

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER *NI-241-97-1*

DATE RECEIVED *5-26-97*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 *11-3-97* ARCHIVIST OF THE UNITED STATES
John W. Paul

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

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 13 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 *5/14/97* 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 GRS OR SUPERSEDED JOB CITATION	10.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)
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1	See items 1- ⁹ 8 attached.		
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Kathy Schultz, PTO records officer, verbally concurred with all changes to this schedule in telecon 10/16/97.
Jerry Baume, NWRC

**Patent and Trademark Office
Commissioner of Patents and Trademarks**

1. **Speaker's Files** NC1-241-76-1 #107
 Invitations and related correspondence, schedules, travel itineraries and vouches, and related records concerning scheduling of PTO speakers.
Disposition: Destroy when 3 years old.

2. **Office of Enrollment and Discipline** NC1-241-76-1 #81
Unsuccessful Applications
 Includes correspondence, application, transcripts, and related records. Used to process requests for refunds and to document completed actions if the applicant continues at a later time. Also used to document reasons for denial, which are referred to when applicants reapply after satisfying deficiencies.
 - a. Applicants approved to take the examination but fail to follow through.
 - b. Applicants not meeting qualifications for the enrollment examination.Disposition:
 - a. Transfer to the FRC when 10 years old. Destroy when 30 years old.
 - b. Transfer to the FRC when 10 years old. Destroy when 30 years old.

3. **Significant Complaints and Investigations Database** NC1-241-92-2 #4
 Significant complaints against attorneys and agents. Includes name, date of charge, nature of the complaint, summary of disposition, and status codes. GRS 23 ITEM 8
Disposition: Delete records when 20 years old or when no longer needed for current agency business.

4. **Office of Public Affairs** NC1-241-76-1 #105
Printed Articles
 Articles submitted for clearance and printed in magazines, journals, and other information media. Includes related background materials.
Disposition: Destroy when 10 years old.

5. **Public Affairs Report** NC1-241-76-1 #106
 Weekly, monthly, and quarterly reports relating to public affairs activities prepared for the Department of Commerce.
Disposition: Destroy when 6 months old.

- Board of Patent Appeals and Interferences**
6. **BPAI Speeches** NC1-241-76-1 #111
 Speeches delivered by members of the BPAI on the process and procedures of the Board and related activities of the PTO. Includes speech clearances.
Disposition: Permanent. Transfer to the FRC when 10 years old. Transfer to NARA when 30 years old.
- Trademark Trial and Appeal Board**
7. **Index to TTAB cases** NC1-241-76-1 #97
 Index on 4x6 cards listing TTAB proceeding number, parties, date filed, date instituted, answer filed, notice of default, default judgment, parties, consent judgment, motion for summary judgment action, action on motion, decision on merits, petition for reconsideration, action on petition, appeal Court of Customs and Patent Appeal, civil action, decision, and final termination. Used to track and find information about TTAB cases. Replaced by the Trademark Reporting And Monitoring System II (TRAM II).
Disposition: Permanent. Transfer to NARA when no longer needed for reference.
- Patent Search Room**
8. **Inventor's Index** NC1-241-76-1 #128
 Indexes of patentees including filing date, serial number, patent number, assignee cross reference, class, and subclass.
 a. Card index.
 b. Bound volumes.
 c. CD-ROM
Disposition:
 a. Permanent. Transfer to NARA when no longer needed for reference.
 b. Permanent. Transfer to NARA when no longer needed for reference.
 c. Destroy when superseded or no longer needed.

Addendum to Job No. N1-241-97-1

**Patent and Trademark Office
Office of the Solicitor**

9. Employee (Examiner's) Testimony

Copies of certified depositions of PTO employees used as testimony in court cases. The records may also contain background materials, drafts, and notes.

AUTHORIZED DISPOSITION: Close files annually at the end of the CY and transfer to the FRC three years after closure. Destroy 30 years after closure.

Supersedes N1-241-96-1, Item 9