

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on separate page)		JOB NUMBER <i>71-241-01-1</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWM) WASHINGTON, DC 20408		DATE RECEIVED <i>10-27-00</i>	
1. FROM (Agency or establishment) U.S. Patent and Trademark Office		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of the Chief Information Officer/ Office of Data Management			
3. MINOR SUBDIVISION Data Administration Division/Records Management			
4. NAME OF PERSON WITH WHOM TO CONFER Susan K. Brown	5. TELEPHONE (703) 308-7400	DATE <i>5-2-01</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>8</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>10/20/00</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K. Brown</i>		TITLE Records Officer

7. Item NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Please see attached item(s):		
1	Order Entry Management System (OEMS)		
2	Equal Employment Opportunity Case Management Retrieval System (EEOCMRS)		
3	Trademark Image Capture and Retrieval System (TICRS)		
4	Trademark Electronic Application Submission (TEAS)		
5	Trademark Application and Registration Retrieval (TARR)		
<i>Agency, NWM, NWM, NWM, NWM</i>			

United States Patent and Trademark Office
Patent and Trademark Copy Sales Program

1. Order Entry Management System (OEMS)

OEMS is a standalone computer system used primarily to track customer order information for patent and trademark copy sales. The system also provides statistical information on the processing and production of orders. This information is available in hard copy upon request. **Supersedes N1-241-96-5 #58 (CRS 3/536).**

Records	Disposition
1. System software and updates.	1. Transfer to the configuration management tool prior to unit testing. Follow disposition instructions for related records (N1-241-96-5 #71).
2. Life Cycle Management Documentation.	2. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan. Follow disposition instructions for related records (N1-241-96-5 #71).
3. Inputs: Source records, paper	3. Destroy two years after information is input into the system and verified.
4. Outputs: Reports, paper	4. Cutoff when next report is submitted. Destroy when six months old.
5. System Reports (paper or electronic): Electronic data records	5. Update and delete as needed for USPTO business.
6. Backups.	6. Back up daily and delete when replaced by a subsequent comprehensive backup file.
7. Electronic Mail and Word Processing System Copies:	7. Electronic Mail and Word Processing Copies:
a. 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.	a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. Destroy/delete when dissemination, revision, or updating is completed.

Previously approved authorities still apply. JMB 12/15/00.

Change per phone conversation with Records Office on 1/29/01. JMB 1/31/01.

United States Patent and Trademark Office

Office of Civil Rights

2. Equal Employment Opportunity Case Management Retrieval System (EEOCMRS)

The USPTO Office of Civil Rights receives and processes complaints of civil rights discrimination, and requests for reasonable accommodation. The Equal Employment Opportunity Case Management Retrieval System (EEOCMRS) provides, among other functions, the use of electronic images of EEO request applications to support the Office of Civil Rights processing of these actions. The system affords a streamlined, electronic document method within the Office of Civil Rights for entering, processing, preserving, and retrieving documents, and issuing reports.

After a prospective complainant is interviewed by an EEO Specialist, the specialist completes a Counseling Contact Form, in electronic format, that articulates the claims of the discrimination. A hard copy of the form is printed for signature by the intake specialist. The signed paper copy is scanned into the system. During the complainant process various standard forms are created, signed and scanned into the system. The forms reflect those contained in case files common to Civil Rights Offices through out the federal government. The aggrieved employee may either settle the matter (informal complaint case file) or file a formal discrimination complaint (formal complaint case file).

Information is entered into the system by USPTO Office of Civil Rights personnel who scan the original copies of documents that are generated during reasonable accommodation process and the employment discrimination process. The stored information resides on magnetic mass storage disk. The system is accessible to all personnel in the USPTO Office of Civil Rights. Limited access may be afforded to collateral-duty EEO Counselors.

Records	Disposition
1. System software and updates.	1. Transfer to the configuration management tool prior to unit testing (N1-241-96-5 #71).
2. Life Cycle Management Documentation.	2. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan (N1-241-96-5 #71).
3. Inputs: Complaints, paper copy	3. Inputs: Complaints, paper copy
a. Formal complaints	a. Formal complaints - Destroy 4 years after resolution of case. (GRS 1, 25a).
b. Informal complaints	b. Informal complaints - Destroy when 2 years old. (GRS 1, 25c. (2)).

Previously approved authorities still apply. JHB 12/15/00.

GRS authorities apply. JHB 12/15/00.

Records	Disposition
4. Outputs: Complaints, scanned electronic copy	4. Outputs: Complaints, scanned electronic copy
a. Formal complaints	a. Formal complaints - move case file documents to "electronic archives" when case is resolved, delete from system 4 years after resolution of case.
b. Informal complaints	b. Informal complaints - Delete from system when 2 years old.
5. Electronic Mail and Word Processing System Copies:	5. Electronic Mail and Word Processing System Copies:
a. 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.	a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. Destroy/delete when dissemination, revision, or updating is completed.

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United States Patent and Trademark Office

Trademarks Registration Program

3. 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 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.

Records	Disposition
1. System software and updates	1. Transfer to the configuration management tool prior to unit testing (N1-241-96-5 #71).
2. Life Cycle Management Documentation.	2. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan (N1-241-96-5 #71).
3. Inputs (paper):	3. Inputs (paper):
a. Paper, Applications.	a. 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).
b. Paper, Application-related correspondence.	b. 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).
4. Outputs (paper or electronic).	4. Outputs.
a. Images to retrieval database.	a. Transfer to retrieval database. Destroy or Delete when transfer has been verified and data is no longer needed.
b. Electronic image of drawing page.	b. Store on Trademark Cropped Image Server. Destroy or Delete when transfer has been verified and data is no longer needed.

Previously approved authorities still apply. JHB 12/15/00.

Records	Disposition
c. Drawing page printout.	c. Destroy or Delete when transfer to the Trademark Case Files has been verified and data is no longer needed.
d. OCR Image in Portable Document Format (PDF).	d. Transfer to TRADEUPS. Destroy or Delete when transfer has been verified and data is no longer needed.
e. Index data.	e. Delete after the information is no longer needed to support the reconstruction of, or to serve as the backup to, the master file.
5. Error Logs.	5. Delete after error correction.
6. Staging Files.	6. Delete after staging completion.
7. Backups.	7. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.
8. Electronic Mail and Word Processing System Copies:	8. Electronic Mail and Word Processing System Copies:
a. 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.	a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. Destroy/delete when dissemination, revision, or updating is completed.

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added on 1/29/01.
JUB
1/31/01.*

United States Patent and Trademark Office

Trademarks application program

4. Trademark Electronic Application Submission (TEAS)

The initial focus of TEAS is on the submission of data to the USPTO. Future operations will include electronic data transmission from the USPTO 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.

Records	Disposition
1. System software and updates.	1. Transfer to the configuration management tool prior to unit testing (N1-241-96-5 #71).
2. Life Cycle Management Documentation.	2. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan (N1-241-96-5 #71).
3. Inputs (electronic): Online data transmissions.	3. 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).
4. Outputs (electronic):	4. Outputs (electronic):
a. Tagged textual format files.	a. Transfer to TRADEUPS.
b. Image format files.	b. Transfer to TICRS.
5. System Reports (electronic): Time and Date/Stamp log.	5. Delete when no longer needed for agency business.
6. Backups:	6. Backups:
a. System backups.	a. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.
b. CD-ROM of online data transmissions.	b. Back up when accumulation warrants and delete when superseded by a subsequent comprehensive backup file.

Previously approved authorities still apply. JUB 12/15/00.

Records	Disposition
7. Electronic Mail and Word Processing System Copies:	7. Electronic Mail and Word Processing System Copies:
a. 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.	a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. Destroy/delete when dissemination, revision, or updating is completed.

*Change per phone conversation with records officer on 4/21/01.
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1/19/02*

United States Patent and Trademark Office
Trademark application and registration programs

5. 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 USPTO and to a phone list of the Trademark Examining Attorneys. The site is securely isolated from the internal database and other internal USPTO systems to eliminate any conflict with current/future USPTO standard security regulations and methodologies.

Records	Disposition
1. System software and updates.	1. Transfer to the configuration management tool prior to unit testing (N1-241-96-5 #71).
2. Life Cycle Management Documentation.	2. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan (N1-241-96-5 #71).
3. Inputs (electronic): TRAM data transferred using File Transfer Protocol (FTP).	3. Delete daily when superseded by next update.
4. System Reports (electronic): Statistical reports including number of visitors to the TARR site and the number of queries.	4. Delete at monthly update cycle.
5. Backups.	5. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.
6. Electronic Mail and Word Processing System Copies:	6. Electronic Mail and Word Processing System Copies:
a. 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.	a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	b. Destroy/delete when dissemination, revision, or updating is completed.

Previously approved authorities still apply.
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