

COMMISSIONER FOR TRADEMARKS

And Reporting Offices:

COMMISSIONER FOR TRADEMARKS

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY

Office of Post Registration

Trademark Assistance Center

DEPUTY COMMISSIONER FOR TRADEMARK OPERATIONS

Examination Support Unit Review (Trademark Law Offices)

Trademark Services

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USPTO Comprehensive Records Schedule

COMMISSIONER FOR TRADEMARKS

Record Series Detail

COMMISSIONER FOR TRADEMARKS

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| <p>1 Calendars of the Commissioner
Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.</p> <p>Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note after item 5a.]</p> | <p>GRS 23, 5
Destroy or delete when 2 years old.</p> |
| <p>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.</p> | <p>GRS 23, 8
Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p> |
| <p>3 General Subject Files
These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.</p> | <p>N1-241-06-2:6 (Previously N1-241-96-6:39)
Temporary: Destroy when superseded or when no longer needed for USPTO business.</p> |
| <p>4 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.</p> | <p>Nonrecord
Destroy when superseded, obsolete, or no longer needed for reference.</p> |

COMMISSIONER FOR TRADEMARKS (Cont.)

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| 5 | Labor Management Relations Coordinating Committee File
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. | Nonrecord
Destroy when superseded, obsolete, or no longer needed for reference. |
| 6 | Letters of Commendation, Congratulations
Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. Used to document appreciation for commendable effort. | GRS 1, 12c
Destroy when 2 years old. |
| 7 | Promotions and Awards File
Includes recommendations, approved nominations, correspondence, reports, and other documents related to agency sponsored awards. Used to determine promotions and awards. | GRS 1, 12a(1)
Destroy 2 years after approval or disapproval. |
| 8 | Trademarks Program and Policy Subject Files
These records document the overall direction, operation, programs of the Trademark Organization and official policy actions of the Commissioner for Trademarks.

Includes the official record copy of manuals, reports, studies, memoranda, committee papers, minutes of meetings, notes, and similar records that pertain to overall high-level management, oversight, and direction of Trademark policies, internal training programs for examination and registration of trademarks, briefing books prepared for the Commissioner, issue papers and reports to higher levels on USPTO programs and plans; and strategic and long-range planning files. | N1-241-06-2:1
Permanent: Transfer to NARA 20 years after closure or when superseded. |

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY

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| 9 | Administrative Grievance, Disciplinary, and Adverse Action Files
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. | Nonrecord
Destroy when superseded, obsolete, or no longer needed for reference. |
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DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)

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| <p>10 Controlled Correspondence Files for the Commissioner for Trademarks
 These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendency documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.</p> | <p>N1-241-06-2:6 (Previously N1-241-96-6:40a,b)
 Temporary: Destroy when superseded or when no longer needed for USPTO business.</p> |
| <p>11 EEO Affirmative Action Plans (AAP)
 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.</p> | <p>GRS 1, 25a
 Destroy 4 years after resolution of case.</p> |
| <p>12 EEO Committee Files
 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.</p> | <p>GRS 1, 25g
 Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.</p> |
| <p>13 Incentive Awards Program Reports
 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.</p> | <p>GRS 1, 13
 Destroy when 3 years old.</p> |
| <p>14 Published Trademarks-MICROFILM (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.</p> | <p>N1-241-05-2:1d
 Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.</p> |

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)**15 Published Trademarks-MICROFILM (Reference Copies)**

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-96-6:42b)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

16 Trademark Applications As Filed - MICROFILM

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-96-6:7)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

17 Trademark Case Files (Non-selected)

This series consists of non-selected Trademark application and case files, as well as any related index or finding aids for the case files and applications for registration that went abandoned. Documents include records of intake, examination, prosecution, assignment, registration and post-registration activity that constitute the record of a case file that do not meet selection criteria.

N1-241-06-2:3 (Previously N1-241-96-6:46a(2), b(2))

Temporary: Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.

Selection Criteria:

- Trademarks of Federal agencies
- Trademarks of State entities
- Trademarks that held an active registration of more than 30 years
- Native American Tribal Insignia
- Marks having met selective industry distinction

Includes, but not limited to, the following USPTO records:

- Abandoned Trademark Applications
- Applicant's Index
- Corrected and Amended Trademark Registrations
- Trademark Image Capture and Retrieval System
- Trademark Oppositions
- Trademark Petitions and Petition Decisions

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)**18 Trademark Case Files (Selected)**

This series consists of selected Trademark application and case files, as well as any related index or finding aids for the case files. Documents include records of intake, examination, prosecution, assignment, registration and post-registration activity that constitute the record of a case file.

Selection Criteria:

- Trademarks of Federal agencies
- Trademarks of State entities
- Trademarks that held an active registration of more than 30 years
- Native American Tribal Insignia
- Marks having met selective industry distinction
- Marks having set distinction in appeal

Includes, but not limited to, the following USPTO records:

- Abandoned Trademark Applications
- Applicant's Index
- Corrected and Amended Trademark Registrations
- Examiners Registrations/Trademark Operations
- Trademark Assignments and Indexes
- Trademark Image Capture and Retrieval System
- Trademark Oppositions
- Trademark Petitions and Petition Decisions

19 Trademark Petitions (Non-original copies)

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

20 Trademark Protest Letters

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.

N1-241-06-2:2 (Previously N1-241-96-6:46a(1), b(1))

Permanent: Transfer selected files to NARA 6 years after trademark registrations are cancelled or expired or go abandoned.

N1-241-06-2:4 (Previously N1-241-96-6:44b)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

N1-241-06-2:6 (Previously N1-241-96-6:45)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY (Cont.)

21	Trademarks Program and Policy Subject Files These records document the overall direction, operation, programs of the Trademark Organization and official policy actions of the Commissioner for Trademarks. Includes the official record copy of manuals, reports, studies, memoranda, committee papers, minutes of meetings, notes, and similar records that pertain to overall high-level management, oversight, and direction of Trademark policies, internal training programs for examination and registration of trademarks, briefing books prepared for the Commissioner, issue papers and reports to higher levels on USPTO programs and plans; and strategic and long-range planning files.	N1-241-06-2:1 (Previously N1-241-96-6:2, N1-241-96-6:43) Permanent: Transfer to NARA 20 years after closure or when superseded.
22	U.S. Patent and Trademark Office Core Publications 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.	N1-241-05-2:1a (Previously N1-241-96-6:42a) Permanent: Transfer publicly available core publications to NARA annually when 5 years old
Office of Post Registration		
23	Affidavit and Renewal Examiner Activity Report TRAM report of examiner activity listing cases processed, time spent on case, and registration number. Used for employee evaluations.	GRS 1, 23a(5) Destroy 4 years after date of appraisal.
24	Request for Case Files From Warehouse List Report accompanying cases sent to the Office from the USPTO repository listing serial number, registration number, date filed, and location. 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.
25	Trademark Official Gazette Daily Contents List 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.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
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.

Office of Post Registration (Cont.)**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.

Trademark Assistance Center**28 Lost Cases**

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendency documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.

N1-241-06-2:6 (Previously N1-241-96-6:15)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

29 Lost Cases Receipts

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendency documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.

N1-241-06-2:6 (Previously N1-241-96-6:16)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

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.

DEPUTY COMMISSIONER FOR TRADEMARK OPERATIONS**Examination Support Unit Review (Trademark Law Offices)****31 Abandoned Trademark Applications (Source and Feeder Records)**

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-96-6:46b (1) (2))

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

32 Case Batch Logs

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.

GRS 23, 8

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

33 Correspondence for Office Actions

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.

Nonrecord

Destroy or delete when no longer needed for reference.

34 Examiners Form Paragraphs

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

GRS 20, 13

Delete from the word processing system when no longer needed for update or revision.

Examination Support Unit Review (Trademark Law Offices) (Cont.)**35 Examining Attorney's Appeal Briefs**

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.

Nonrecord

Destroy or delete when no longer needed for reference.

36 Law Office Reference Library

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.

Nonrecord

Destroy when no longer needed for reference.

37 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.

N1-241-06-2:4 (Previously N1-241-96-6:29)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

38 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.

39 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

Trademark Services (Cont.)

<p>40 Applicant's Index, 1922-1979 - MICROFILM (Selected) This series consists of selected Trademark application and case files, as well as any related index or finding aids for the case files. Documents include records of intake, examination, prosecution, assignment, registration and post-registration activity that constitute the record of a case file.</p> <p>Selection Criteria:</p> <ul style="list-style-type: none"> -Trademarks of Federal agencies -Trademarks of State entities -Trademarks that held an active registration of more than 30 years -Native American Tribal Insignia -Marks having met selective industry distinction -Marks having set distinction in appeal 	<p>N1-241-06-2:2 (Previously N1-241-96-4:31a) Permanent: Transfer selected files to NARA 6 years after trademark registrations are cancelled or expired or go abandoned.</p>
<p>41 Batch Tracking Report TRAM report listing work flow for batched cases from Intake through Publication and Issue. Used for tracking purposes.</p>	<p>GRS 23, 8 Destroy or delete when 3 years old, or 3 years after the date of the last entry, whichever is applicable.</p>
<p>42 Condition of Trademark Applications These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.</p>	<p>N1-241-06-2:6 (Previously N1-241-96-6:9) Temporary: Destroy when superseded or when no longer needed for USPTO business.</p>
<p>43 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.</p>	<p>GRS 1, 23a(5) Destroy 4 years after date of appraisal.</p>
<p>44 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.</p>	<p>GRS 12, 5a Destroy when 1 year old.</p>

Trademark Services (Cont.)

45 Intake Processing Logs	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.	GRS 23, 8	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
46 Post Office Express Mail Report	Report accompanying Post Office express mail listing the date, label number, zip code and time delivered. Used to ensure receipt of package.	GRS 12, 5a	Destroy when 1 year old.
47 Quality Review of Data Entry	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.	GRS 20, 1c	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
48 Request for Corrections Filing Receipts	Database tracking errors in the TRAM database by type and data entry clerk. Used for statistics and to document frequency and type of errors.	GRS 20, 1c	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
49 System Backups and Tape Library Records	<ul style="list-style-type: none"> 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. verified as successful or when no longer needed for system restoration, whichever is later. 	GRS 24, 4	<ul style="list-style-type: none"> a. <ul style="list-style-type: none"> (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 <p style="margin-left: 40px;">[Note: See GRS 20, item 8, for backups of master files and databases.]</p> b. Destroy/delete when superseded or obsolete.

Trademark Services (Cont.)**50 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:

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-01-2:3c,d)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

Trademark Services (Cont.)**51 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.

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

52 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.

53 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.

N1-241-06-2:4 (Previously N1-241-01-02:4c,d,e)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

Nonrecord

- a. See GRS 24, 11b
- 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.

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

54	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.
55	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.
56	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.
57	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.
58	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

59	Employee Production Sheets 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.	GRS 1, 23a(5) Destroy 4 years after date of appraisal.
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Office of Pre-Examination (Cont.)

60	Express Mail Forms File 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.	GRS 12, 5a Destroy when 1 year old.
61	Pre-exam Processing Logs 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.	GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
62	Request for Trademark Fee Refund These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.	N1-241-06-2:6 (Previously N1-241-96-6:32) Temporary: Destroy when superseded or when no longer needed for USPTO business.
63	Restorations of Filing Dates 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. These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.	N1-241-06-2:6 (Previously N1-241-96-6:33) Temporary: Destroy when superseded or when no longer needed for USPTO business.

Office of Trademark Publication

64 Error Reports File

Original Error Report sent from the publication contractor. Lists the drawings missing from cases pending publication. Used as support documentation for employee evaluations.

GRS 1, 23a(5)

Destroy 4 years after date of appraisal.

Trademark Program Control

65 Chron Files

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.

GRS 23, 6

Destroy when no longer needed.

66 Data Entry Manuals

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.

N1-241-06-2:6 (Previously N1-241-96-6:10)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

67 Engineering Change Requests/System Problem Reports

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.

GRS 24, 3b(2)

Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

(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.

Trademark Program Control (Cont.)**68 Global Correspondence Updates**

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.

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

69 Inadvertent Issues

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.

70 Information Dissemination Product Reference

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.

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.

71 Notice of Errata

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.

N1-241-06-2:4 (Previously N1-241-96-6:12a,b)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

GRS 23, 8

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

N1-241-05-2:5 (Previously N1-241-01-2:2c)

Delete when no longer needed for current agency business.

N1-241-06-2:6 (Previously N1-241-96-6:17)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

Trademark Program Control (Cont.)

72 Project Files Records on trademark information search systems, document reporting and monitoring systems, or other ad hoc projects. Used to document project completion.	GRS 16, 5 Destroy 1 year after the year in which the project is closed.
73 Quality Review of Data Issued on Media 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.	N1-241-05-2:6f (Previously N1-241-96-6:20) Temporary: Destroy when superseded by 2 editions.
74 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.
75 Subject Files These records cover general subject files and records that document unique lower-level program administration. Includes correspondence of an administrative nature, periodic reports, quality reviews, memoranda, calendars of the Commissioner, various temporary committee records and reports.	N1-241-06-2:5 (Previously N1-241-96-6:24) Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.
76 System Backups and Tape Library Records <ol style="list-style-type: none"> 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. verified as successful or when no longer needed for system restoration, whichever is later. 	GRS 24, 4 <ol style="list-style-type: none"> a. <ol style="list-style-type: none"> (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 <p>[Note: See GRS 20, item 8, for backups of master files and databases.]</p> b. Destroy/delete when superseded or obsolete.

Trademark Program Control (Cont.)**77 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:

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

78 Trademark Assistance Center (TAC) Files

- 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.

79 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.

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-01-01:5)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

GRS 24, 10

- 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.

N1-241-06-2:4 (Previously N1-241-01-01:4c,d,e)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

Trademark Program Control (Cont.)**80 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:

These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendancy documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information. Also includes drafts of materials scheduled elsewhere.

N1-241-06-2:6 (Previously N1-241-01-2:2d)

Temporary: Destroy when superseded or when no longer needed for USPTO business.

81 Trademark Image Capture and Retrieval System (TICRS) Feeder Records

TICRS is designed to capture store retrieve and print digital images of Trademark application documents. TICRS has the following logical components: (1) the capture components encompass the input of digital images by scanning paper and the capture of index data; (2) the storage component manages the physical storage of images and provides access control to maintain security; and (3) the retrieval component provides query and output capabilities for applications within the system.

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

N1-241-06-2:4 (Previously N1-241-01-01:3d,e,f)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

82 Trademark Voice Response System (VRS)

USPTO receives a customer's request for trademark application information either by telephone or a written status inquiry. Telephone inquiries are processed through the VRS.

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

GRS 14, 1

Destroy when 3 months old.

Trademark Program Control (Cont.)**83 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:

This series consists of source records and records generated by various Trademark automated information systems that are then loaded into the official case file record. They are considered a feeder to the official case file. The permanent records are held in the official case file and/or official repository, and the feeder systems hold records and information on a temporary basis. Extra paper copies or papers that are scanned into the systems are considered feeder records and are not permanent.

84 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.

85 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.

N1-241-06-2:4 (Previously N1-241-96-5:64b)

Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no longer needed for current agency business.

GRS 20, 1c

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

N1-241-05-2:3 (Previously N1-241-96-6:18)

Temporary: Destroy 2 years after superseded.

Trademark Program Control (Cont.)

- | | | | |
|----|---|--|---|
| 86 | <p>USPTO Non-Core Products and Publications (NARA Copy)</p> <p>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.</p> | | <p>N1-241-05-2:1d (Previously N1-241-96-6:18)</p> <p>Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.</p> |
| 87 | <p>Withdrawal Notice - Trademarks</p> <p>These are records necessary for the performance of the Trademark Organization but do not document significant oversight, policy, procedures, direction or programs. The majority of these are program-unique records associated with data entry, tracking and extra copies found elsewhere in the schedules. This includes non-Commissioner correspondence that has no long-term administrative value, periodic reports, memoranda, and similar reports created, received, or maintained by Trademark offices; records of production and pendency documentation, processing logs, withdrawal notices, tracking of applications, copies of controlled correspondence, copies of registration certificates, education and training program administrative information.</p> | | <p>N1-241-06-2:6 (Previously N1-241-96-6:25)</p> <p>Temporary: Destroy when superseded or when no longer needed for USPTO business.</p> |
| 88 | <p>X-SEARCH System</p> <p>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.</p> <p>This covers information products, public reference data bases, and publications that are short-term temporary materials associated with reference and bibliographic materials. These products 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 product references are disseminated both free of charge and through subscriptions.</p> | | <p>N1-241-05-2:5 (Previously N1-241-96-5:65 b)</p> <p>Temporary: Delete when no longer needed for current agency business.</p> |