

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>71-241-06-2</i>	
1. FROM (Agency or establishment) U.S. Patent and Trademark Office		DATE RECEIVED <i>8-28-2006</i>	
2. MAJOR SUBDIVISION Office of the Chief Information Officer		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Architecture, Engineering and Technical Services		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Susan K. Brown, Records Officer	5. TELEPHONE 571-272-5429	DATE <i>7/1/07</i>	ARCHIVIST OF THE UNITED STATES <i>Mark...</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 _____ 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>8-23-2006</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan K Brown</i>	TITLE <i>Records Officer</i>	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Trademarks Registration and Maintenance 1 - Trademarks Program and Policy Subject Files 2 - Trademark Case File Records and Related Indexes 3 - Trademark Case File Feeder Records and Related Indexes 4 - Trademarks General Administrative & Short Term Subject Files <i>See attached</i>	see attached	

115-109

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)

Prescribed by NARA
36 CFR 1228

6/19/2008

Trademarks Registration and Maintenance

Records scheduled under the Trademark Registration and Maintenance series contains official federal records that reflect registration and maintenance of trademarks.

A trademark is a word, phrase, symbol or design, or a combination of words, phrases, symbols or designs, that identifies and distinguishes the source of the goods of one party from those of others. A service mark is the same as a trademark, except that it identifies and distinguishes the source of a service rather than a product. Throughout this document term "trademark" refers to both trademarks and service marks.

The United States Patent and Trademark Office (USPTO) reviews trademark applications for federal registration and determines whether an applicant meets the requirements for federal registration. Federal registration of trademarks is governed by the Trademark Act of 1946, 15 U.S.C. §1051 et seq., and the Trademark Rules of Practice, 37 C.F.R. Part 2.

The following constitute the series:

- 1 - Trademarks Program and Policy Subject Files**
- 2 - Trademark Case File Records and Related Indexes, selected**
- 3 - Trademark Case File Records and Related Indexes, non-selected**
- 4 - Trademark Case File Feeder Records and Related Indexes**
- 5 - Trademarks Routine Subject Files**
- 6 - Trademarks General Administrative & Short Term Files**

6/19/2008

1

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.

RETENTION:

Permanent: Transfer to NARA 20 years after closure or when superseded.

6/19/2008

2

Trademark Case File Records and Related Indexes, selected

This series consists of the 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.

RETENTION:

Permanent: Transfer selected files to NARA 6 years after trademark registrations are cancelled or 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
- Marks having set distinction in appeal

6/19/2008

3

Trademark Case File Records and Related Indexes, non- selected

This series consists of non-selective 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.

RETENTION:

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
- Marks having set distinction in appeal

6/19/2008

4

Trademark Case File Feeder Records and Related Indexes

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.

RETENTION:

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.

6/19/2008

5

Trademarks Routine 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.

RETENTION:

Temporary: Destroy or delete when 5 years old.

6/19/2008

6

Trademarks General Administrative & Short Term -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

RETENTION:

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

Trademarks Registration and Maintenance								
BRM:		Service for Citizens- Economic Development - Intellectual Property Protection						
OD SF115 Item		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
4.1		4.1 - 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.						
		1 Trademarks Program and Policy Subject Files	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Commissioner for Trademarks, Program and Policy Subject Files	N1-241-96-6 #2	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY	
		1 Trademarks Program and Policy Subject Files	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Manual of Trademark Examining Procedures	New	COMMISSIONER FOR TRADEMARKS	
		1 Trademarks Program and Policy Subject Files	Permanent	Permanent: Transfer to NARA 20 years after closure or when superseded.	Trademark Practice and Procedure Legal Lectures	N1-241-96-6 #43	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY	
4.2	Trademark Case File Records and Related Indexes	4.2 - Trademark Case File Records and Related Indexes, Selected						
		This series consists of selected Trademark application and case files, and related index or finding aids. Documents include records of intake, examination, prosecution, assignment, registration and post-registration activity that constitute the record of a case file.						
		2 Selected Trademark Case Files	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Case Files (Selected)	N1-241-96-6 #46a(1), b(1) (Adjusted Criteria)	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY	
		2 Trademark Case File Records and Related Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Applicant's Index, 1922-1979 - MICROFILM (Selected)	N1-241-96-4 #31a	Trademark Search Facilities Branch	
		2 Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Corrected and Amended Trademark Registrations (Selected)	N1-241-96-4 #36 (Adjusted Criteria)	Trademark Search Facilities Branch	
		2 Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Examiners Registrations/Trademark Operations (Selected)	N1-241-96-4 #37	Trademark Search Facilities Branch	
		2 Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Petitions and Petition Decisions (Selected)	N1-241-96-6 #44a	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY	
		2 Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Assignments and Indexes (Selected)	N1-241-96-4 #47a	Trademark Search Facilities Branch	
		2 Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Image Capture and Retrieval System (TICRS) (Selected)	N1-241-01-01 #3c(1),(2) (Adjusted Criteria)	COMMISSIONER FOR TRADEMARKS	

OO SF115 Item		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
		2	Selected Related Trademark Case File Indexes	Permanent	Permanent: Transfer to NARA 6 years after trademark registrations are cancelled or expired.	Trademark Oppositions (Selected)	N1-241-96-4 #45	Trademark Search Facilities Branch
4.2	Trademark Case File Records and Related Indexes	4.3 - Trademark Case File Records and Related Indexes, 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.						
		3	Non-selected Trademark Case Files	Temporary	Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.	Trademark Case Files (Non-selected)	N1-241-96-6 #46a(2), b(2) (Adjusted Criteria)	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		2	Non-selected Related Trademark Case File Indexes	Temporary	Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.	Petitions and Petition Decisions (Non-selected)	N1-241-96-6 #44a (Adjusted Criteria)	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		2	Non-selected Related Trademark Case File Indexes	Temporary	Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.	Trademark Image Capture and Retrieval System (TICRS) (Non-selected)	N1-241-01-01 #3c(1),(2) (Adjusted Criteria)	COMMISSIONER FOR TRADEMARKS
		2	Non-selected Related Trademark Case File Indexes	Temporary	Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.	Corrected and Amended Trademark Registrations (Non-selected)	N1-241-96-4 #36 (Adjusted Criteria)	Trademark Search Facilities Branch
		2	Non-selected Related Trademark Case File Indexes	Temporary	Destroy non-selected files 2 years after trademark registrations are cancelled, expired or go abandoned.	Trademark Oppositions (Non-selected)	N1-241-96-4 #45 (Adjusted Criteria)	Trademark Search Facilities Branch
4.3		4.4 - Trademark Case File Feeder Records and Related Indexes						
		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.						
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	Abandoned Trademark Applications	N1-241-96-6 #46b (1)(2)	Trademark Law Offices
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	Applicant's Index, 1922-1979 - MICROFILM	N1-241-96-4 #31b	Trademark Search Facilities Branch

OD SF115 Item		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	Global Correspondence Updates	N1-241-96-6 #12a,b	Trademark Program Control
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	Published Trademarks- MICROFILM	N1-241-96-6 #42b	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Application and Registration Retrieval (TARR)	N1-241-01-01 #5c,d	COMMISSIONER FOR TRADEMARKS
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Applications As Filed - MICROFILM	N1-241-96-6 #7	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	Revenue Accounting Management (Inputs)	N1-241-98-2 #5b	COMMISSIONER FOR TRADEMARKS
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Data Entry and Update System (TRADEUPS)	N1-241-01-2 #3c,d,e,f	Trademark Services
		4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Electronic Application Submission (TEAS)	N1-241-01-01 #4c,d,e	COMMISSIONER FOR TRADEMARKS

OD SF115 Item	SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
	4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Image Capture and Retrieval System (TICRS)	N1-241-01-01 #3d,e,f	COMMISSIONER FOR TRADEMARKS
	4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 In-house Photocomposition System (TIPS)	N1-241-01-02 #4c,d,e	CHIEF INFORMATION OFFICER
	4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Petitions	N1-241-96-6 #44b	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
	4	Trademark Case File Feeder Records and Related Indexes	Temporary	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 Trial and Appeal Board Information System (TTABIS)	N1-241-01-02 #1d	TRADEMARK TRIAL AND APPEAL BOARD
	4	Trademark Case File Feeder Records and Related Indexes	Temporary	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.	TRAM II System	N1-241-96-5 #64b	
4.5 - Trademarks Routine 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.							
	5	Trademarks Routine Subject Files	Temporary	Destroy or delete when 5 years old	General Subject Files (Commissioner for Trademarks)	N1-241-96-6 #39	COMMISSIONER FOR TRADEMARKS
4.4	Trademarks General Administrative & Short Term Subject Files	4.6 - Trademarks General Administrative & Short Term 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. Also includes drafts of materials scheduled elsewhere.					

OD SF115 Item		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Condition of Trademark Applications	N1-241-96-6 #9	Trademark Services
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Controlled Correspondence Files for the Commissioner for Trademarks	N1-241-96-6 #40a,b	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Data Entry Manuals	N1-241-96-6 #10	Trademark Program Control
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	General Subject Files (Commissioner for Trademarks)	N1-241-96-6 #39	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Lost Cases	N1-241-96-6 #15	Trademark Assistance Center
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Lost Cases Receipts	N1-241-96-6 #16	Trademark Assistance Center
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Restorations of Filing Dates	N1-241-96-6 #33	Office of Pre- Examination
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Reviews and Amendments Manuals	N1-241-96-6 #23	Trademark Law Offices

OD SF115 Item		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Protest Letters	N1-241-96-6 #45	DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Quality Reviews and Findings	N1-241-96-1 #17	Office of Trademark Quality Review
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Trademark Voice System	N1-241-96-5 #66b	COMMISSIONER FOR TRADEMARKS
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Withdrawal Notice - Trademarks	N1-241-96-6 #25	Trademark Program Control
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Withdrawal Sheets	N1-241-96-6 #26	Trademark Program Control
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Subject Files	N1-241-96-6 #24	Trademark Program Control
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Card Files of Trademark Quality Reviews Completed	N1-241-96-1 #18	Office of Trademark Quality Review
		6	Trademarks General Administrative & Short Term Subject Files	Temporary	Temporary: Destroy when superseded or when no longer needed for USPTO business.	Reviews and Amendments Training Errors	N1-241-96-6 #22	Office of Trademark Quality Review