

# **COMMISSIONER FOR TRADEMARKS**

**And Reporting Offices:**

## **COMMISSIONER FOR TRADEMARKS**

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# USPTO Comprehensive Records Schedule

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# USPTO Comprehensive Records Schedule

## COMMISSIONER FOR TRADEMARKS

### Record Series Detail

## COMMISSIONER FOR TRADEMARKS

### 1 Commissioner for Trademarks, Program and Policy Subject Files

Correspondence, reports, studies, memoranda, committee papers, minutes of meetings, briefing books and papers, notes, 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 USPTO 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 USPTO programs and plans; strategic and long-range planning files; issues that affect the overall directions, operation, and programs; and plans of the Assistant Commissioner for Trademarks and the USPTO.

### N1-241-96-6:2

Permanent. Close inactive files at the end of each fiscal year and transfer to the Certified Records Center 5 years after closure. Transfer to the National Archives 20 years after closure.

### 2 Controlled Correspondence Database

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

### GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

### 3 Controlled Correspondence Files for the Commissioner for Trademarks

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 assigned a control number, forwarded to appropriate staff for response, and answered within a specific period of time:

- Record copy
- Duplicate copies maintained solely for reference.

### N1-241-96-6:40

- Close files at the end of year and transfer to the Certified Records Center when 2 years old. Destroy 5 years after closure.
- Nonrecords. Break files each fiscal year and destroy when 2 years old.

### 4 General Subject Files (Commissioner for Trademarks)

Correspondence, periodic reports, memoranda, 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 Program Control, Trademark Examining Groups, Trademark Law Offices, and various committee records and reports, copies of the Commissioner's 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, directions, policy, procedures, decisions, or programs.

### N1-241-96-6:39

Close inactive files at the end of each fiscal year and destroy when 5 years old.

### 5 Labor Arbitration General and Case Files

Correspondence, forms, and background papers relating to labor arbitration cases. Used to document USPTO in labor arbitration cases. Record copy of formal arbitration in Human Resources.

### Nonrecord

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

**COMMISSIONER FOR TRADEMARKS (Cont.)**

<b>6</b>	<b>Labor Management Relations Coordinating Committee File</b> Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions. Used to document negotiations for USPTO with labor unions. Record copy of negotiations in Human Resources.	<b>Nonrecord</b> Destroy when superseded, obsolete, or no longer needed for reference.
<b>7</b>	<b>Letters of Commendation, Congratulations</b> Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. Used to document appreciation for commendable effort.	<b>GRS 1, 12c</b> Destroy when 2 years old.
<b>8</b>	<b>Promotions and Awards File</b> Includes recommendations, approved nominations, correspondence, reports, and other documents related to agency sponsored awards. Used to determine promotions and awards.	<b>GRS 1, 12a(1)</b> Destroy 2 years after approval or disapproval.

**DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY**

<b>9</b>	<b>Administrative Grievance, Disciplinary, and Adverse Action Files</b> 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 USPTO participation. Record copy in Human Resources.	<b>Nonrecord</b> Destroy when superseded, obsolete, or no longer needed for reference.
<b>10</b>	<b>EEO Affirmative Action Plans (AAP)</b> 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.	<b>GRS 1, 25a</b> Destroy 4 years after resolution of case.
<b>11</b>	<b>EEO Committee Files</b> Agency EEO Committee records, with minutes and reports. Includes general correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO act of 1972, and any pertinent later legislation. Used to document USPTO position on EEO.	<b>GRS 1, 25g</b> Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
<b>12</b>	<b>FOIA Administrative Files</b> Records relating to general agency implementation of FOIA, including notices, memoranda, routine correspondence, and related records.	<b>GRS 14, 15</b> Destroy when 2 years old.
<b>13</b>	<b>Incentive Awards Program Reports</b> Reports pertaining to the operation of the Incentive Awards Program. Used to provide administrative and policy direction to the Trademark Examining Groups and related operations.	<b>GRS 1, 13</b> Destroy when 3 years old.

**DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)****14 Published Trademarks-MICROFILM**

Microfilm of published trademarks, arranged by words and applicable designs classifications. Copies are maintained in the Trademark Search Library for public reference:

- a. Record copy--original silver camera-ready edition
- b. Reference and other copies
- c. Indexes to microfilm.

**15 Published Trademarks--MICROFILM**

Microfilm of published trademarks, arranged by words and applicable designs classifications. Copies are maintained in the Trademark Search Library for public reference:

- a. Record copy--original silver camera-ready edition
- b. Reference and other copies
- c. Indexes to microfilm.

**16 Trademark Applications As Filed - MICROFILM**

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.

**17 Trademark Case Files**

Case files showing the prosecution of applications for, and the registration of, a trademark. Includes the original application, copy of drawing, and all materials relating to the prosecution of the application and subsequent actions by the United States 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 USPTO until the registered mark is cancelled 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 USPTO repository or to the Certified Records Center, USPTO staff will select, for permanent retention in the National Archives, files that meet the following criteria:

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

- a. Cancelled or Expired Registrations (1)(2)
- b. Abandoned Applications (1)(2)

**N1-241-96-6:42**

- a. (See N1-241-05-02:1a)
- b. Destroy when no longer needed for current agency business.
- c. Permanent. Transfer to National Archives when the microfilm in "a" above is transferred [Note: The United States Patent and Trademark Office will initiate transfer discussions 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].

**N1-241-96-6:42**

- a. (See N1-241-05-02:1a)
- b. Destroy when no longer needed for current agency business.
- c. Permanent. Transfer to National Archives when the microfilm in "a" above is transferred [Note: The United States Patent and Trademark Office will initiate transfer discussions 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].

**N1-241-96-6:7**

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

**N1-241-96-6:46**

- a. Cancelled or Expired Registrations:
  - 1) Selected Files: PERMANENT. Forward to USPTO 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 USPTO repository upon registration. Destroy 2 years after cancellation or expiration.
- b. Abandoned Applications:
  - 1) Selected Files: PERMANENT. Forward to USPTO 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.

**DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)**

<b>18 Trademark Petitions</b> Petitions to the Commissioner relating to trademarks, and related correspondence or decision records. The original petition is filed in the Trademark Case File. a. Original Petitions b. All other copies.	<b>N1-241-96-6:44</b> a. Dispose of with Trademark Case File. b. Destroy when no longer needed for current agency business.
<b>19 Trademark Practice and Procedure Legal Lectures</b> Record set of lectures and training materials used to train Trademark Examiners.	<b>N1-241-96-6:43</b> Permanent. Close files annually and transfer to the Certified Records Center 5 years after closure. Transfer to the National Archives 20 years after closure.
<b>20 Trademark Protest Letters</b> Letters of protest related to Trademarks, addressed to the Commissioner.	<b>N1-241-96-6:45</b> Destroy when 2 years old.
<b>21 U.S. Patent and Trademark Office Core Publications</b> Includes the record copy of the Official Gazette of Patents and Trademarks, which is an official publication of the USPTO of newly issued patents, trademarks, expired patents, official USPTO notices, and other related publications and indexes.	<b>N1-241-05-02:1a (Previously N1-241-96-6:42a)</b> Permanent: Transfer publicly available core publications to NARA annually when 5 years old

**Office of Post Registration**

<b>22 Affidavit and Renewal Examiner Activity Report</b> TRAM report of examiner activity listing cases processed, time spent on case, and registration number. Used for employee evaluations.	<b>GRS 1, 23a(5)</b> Destroy 4 years after date of appraisal.
<b>23 Petition Decisions From the Commissioner</b> Petitions to the Commissioner relating to trademarks, and related correspondence or decision records: a. Original Petitions b. All other copies.	<b>N1-241-96-6:44</b> a. Dispose of with Trademark Case File. b. Destroy when no longer needed for current agency business.
<b>24 Request for Case Files From Warehouse List</b> Report accompanying cases sent to the Office from the USPTO repository listing serial number, registration number, date filed, and location. Used for tracking purposes.	<b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
<b>25 Trademark Official Gazette Daily Contents List</b> Weekly TRAM report for renewed registrations listing registration number and drawing codes for drawings that are to be published in the Official Gazette. Used for tracking purposes.	<b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**Office of Post Registration (Cont.)****26 TRAM Updates**

Data entered into Trademark Reporting and Monitoring (TRAM) system includes address changes from correspondence sent in from the applicant. Correspondence is placed in the case file. Used for tracking purposes.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**27 Updated Registration Page Error List**

Log of updated registrations listing issued date, serial number, action date, and errors of incomplete text editing. Used to ensure proper material is placed in the case file.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**Petitions Office****Trademark Assistance Center****28 Lost Cases**

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.

**N1-241-96-6:15**

Delete when no longer needed for trend analysis.

**29 Lost Cases Receipts**

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

**N1-241-96-6:16**

Destroy when 1 year old.

**30 TRAM Updates**

Data entered into Trademark Reporting and Monitoring (TRAM) system from trademark application. Includes serializations for new cases. Used for tracking purposes.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**Office of Trademark Quality Review and Training****31 Reviews and Amendments Training Errors**

Errors for each trainee learning to process reviews and amendments compiled during practice sessions on TRAM. Used to improve trainee accuracy.

**N1-241-96-6:22**

Delete after most current performance review is completed.

**32 Trademark Quality Reviews and Findings**

Each quality review results in a report of findings. Reports may be appealed by the law office, and if so the appeal becomes part of the file. Both the findings and any appeals are kept electronically on the managing attorney's "C" drive and the OTQR "S" drive (shared drive).

**N1-241-96-1:17**

Break files by fiscal year. Delete when no longer needed.

**Office of Legal Policy****Madrid Processing Office**

**DEPUTY COMMISSIONER FOR TRADEMARK OPERATIONS****Trademark Examination****Trademark Law Offices**

<p><b>33 Abandoned Trademark Applications</b> Consists of original application and all related correspondence: a. Selected Files b. Nonselected Files.</p>	<p><b>N1-241-96-6:30</b> a. PERMANENT. Forward to USPTO 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. b. Destroy 2 years after abandonment.</p>
<p><b>34 Case Batch Logs</b> Log books containing Amendment Batch Sheets, Typing Batch Sheets, and Publication Log Sheets. Lists dates cases were received and batched, name, serial number, date completed, and totals. Used to track total cases processed by the clerical staff.</p>	<p><b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p><b>35 Correspondence for Office Actions</b> Copies of correspondence originated by the examining attorney sent to an applicant requesting information or the notification of an office action. Copies are kept unofficially and used only for reference purposes. In electronic or paper form.</p>	<p><b>Nonrecord</b> Destroy or delete when no longer needed for reference.</p>
<p><b>36 Examiners Form Paragraphs</b> Paragraphs used by the examining attorneys to cover grounds of refusal and reasons for requirements or objections to standardize language for frequent office actions.</p>	<p><b>GRS 20, 13</b> Delete from the word processing system when no longer needed for update or revision.</p>
<p><b>37 Examining Attorney's Appeal Briefs</b> Copies of briefs produced by an examining attorney after an appeal has been brought before the Trademark Trial and Appeal Board. The brief lists facts and arguments as to why the examining attorney refused to register the trademark. Used for reference purposes. In electronic or paper form.</p>	<p><b>Nonrecord</b> Destroy or delete when no longer needed for reference.</p>
<p><b>38 Law Office Reference Library</b> Various trade publications and manuals used by the examining attorneys for reference purposes. Examples include: Trademark Manual of Examining Procedures; International Class of Goods and Services; United States Patents Quarterly; Government Executive; Official Gazette of the United States Patent and Trademark Office: Trademarks.</p>	<p><b>Nonrecord</b> Destroy when no longer needed for reference.</p>

**Trademark Law Offices (Cont.)****39 Pending Trademark Applications**

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 USPTO or a foreign registration.

**N1-241-96-6:29**

Forward application for processing upon completion of office action.

**40 Reviews and Amendments Manuals**

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 Legal Instrument Examiners (LIEs).

**N1-241-96-6:23**

Destroy when superseded or no longer needed for convenience of reference.

**41 Support Staff Processing Reports**

Reports on the processing of files by the support staff used only to track cases, such as "Overdue Mail" and "Overdue Cases Being Sent to Publication."

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**42 Trademark Production and Pendency Reports**

Various reports showing amount of work processed by examiners in a given time. Includes Legal Instrument Examiner (LIE) Examiner Report. Used by management to evaluate examiners work and progress, and to monitor workflow in the unit.

**GRS 1, 23a(5)**

Destroy 4 years after date of appraisal.

**Trademark Services****43 Batch Tracking Report**

TRAM report listing work flow for batched cases from Intake through Publication and Issue. Used for tracking purposes.

**GRS 23, 8**

Destroy or delete when 3 years old, or 3 years after the date of the last entry, whichever is applicable.

**44 Condition of Trademark Applications**

Monthly 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.

**N1-241-96-6:9**

Destroy when superseded.

**45 Employee Production Sheets**

Daily production sheets, such as the Pre-Exam Daily Reports and the Intake Processing Batch Cover Sheet, listing totals of work performed. Used to evaluate employee performance.

**GRS 1, 23a(5)**

Destroy 4 years after date of appraisal.

**46 Express Mail Forms File**

Carbon copy of the Federal Express form listing the date, item number, destination, and time of arrival. Used to track Intake section's incoming/outgoing packages.

**GRS 12, 5a**

Destroy when 1 year old.

**Trademark Services (Cont.)**

<b>47 Intake Processing Logs</b>	Includes batch logs of incoming trademark applications such as the Trademark Office Serialization Tracking Log, the Daily TM Mail Report (log), Trademark Application Microfilm Records (log), and Batch Sheets for Serialization. Used to track applications through Office processing.	<b>GRS 23, 8</b>	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
<b>48 Post Office Express Mail Report</b>	Report accompanying Post Office express mail listing the date, label number, zip code and time delivered. Used to ensure receipt of package.	<b>GRS 12, 5a</b>	Destroy when 1 year old.
<b>49 Quality Review of Data Entry</b>	Includes data on errors by type, frequency, and location as well as TRAM system reports listing data entry errors by contractors and USPTO 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.	<b>GRS 20, 1c</b>	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
<b>50 Request for Corrections Filing Receipts</b>	Database tracking errors in the TRAM database by type and data entry clerk. Used for statistics and to document frequency and type of errors.	<b>GRS 20, 1c</b>	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
<b>51 System Backups and Tape Library Records</b>	<ul style="list-style-type: none"> <li>a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</li> <li>b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.</li> </ul>	<b>GRS 24, 4</b>	<ul style="list-style-type: none"> <li>a. <ul style="list-style-type: none"> <li>(1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</li> <li>(2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.</li> </ul> <p>[Note: See GRS 20, item 8, for backups of master files and databases.]</p> </li> <li>b. Destroy/delete when superseded or obsolete.</li> </ul>

**Trademark Services (Cont.)****52 Trademark Data Entry and Update System (TRADEUPS)**

The Trademark Data Entry and Update System (TRADEUPS) provides the automated support necessary to capture and maintain the character based trademark data elements. This data supports the processing of trademark applications through pre-examination, examination, publication and issue, and post-examination and is used for notification (publication) to the public at different points in the life of an application or registration. TRADEUPS accepts, and allows for the creation of, flat files of textual data. The data source may be electronic submission, scanning/OCR or keyed. The data is acceptable as tagged or non tagged. The Legal Instruments Examiner is provided with this data in digital form with the ability to enter, change, tag, re-tag, and verify the contents of the file. The initial implementation supports the capture of new applications. Subsequent releases will incorporate the business rules for other document types. Those releases will also provide support for the modification of data for existing applications. It is necessary to amend and correct pending applications and registrations, since these changes may reflect alterations in the bibliographic data content or changes to the elements that the office creates and maintains to describe each case. TRADEUPS design supports a common interface that is the basis for entry/modification and validation of any trademark submission. The intention is that a common interface will support the adjustment of staff throughout the Office without extensive retraining. It also will support the display of the trademark image for validation and maintenance improvement of image data. It currently updates the database on the Unisys A16:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic source):
  - 1) New textual data from Trademark Image Capture and Retrieval System (TICRS)
  - 2) Image format files from TICRS
  - 3) Updated textual data from Trademark Reporting and Monitoring System (TRAM)
- d. Outputs (electronic):
  - 1) Tagged data
  - 2) Textual data
- e. Audit Trails
- f. Daily snapshots
- g. Backups
- h. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**N1-241-01-2:3**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (electronic source):
  - 1) Transfer to TRAM. Delete at next update cycle.
  - 2) Destroy or delete at next update cycle.
  - 3) Upload to TRADEUPS. Delete when no longer needed.
- d. Outputs (electronic):
  - 1) Upload tagged data to TRAM. Delete at next update cycle.
  - 2) Delete at next update cycle.
- e. Overwrite when audit is completed.
- f. Retain until verified according to established standards. Destroy or delete when no longer needed.
- g. See GRS 24, 4a(1)
- h. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**Trademark Services (Cont.)****54 Trademark In-house Photocomposition System (TIPS)**

The Trademark In-house Photocomposition System (TIPS) creates the Trademark Official Gazette (TMOG), Registration Certificates, Updated Registration Certificates and related products. Each week the Office notifies members of the public as to the activity in the trademark registry. This is formally accomplished via the Gazette and related products. The TMOG provides the public with notification of the cases that are published for opposition (approved for publication by the trademark attorney advisor), those marks that are registered (both principal and supplemental registers), and cases that have undergone post-registration events (including cancellations, renewals, affidavits, amendments, corrections, restrictions, republications under section 12c and new certificates). TIPS also allows photocomposition products to be displayed for on-line proofing. TIPS uses the 3B2 COTS software to provide some of the system functionality:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic source):
  - 1) Formatted text file from TRAM
  - 2) Image files from image server (same server used by X-Search)
- d. Outputs (electronic): Postscript files of photocomposition products sent to GPO
- e. Internal Records
  - 1) PDF files. Internal file format used for viewing records
  - 2) 3B2 files. Internal file format used by 3B2 COTS software for processing data
- f. Backups
- g. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**N1-241-1-2:4**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (electronic source):
  - 1) Destroy or delete when no longer needed for current agency business.
  - 2) Destroy or delete when no longer needed for current agency business.
- d. Delete at next update cycle.
- e. 1) Delete when no longer needed for current agency business.
  - 2) Delete when no longer needed for current agency business.
- f. See GRS 24, 4a(1)
- g. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**Trademark Services (Cont.)****53 Trademark In-house Photocomposition System (TIPS)**

The Trademark In-house Photocomposition System (TIPS) creates the Trademark Official Gazette (TMOG), Registration Certificates, Updated Registration Certificates and related products. Each week the Office notifies members of the public as to the activity in the trademark registry. This is formally accomplished via the Gazette and related products. The TMOG provides the public with notification of the cases that are published for opposition (approved for publication by the trademark attorney advisor), those marks that are registered (both principal and supplemental registers), and cases that have undergone post-registration events (including cancellations, renewals, affidavits, amendments, corrections, restrictions, republications under section 12c and new certificates). TIPS also allows photocomposition products to be displayed for on-line proofing. TIPS uses the 3B2 COTS software to provide some of the system functionality:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic source):
  - 1) Formatted text file from TRAM
  - 2) Image files from image server (same server used by X-Search)
- d. Outputs (electronic): Postscript files of photocomposition products sent to GPO
- e. Internal Records
  - 1) PDF files. Internal file format used for viewing records
  - 2) 3B2 files. Internal file format used by 3B2 COTS software for processing data
- f. Backups
- g. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**55 Trademark In-house Photocomposition System (TIPS) - IT Asset and Configuration Management Files**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

- (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

**N1-241-01-02:4**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (electronic source):
  - 1) Destroy or delete when no longer needed for current agency business.
  - 2) Destroy or delete when no longer needed for current agency business.
- d. Delete at next update cycle.
- e. 1) Delete when no longer needed for current agency business.
  - 2) Delete when no longer needed for current agency business.
- f. See GRS 24, 4a(1)
- g. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**GRS 24, 3b(1)**

- (1) Destroy/delete 1 year after termination of system.

NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).

**Trademark Services (Cont.)****56 Trademark Reference Law Library System (TRLLS)**

This online system allows examining attorneys to access the digitized, nonrecord copies of various trade publications and manuals used by the for reference purposes. Examples include: Trademark Manual of Examining Procedures; International Class of Goods and Services; United States Patents Quarterly; Government Executive; and Official Gazette of the United States Patent and Trademark Office:

Trademarks:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs
- d. Outputs
- e. Error Logs
- f. Backups
- g. Vital record copy.

**Nonrecord**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Nonrecord
- d. Nonrecord
- e. Delete after error correction.
- f. See GRS 24, 4a(1)
- g. Backup tape will be used as vital record copy.

**57 TRAM Updates**

Data entered into Trademark Reporting and Monitoring (TRAM) system includes dates of incoming correspondence from applicant (placed in case file), and requests for registered cases from the USPTO repository. Used for tracking purposes.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**Office of Intent-to-Use****58 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.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**59 Files Delivered to the ITU With Notices of Allowance Date**

TRAM report listing serial number and weekly totals of incoming cases. Used to track incoming cases for the fiscal year.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**60 ITU Processing Logs**

Includes the Cancellation Log listing totals for the number of cancelled Notice of Allowances and the Mail Log containing a daily list of incoming correspondence. Used for tracking purposes.

**GRS 23, 8**

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

**61 Trademark Quality Review Sheets**

Worksheet produced by the supervisor evaluating quality of work performed by the application examiners. Lists serial or registration number, error, comments, and name of examiner. Used for employee evaluations.

**GRS 1, 23a(5)**

Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner.

**62 TRAM Activity Report**

Lists examiners production data, including serial number of case, and type of work performed. Used for employee evaluations.

**GRS 1, 23a(5)**

Destroy 4 years after date of appraisal.

**Office of Pre-Examination**

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| <p><b>63 Employee Production Sheets</b><br/>Includes Pre-exam Daily Reports, listing totals for the type of work done, hours worked, employee name, and date. Also includes Intake Processing Batch Cover Sheet, listing batch number, mail date, type of mail in the batch, and name of employee. Primarily used for employee performance evaluations. Also used to update statistical reports.</p> | <p><b>GRS 1, 23a(5)</b><br/>Destroy 4 years after date of appraisal.</p>  |
| <p><b>64 Express Mail Forms File</b><br/>Carbon copy of Federal Express form listing the date, item number, destination, and time of arrival. Used to track Pre-examination section's incoming/outgoing packages.</p>  | <p><b>GRS 12, 5a</b><br/>Destroy when 1 year old.</p>   |
| <p><b>65 Pre-exam Processing Logs</b><br/>Includes logs such as the Informal Applications Log, Lost Files Log, New Application Batch Tracking Log, and the Mail Tracking Report Log. Used to track the routing and status of trademark applications.</p>   | <p><b>GRS 23, 8</b><br/>Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p> |
| <p><b>66 Request for Trademark Fee Refund</b><br/>Copy of Form USPTO-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.</p>  | <p><b>N1-241-96-6:32</b><br/>Destroy when 1 year old, or when no longer needed.</p>   |
| <p><b>67 Restorations of Filing Dates</b><br/>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.</p>  | <p><b>N1-241-96-6:33</b><br/>Delete after response is sent and verified, or when no longer needed.</p>                                |

**Office of Trademark Publication**

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| <p><b>68 Error Reports File</b><br/>Original Error Report sent from the publication contractor. Lists the drawings missing from cases pending publication. Used as support documentation for employee evaluations.</p> | <p><b>GRS 1, 23a(5)</b><br/>Destroy 4 years after date of appraisal.</p> |
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**Trademark Program Control**

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| <p><b>69 Chron Files</b><br/>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.</p> | <p><b>N1-241-96-6:8</b><br/>Destroy when 3 years old.</p> |
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**Trademark Program Control (Cont.)**

<p><b>70 Data Entry Manuals</b> 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-USPTO data.</p>	<p><b>N1-241-96-6:10</b> Destroy when superseded.</p>
<p><b>71 Engineering Change Requests/System Problem Reports</b> Requests to Trademark Systems to produce reports or change system programming based on records documenting or analyzing problems with the operation or use of the search system. Used to monitor progress and priority of requests.</p> <p>(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p>	<p><b>GRS 24, 3b(2)</b> Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.</p>
<p><b>72 Global Correspondence Updates</b> Signed letters from law firms requesting changes to their name and/or address on USPTO 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.</p>	<p><b>N1-241-96-6:12</b> Send to the Certified Records Center when 3 years old: a. Destroy records when 20 years old. b. Destroy records when 10 years old.</p>
<p><b>73 Inadvertent Issues</b> Spreadsheet log of registrations cancelled by 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.</p>	<p><b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p><b>74 Information Dissemination Product Reference</b> This covers information products and publications that are short-term temporary materials associated with reference and bibliographic materials, that are inherently non-record but are considered short-term temporary records because of the nature of supporting the unique dissemination mission of the USPTO. Materials posted to the Web that are used for public reference are considered to be dissemination products.</p> <p>The USPTO develops and constantly improves upon methods of disseminating Patent and Trademark information. The office recognizes a certain number of these methods as "search systems." These are disseminated both free of charge and through subscriptions.</p>	<p><b>N1-241-05-02:5 (Previously N1-241-01-2:2c)</b> Delete when no longer needed for current agency business.</p>

**Trademark Program Control (Cont.)**

<p><b>75 Installation Records and Floor Plans</b> Hardware Installation requests. Used to document equipment installations.</p> <p>Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/ accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.</p> <p>b. Records for projects that are implemented.</p>	<p><b>GRS 24, 11b</b> b. Destroy/delete 5 years after project is terminated.</p>
<p><b>76 IT Customer Service Files</b> a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers. b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.</p>	<p><b>GRS 24, 10</b> a. Destroy/delete 1 year after record is superseded or obsolete. b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.</p>
<p><b>77 IT Customer Service Files - Instructions</b> Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.</p>	<p><b>GRS 24, 10a</b> Destroy/delete 1 year after record is superseded or obsolete.</p>
<p><b>78 New System Documentation</b> Specifications, user suggestions, proposal for bid, copy of contract, and other records related to system development up to acceptance. Used to document Office input to trademark systems.</p>	<p><b>GRS 20, 11a</b> Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p>
<p><b>79 Notice of Errata</b> 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.</p>	<p><b>N1-241-96-6:17</b> Destroy when 3 years old.</p>
<p><b>80 Project Files</b> Records on trademark information search systems, document reporting and monitoring systems, or other ad hoc projects. Used to document project completion.</p>	<p><b>GRS 16, 5</b> Destroy 1 year after the year in which the project is closed.</p>
<p><b>81 Quality Review of Data Issued on Media</b> Verification copies of media products, such as CD-ROM products. Used to check for errors before release for sale and to verify problems reported by users after release.</p>	<p><b>N1-241-05-02:6f (Previously N1-241-96-6:20)</b> Temporary: Destroy when superseded by 2 editions.</p>

**Trademark Program Control (Cont.)****82 Security Plans**

Security and disaster recovery plans and procedures developed to safeguard trademark data and systems. Used to document security.

**GRS 20, 11b**

Destroy or delete when superseded or obsolete.

**83 System Backups and Tape Library Records**

- a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
- b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

**GRS 24, 4**

- a.
  - (1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
  - (2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

[Note: See GRS 20, item 8, for backups of master files and databases.]

- b. Destroy/delete when superseded or obsolete.

**84 System Documentation**

Includes specifications, performance statistics, and other technical documentation. Used to research problems and for determining enhancements or system redesigns.

**GRS 20, 11a**

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

**85 System Testing**

Electronic files created solely to test performance of trademark systems as well as hard-copy printouts and related documentation for the electronic files/records. Used to test systems for acceptance.

**GRS 20, 1a**

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

**86 System Training Documentation**

User manuals, guides, course outlines, training presentation slides/videos, and other development records. Used to create teaching materials for X-Search and TRAM.

**GRS 20, 11a**

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

**Trademark Program Control (Cont.)****87 Trademark Application and Registration Retrieval (TARR)**

The Trademark Application and Registration Retrieval (TARR) system provides Internet access by the general public to the status of all trademark applications and registrations. This Internet capability will contain a link to general information about the PTO and to a phone list of the Trademark Examining Attorneys. The site is securely isolated from the internal database and other internal PTO systems to eliminate any conflict with current/future PTO standard security regulations and methodologies:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic): TRAM data transferred using File Transfer Protocol (FTP).
- d. System Reports (electronic): Statistical reports including number of visitors to the TARR site and the number of queries.
- e. Backups
- f. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**88 Trademark Electronic Application Submission (TEAS)**

The initial focus of TEAS is on the submission of data to the PTO. Future operations will include electronic data transmission from the PTO to customers for Office actions created during the prosecution of a case and post-registration actions. This project is the first step towards a complete electronic workflow solution for Trademark prosecution. The current strategy is to leverage the technologies and capabilities of mainstream World Wide Web browsers as a means for interacting with Trademark customers. The final goal is to make all transactions and interactions with Trademark customers electronic:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic): Online data transmissions.
- d. Outputs (electronic):
  - 1) Tagged textual format files
  - 2) Image format files
- e. System Reports (electronic): Time and Date/Stamp log
- f. Backups:
  - 1) System backups
  - 2) CD-ROM of online data transmissions
- g. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Include copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**N1-241-01-01:5**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Delete daily when superseded by next update.
- d. Delete at monthly update cycle.
- e. See GRS 24, 4a(1)
- f. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**N1-241-01-01:4**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Print incoming electronic application to paper and place in Trademark case file. See Comprehensive Records Schedules (CRS) Section 5 item 18 (N1-241-96-6:46).
- d. Outputs (electronic):
  - 1) Transfer to TRADEUPS.
  - 2) Transfer to TICRS.
- e. Delete when no longer needed for agency business.
- f. 1) Back up daily and delete when replaced by a subsequent comprehensive backup file. Backup tape will be used as vital record copy.
  - 2) Back up when accumulation warrants and delete when replaced by a subsequent comprehensive backup file.
- g. 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**Trademark Program Control (Cont.)****89 Trademark Electronic Search System (TESS)**

The Trademark Electronic Search System (TESS) is a searchable text and image database of select Trademark Reporting and Monitoring System (TRAM) system fields on the internet. Members of the public can conveniently search existing applications and registrations prior to entering the application process:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (web based):
  - 1) TM textual search data transferred through FTP
  - 2) Converted Image format files (TIF files converted to GIF)
- d. Outputs (data): Statistical Reports
- e. Backups
- f. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
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  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**91 Trademark Electronic Search System (TESS) - IT Asset and Configuration Management Files**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

- (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

**N1-241-01-2:2**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (web based) (See N1-241-05-02:5):
  - 1) Delete when superseded by daily update.
  - 2) Retain until verified according to established standards. Update or delete as needed for current agency business.
- d. Delete or destroy when superseded by daily update, or when no longer needed.
- e. See GRS 24, 4a(1)
- f. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**N1-241-01-2:2**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (web based) (See N1-241-05-02:5):
  - 1) Delete when superseded by daily update.
  - 2) Retain until verified according to established standards. Update or delete as needed for current agency business.
- d. Delete or destroy when superseded by daily update, or when no longer needed.
- e. See GRS 24, 4a(1)
- f. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is complete.

**GRS 24, 3b(1)**

- (1) Destroy/delete 1 year after termination of system.

NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).

**Trademark Program Control (Cont.)****92 Trademark Image Capture and Retrieval System (TICRS)**

The Trademark (TM) Office receives and processes large volumes of correspondence. Currently paper versions of these documents are routed and stored in conventional file systems. The Trademark Image Capture and Retrieval System (TICRS) project will provide the capabilities necessary to manage these documents in electronic form by capturing and retrieving both incoming and outgoing correspondence. The scanning of incoming paper trademark documents will enable the implementation of re-engineered business processes, which will reduce processing cycle times and improve operating efficiency. Scanning technologies are focused on providing image records of new applications, with expansion planned to capture other TM application documents. These image records will be used for a number of purposes, including updating the database of cropped trademark images; providing copies of applications to the search library and to the Certification Branch for copy sales; and for internal TM use during examination. Use of Optical Character Recognition (OCR) technology to convert scanned documents to text allows elimination of manual data entry and will improve quality. The system's index provides a link between scanned documents and the original trademark application using the application serial number:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (paper):
  - 1) Paper, Applications.
  - 2) Paper, Application-related correspondence.
- d. Outputs (paper or electronic):
  - 1) Images to retrieval database.
  - 2) Electronic image of drawing page.
  - 3) Drawing page printout.
  - 4) OCR Image in Portable Document Format (PDF).
  - 5) Index data.
- e. Error Logs.
- f. Staging Files.
- g. Backups.
- h. Electronic Mail and Word Processing System Copies:
  - 1) Copies that have no further administrative value after the recordkeeping copy is made. Include copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce recordkeeping copy.
  - 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**93 Trademark Voice System**

This telephone information system can be accessed by dialing from anywhere in the world. An individual can enter a combination of up to 5 application serial numbers or registration numbers. Using the telephone pushbuttons, the user can obtain the status and date for each record entered. This system is available to the public and to USPTO staff at no charge:

- a. System software
- b. Data files
- c. Initial documentation and updates.

**N1-241-01-01:3**

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. Inputs (paper):
  - 1) Permanent. After scanning into TICRS, send to the Law Offices. Follow disposition instructions for related records. See Comprehensive Records Schedules (CRS) Section 5/18 (N1-241-96-6:46).
  - 2) Permanent. After scanning into TICRS, send to the Law Offices. Follow disposition instructions for related records. See Comprehensive Records Schedules (CRS) Section 5/18 (N1-241-96-6:46).
- d. Outputs:
  - 1) Transfer to retrieval database. Destroy or Delete when transfer has been verified and data is no longer needed.
  - 2) Store on Trademark Cropped Image Server. Destroy or Delete when transfer has been verified and data is no longer needed.
  - 3) Destroy or Delete when transfer to the Trademark Case Files has been verified and data is no longer needed.
  - 4) Transfer to TRADEUPS. Destroy or Delete when transfer has been verified and data is no longer needed.
  - 5) Delete after the information is no longer needed to support the reconstruction of, or to serve as the backup to, the master file.
- e. Delete after error correction.
- f. Delete after staging completion.
- g. See GRS 24, 4a(1)
- h. Electronic Mail and Word Processing System Copies:
  - 1) Destroy/delete after the recordkeeping copy has been produced.
  - 2) Destroy/delete when dissemination, revision, or updating is completed.

**N1-241-96-5:66**

- a. Maintain system as long as needed for USPTO business, or until superseded.
- b. Delete when superseded or no longer needed for USPTO business. (If duplicates of PALM files)
- c. Transfer to the Configuration Life Cycle Management Library when system is operational.

**Trademark Program Control (Cont.)****94 TRAM II System**

TRAM II is the second generation of the Trademark Reporting and Monitoring System. TRAM II came into existence on April 3, 1983, resulting in a completely automated information entry process for trademark registration. All textual information regarding an application or registration originates from TRAM II. An access code and either the series/serial number of an application or a registration number will allow the user to browse the following information: location of applications and a flag for "lost cases"; status of applications (non-final action mailed, final refusal, published, abandoned, etc.); information found on the file jacket label such as the applicant's name and the examining attorney's name and law office; prosecution history; Trademark Trial and Appeal Board proceedings; assignment reel and frame numbers, assignee, and assignor:

- System software
- Data files.
- Initial documentation and updates.

**95 User ID Request Forms**

Request forms for ID numbers and passwords to allow access to X-Search or TRAM. Forms contain user information such as home address and SS number. Used to track user access for system security purposes.

**96 USPTO Non-Core Products and Publications (Extra Copies)**

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. Information is published for public awareness and understanding of the USPTO functions and processes. These non-core USPTO products and publications include, but are not limited to the following: published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale.

**97 USPTO Non-Core Products and Publications (NARA Copy)**

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. One copy of each is transferred to NARA. Information also is published for public awareness and understanding of the USPTO functions and processes. These non-core official record copy products and publications include, but are not limited to the following: Patent and Trademark Assignments and related indexes, published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale .

**N1-241-96-5:64**

- Maintain system as long as needed for USPTO business, or until superseded.
- Update or delete as needed for current agency business.
- Transfer to the Configuration Life Cycle Management Library when system is operational.

**GRS 20, 1c**

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**N1-241-05-02:3 (Previously N1-241-96-6:18)**

Temporary: Destroy 2 years after superseded.

**N1-241-05-02:1d (Previously N1-241-96-6:18)**

Permanent: Transfer one copy to NARA after superseded.

**Trademark Program Control (Cont.)****98 Withdrawal Notice - Trademarks**

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 USPTO-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.

**N1-241-96-6:25**

Destroy when 2 years old.

**99 Withdrawal Sheets**

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.

**N1-241-96-6:26**

Destroy when 2 years old.

**100 X-SEARCH System**

X-Search accesses the main trademark database through PC-based terminals executing Microsoft Windows. Version 1.0 became operational in July 1993. The database contains a record of trademark applications and registration text and any associated design. Records may be searched in many ways including text, design code, serial number, registration number and other ways noted in the user guide. In addition, the database contains data on word marks, filing date, serial number, registration number, owner name and address, classes and goods and services, concurrent use statements, description of the mark, active or inactive status. X-Search users must obtain an X-Search identification number in order to access the system:

- System software
- Data files.
- Initial documentation and updates.

**N1-241-96-5:65**

- Maintain system as long as needed for USPTO business, or until superseded.
- Update or delete as needed for current agency business.
- Transfer to the Configuration Life Cycle Management Library when system is operational.

Flexible Schedule Update for OCIO Records

<b>NEW CITATION</b>	<b>OLD CITATION</b>
N1-241-05-02:1d	N1-241-96-6:18
N1-241-05-02:3	N1-241-96-6:18
N1-241-05-02:6f	N1-241-96-6:20
N1-241-05-02:5	N1-241-01-2:2c
N1-241-05-02:1a	N1-241-96-6:42a