

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on separate page)		JOB NUMBER <i>Nir 241-01-2</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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>7</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 GRS OR SUPERSEDED JOB CITATION	10.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	Trademark Trial and Appeal Board Information System (TTABIS)		
2	Trademark Electronic Search System (TESS)		
3	Trademark Data Entry and Update System (TRADEUPS)		
4	Trademark In-house Photocomposition System (TIPS)		
<i>Agency, NWD, NWT, NWM, NWMU</i>			

United States Patent and Trademark Office Trademark Trial and Appeal Board

1. Trademark Trial and Appeal Board Information System (TTABIS)

The Trademark Trial and Appeal Board (TTAB) is an administrative tribunal empowered to determine the right to register, and the subsequent validity of a trademark. The TTAB adjudicates the rights of parties in specific types of proceedings such as oppositions, cancellations, interferences, concurrent use, appeals from refusals by the Office to register a mark and extensions of time to file a proceeding. In addition, the TTAB receives other related documents and phone inquiries resulting in a high volume of paper and data exchange. The TTABIS consists of data capture, workflow, and reporting modules which provide automated support to accomplish TTAB functions. A related automated information system, BISX, is used to query TTAB and Trademark data.

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:	3. Inputs:
a. Proceeding correspondence that is not privileged (paper).	a. Permanent. Cutoff when the case is terminated. Transfer paper to NARA 30 years cutoff. Follow disposition instructions for related records (N1-241-96-5 #1-3).
b. Proceeding correspondence that is privileged (paper), filed under seal pursuant to a protective order. (see 37 CFR 2.27)	b. Temporary. Return to creator upon termination of case.
4. Outputs (paper or electronic):	4. Outputs (paper or electronic):
a. Automatically generated letters.	a. Temporary. Destroy when the case is terminated.
b. Productivity and tracking Reports.	b. Automatically updated. Destroy or delete at next update cycle.
c. Reference reports.	c. Destroy or delete when no longer needed for reference.
d. System Reports (electronic); System generated workflow reports.	d. Destroy or delete at next update cycle.

Primarily approved activities still apply. JMB 1/29/01.

Revised per e-mail from agency dated 1/25/01. JMB 1/29/01.

Records	Disposition
5. Master data files (electronic):	5. Master data files (electronic):
a. Data files.	a. Temporary. Maintained with the Trademark Reporting and Monitoring System (TRAM). Follow disposition instructions found in CRS Section 6, Series 33 (N1-241-96-5 #64, b).
b. Image format files.	b. Temporary. Verify according to established standards. Delete after the case is terminated.
6. Backups.	6. Back up daily and delete when replaced by a subsequent comprehensive backup. Back up tape will be used as vital record copy.
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 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.

United States Patent and Trademark Office
Office of Trademark Program Control

2. 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.

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 (web based):	3. Inputs (web based):
a. TM textual search data transferred through FTP.	a. Delete when superseded by daily update.
b. Converted Image format files (TIF files converted to GIF).	b. Retain until verified according to established standards. Update or delete as needed for current agency business.
4. Outputs (data): Statistical Reports (paper or electronic).	4. Delete or destroy when superseded by daily update, or when no longer needed.
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.
 JNB
 1/9/01.

Change per phone conversation with records officer on 4/29/01.
 JNB
 1/31/01

United States Patent and Trademark Office
Office of Trademark Services

3. 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.

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 source):	3. Inputs (electronic source):
a. New textual data from Trademark Image Capture and Retrieval System (TICRS).	a. Transfer to TRAM. Delete at next update cycle.
b. Image format files from TICRS.	b. Destroy or delete at next update cycle.
c. Updated textual data from Trademark Reporting and Monitoring System (TRAM).	c. Upload to TRADEUPS. Delete when no longer needed.
4. Outputs (electronic):	4. Outputs (electronic):
a. Tagged data.	a. Upload tagged data to TRAM. Delete at next update cycle.
b. Textual data.	b. Delete at next update cycle.

Previously approved authorities still apply.
GWB
11/9/01

5. Audit Trails (electronic).	5. Overwrite when audit is completed.
6. Daily snapshots.	6. Retain until verified according to established standards. Destroy or delete when no longer needed.
7. Backups.	7. Back up daily and delete when replaced by a subsequent comprehensive backup. 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. 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.

*Change per
conversation
with records
officer on 1/27/01.
JMS
1/27/01*

United States Patent and Trademark Office
Office of Trademark Services

4. 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, re-publications 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.

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 source):	3. Inputs (electronic source):
a. Formatted text file from TRAM.	a. Destroy or delete when no longer needed for current agency business.
b. Image files from image server (same server used by X-Search).	b. Destroy or delete when no longer needed for current agency business.
4. Outputs (electronic): Postscript files of photocomposition products sent to GPO.	4. Delete at next update cycle.
5. Internal Records:	5. Internal Records:
a. PDF files. Internal file format used for viewing records.	a. Delete when no longer needed for current agency business.
b. 3B2 files. Internal file format used by 3B2 COTS software for processing data.	b. Delete when no longer needed for current agency business.
6. Backups.	6. Back up daily and delete when replaced by a subsequent comprehensive backup file. Back up tape will be used as vital record copy.
7. Electronic Mail and Word Processing System Copies:	7. Electronic Mail and Word Processing System Copies:

Previously approved authorities still apply.
JMB
1/9/01.

<p>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.</p>	<p>a. Destroy/delete within 180 days after the recordkeeping copy has been produced.</p>
<p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>b. Destroy/delete when dissemination, revision, or updating is completed.</p>

*Change per
phone conversation
with Records
officer 1/29/02.
JMS
1/24/02*

United States Patent and Trademark Office Trademark Trial and Appeal Board

1. Trademark Trial and Appeal Board Information System (TTABIS)

The Trademark Trial and Appeal Board (TTAB) is an administrative tribunal empowered to determine the right to register, and the subsequent validity of a trademark. The TTAB adjudicates the rights of parties in specific types of proceedings such as oppositions, cancellations, interferences, concurrent use, appeals from refusals by the Office to register a mark and extensions of time to file a proceeding. In addition, the TTAB receives other related documents and phone inquiries resulting in a high volume of paper and data exchange. The TTABIS consists of data capture, workflow, and reporting modules which provide automated support to accomplish TTAB functions. A related automated information system, BISX, is used to query TTAB and Trademark data.

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3. Inputs:	3. Inputs:
a. Proceeding correspondence that is not privileged (paper).	a. Permanent. Cutoff when the case is terminated. Transfer paper to NARA 30 years cutoff. Follow disposition instructions for related records (N1-241-96-5 #1-3).
b. Proceeding correspondence that is privileged (paper).	b. Temporary. Cutoff when the case is terminated. Destroy after validation of scanned image, or return to creator if requested.
4. Outputs (paper or electronic):	4. Outputs (paper or electronic):
a. Automatically generated letters.	a. Temporary. Destroy when the case is terminated.
b. Productivity and tracking Reports.	b. Automatically updated. Destroy or delete at next update cycle.
c. Reference reports.	c. Destroy or delete when no longer needed for reference.

Previously approved authorities still apply.
SMB
1/9/01

Superseded by revised item submitted by the agency 1/29/01.

SMB
1/30/01.1

Records	Disposition
5. Master data files (electronic):	5. Master data files (electronic):
a. Data files.	a. Temporary. Maintained with the Trademark Reporting and Monitoring System (TRAM). Follow disposition instructions found in CRS Section 6, Series 33 (N1-241-96-5 #64, b).
b. Image format files.	b. Temporary. Verify according to established standards. Delete after the case is terminated.
6. System Reports (electronic): System generated workflow reports.	6. Destroy or delete at next update cycle.
7. Backups.	7. Back up daily and delete when replaced by a subsequent comprehensive backup. 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.

Previously approved authority still applies. JMB 11/10/01.