.
- a. Cases patented. Destroy 10 years after patent issued.
- b. All others. Destroy 10 years after appeal is decided.
32. Indexes to Appeal Cases. Indexes, arranged in various ways, to the appeal cases. Destroy 30 years after date of appeal.
33. Declaration of Assistance Received Files. Form received from applicants showing assistance received, if any, in the preparation of application for patent (PTOL-284). Destroy when 3 years old or when no longer needed for reference, whichever is longer.
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 PERMANENT. Retain 1 copy of each basic lecture and of any major changes made to it. Offer to NARS when 25 years old.
- b. All other copies. 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. PERMANENT. Offer to National Archives when 25 years old.
36. Academy Examinations Files. Completed examinations of persons attending the Academy. Destroy when 1 year old.
37. Academy Applications Files. Applications for training in the Academy, including memoranda of agreement and personal history statements. Destroy when 2 years old.
38. Academy Correspondence File. Correspondence relating to the courses offered by the Patent Office Academy. Destroy when 5 years old.
39. Disclosure Document File. Documents submitted by inventors as evidence of the date of conception of an invention.
- a. Disclosure Documents referred to in a separate letter in a related patent application filed within two years. Dispose of with related patent application.
- b. Disclosure Documents not referred to. Destroy when 2 years old.
40. Disclosure Documents Index. Cross-reference index to Disclosure Documents maintained by inventor's name and includes DD number and date of receipt. Destroy with related DD's.
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. Destroy when no longer needed for reference.
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." 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. Destroy 25 years after date of issue.
44. Indexes to Foreign Filing Licensing Documents. Indexes to licensing documents described in Item 43. Destroy 25 years after issue.
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. Destroy when 1 year old.
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. Destroy 35 years after date of receipt for review.
47. Drawing Correction Slips. Index arranged by serial number of application and used to locate orders for correction of drawings. Destroy when 2 years old.
48. Inventor's Index to Patent Applications. Index arranged alphabetically by name of the inventor. Each slip shows the inventors name and residence, title of the invention, name and address of the attorney, application serial number and the filing date of the application. PERMANENT. Offer to National Archives when no longer needed for reference.
49. Numerical (serial) Index to Patent Applications. Index arranged by the serial number assigned to the application. 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. PERMANENT. Offer to the National Archives when no longer needed for current business.
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. PERMANENT. Offer to National Archives when no longer needed for reference.
- b. Patent Number Index. Destroy when no longer needed for reference.
- c. Assignor Index. Destroy when no longer needed for reference.
52. Petitions to the Commissioner. Petitions to the Commissioner concerning patent applications.
- a. Original petitions in patent case file. Dispose of with related case file.
- b. Other copies. Destroy when 2 years old.
53. Patent Protest Letters. Protests to the grant of a patent (Rule 291).
- a. Letters filed in patent case file. Dispose of with related case file.
- b. Others. Destroy when 5 years old.
54. Patent Docket Cards. Cards used to control patent applications. Destroy when 6 months old.
55. Classifications Definitions Files. One copy of each issuance of Classifications Definitions, with related background papers. 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.) PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 30 years old
57. Canceled Drawings. Drawings that were canceled because they did not meet Patent and Trademark Office specifications. Copy of drawing is filed with application. Destroy 5 years after filing date.
- * 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. Dispose of with patent file in which cited.
- b. All others. Destroy when 20 years old.
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. PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 40 years old.
- b. All others. Destroy when 35 years old.
60. Patent File Charge-out Records. Record showing name of person charging out a patent file. 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.
- a. Original Report. Destroy when 5 years old.
- b. Operating Unit Copy. Destroy when 2 years old.
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. Destroy 1 year after ultimate disposition of related case.
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. Destroy when 1 year old.
64. Printer-Waiting Register Files. Register showing status ~~of~~ Query Disposition Records return to a group for reply. Destroy when 1 year old.
65. Query Disposition Record Files. Form used to return printer-waiting cases to a group for answer to a specific query. Destroy 6 months after query is returned.
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. Destroy when 1 year old.
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. Destroy when 1 year old.
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). PERMANENT. Transfer to office responsible for international affairs after case is closed.
- b. Other materials. 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 of adjudicating conflicts arising between parties in this matter or priority of invention.
- a. Cases that reach the hearing stage. PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 40 years old.
- b. Cases that are abandoned before reaching a hearing. Destroy when 40 years old.
70. Board of Interference Decisions. Copies of Board of Interference Decisions. PERMANENT. Offer to the National Archives when 40 years old.
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. PERMANENT. Offer to National Archives *when* 40 years old.
71. Index to Interference Exhibits. Describes exhibits in each interference. Destroy when 40 years old.
73. Access Index Cards. Index to granted petitions for access to patent applications. Destroy 30 years after filing date of application.
74. Proceedings Under AEC and NASA Acts. Separate series of interference files relating to the SEC and NASA Acts. Dispose of with related patent files.
75. Settlement Agreements. Files relating to the settlement agreed to by parties in the interference. Dispose of with related interference case file.
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. PERMANENT. Offer to the National Archives when 30 years old.

- b. All other cases. Destroy when 30 years old.
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.
79. Roster of Registered Patent Attorneys and Agents. Printout listing registered patent attorneys and agents. Destroy after undated listing is received.
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 on death of attorney or agent.
81. Unsuccessful Application for Registration to Practice before the Patent and Trademark Office. Application folders of those applicants who failed to be registered. Destroy 5 years after date of examination.
82. Examination Papers of Applicants for Registration. Examination answer papers to applications for registration to practice before the Patent and Trademark Office. Destroy after grades are recorded.
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. Destroy when 5 years old.
86. Trademark Adversary Proceedings Files. Consists of Trademark Opposition, Cancellation, Interference, and Concurrent-Use proceedings files. Destroy 10 years after termination date or sooner if no longer needed for reference.
87. Canceled Trademark Registration Files. Consists of original application and all related correspondence. Destroy 2 years after the date of cancellation.
88. Expired Trademark Registration Files. Consists of original application and all related correspondence. Destroy 2 years after expiration of registration.
89. Abandoned Trademark Application Files. Consists of original application and all related correspondence. Destroy 2 years after date of abandonment.
90. Trademark Renewal Index. Index to trademark registrations that are renewed. PERMANENT. Offer to National Archives when no longer needed for reference.
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. PERMANENT. Offer to National Archives when no longer needed for reference.
- b. Serial Index. 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. Destroy 3 years after termination of the proceeding.
93. Trademark Adversary Proceedings Records. Card file showing records of Trademark Adversary Proceedings. PERMANENT. Offer to National Archives when no longer needed for reference.
94. Trademarks Published in Official Gazette. Clippings of marks from Official Gazette.
- a. Those which have been opposed. Retain in agency until no longer needed for reference.
- b. All others. Destroy when mark is registered.
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. PERMANENT. Offer to National Archives when no longer needed for reference.
96. Class of Goods Index. Card index used to indicate into what class any conceivable goods may fall. Destroy after information transferred to magnetic media.
97. Index to Trademark Trial and Appeal Board Cases. Record of trademark ~~trial~~ and appeal board cases. PERMANENT. Offer to National Archives when no longer needed for references.
98. Public Advisory Committee for Trademark Affairs Files.
- a. Agenda, minutes, correspondence, reports and related supporting files. PERMANENT. Transfer to Federal Records when 10 years old. Offer to National Archives when 25 years old.
- b. Working papers and reference materials. Destroy when 10 years old or no longer needed for reference, whichever is sooner.

99. Seminar in Trademark Practice and Procedure Files. Record set of training materials used in training trademark examiners. PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 25 years old.
100. Trademark Petitions Files. Petitions to the Commissioner relating to trademarks, with related materials.
- a. Original Petitions in trademark case file. Dispose of with related case file.
- b. Other copies. Destroy when 2 years old.
101. Trademark Protest Letters. Letters of protest to the Commissioner related to trademarks. Destroy when no longer needed or when three years old, whichever is earlier.
102. 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 Intellectual Property Activities Case Files (Item 103). PERMANENT. Transfer to office responsible for international affairs after case is closed.
- b. Other materials. 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.
- PERMANENT. Transfer to FRC 5 years after close of case. Offer to National Archives when 25 years old.
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.
- PERMANENT. Transfer to FRC after 5 years. Offer to National Archives when 25 years old.

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. Destroy when 10 years old.
106. Public Affairs Report. Weekly, monthly, and quarterly reports relating to public affairs activities prepared for the Department of Commerce. Destroy when 6 months old.
107. Speakers Files. Correspondence, schedules, travel material and related records concerning the scheduling of Patent and Trademark Office speakers. Destroy when 3 years old.
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. PERMANENT. Transfer to FRC when 10 years old. Offer to the National Archives when 30 years old.
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. PERMANENT. Offer for transfer to the National Archives when 20 years old.
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. PERMANENT. Transfer to FRC when 10 years old. Offer to National Archives when 30 years old.
111. Speech Files. Official records copy of each speech given by the Commissioner and other Patent and Trademark Office executives. 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. PERMANENT. Transfer to Federal Records Center when 10 years old. Offer to National Archives when 30 years old.
113. Patents Received and Files Register. Register showing date and number of patent cases received in search room and date filed. Destroy 2 years after date of last entry in volume.
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.
- a. Original Report. Destroy when 1 year old.
- b. Operating Office Copy. Destroy when 2 years old.
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. Transfer to FRC when 10 years old. Destroy when 20 years old.
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. Destroy when 1 year old.
117. Sales Journal. Shows statistical information on sales of copies of patents and trademarks. Destroy when 5 years old.
118. Correspondence and Sale Control Records. Records used to control the flow of correspondence and sale of printed materials. Destroy when 1 year old.
119. Requests for Publications. Correspondence requesting copies of certain publications or other printed materials. Return request with ordered 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) PERMANENT. Transfer to classified site. Offer to National Archives when 25 years old.

b. All other microform copies

Non-Records.

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. Destroy when records are returned.
122. Binding Instructions. Cards showing instructions on how the various publications received by the library are to be bound. Destroy when no longer needed.
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. Destroy when obsolete or on return of book.
124. Interlibrary Loans Files. Records of books borrowed from other libraries. Destroy 2 years after return of book.
125. Library Serial Order Cards. 3' x 5' cards used to record purchase of journals, magazines, etc. Destroy when no longer needed for reference.
126. Library Book Order Cards. 3' x 5' cards showing book purchases. Destroy when no longer needed for reference.
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. Destroy when no longer needed for reference.
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. PERMANENT. Offer to National Archives when no longer needed for reference.

NON RECORD MATERIALS

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.

* Must be reviewed prior to July 1987 if the order issued by the U.S. District of Columbia in Irons v. Schwyler, Commissioner of Patents, 167 U.S.P.Q. 728 (1970), aff'd 174 U.S.P.Q. 289 (D.C. Cir. 1972), aff'd 175 U.S.P.Q. 83 (1972), is still in effect. The court's order appears to require further retention of certain decisions of the Patent and Trademark Office made since July 4, 1967.