

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

LEAVE BLANK (NARA use only)
 JOB NUMBER *71-241-00-1*
 DATE RECEIVED *3-6-2000*
 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
 DATE ARCHIVIST OF THE UNITED STATES
WITHDRAWN

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)
Patent and Trademark Office

2. MAJOR SUBDIVISION
Office of the Chief Information Officer/ODM

3. MINOR SUBDIVISION
Records Management

4. NAME OF PERSON WITH WHOM TO CONFER **Kathleen A. Schultz** 5. TELEPHONE **(703) 308-7400**

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,
 is not required; is attached; or has been requested.

DATE *2/14/00* SIGNATURE OF AGENCY REPRESENTATIVE *Kathleen A. Schultz* 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 GRS OR SUPERSEDED JOB CITATION	10.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)
1	See attached list of items 1-5.		<i>Withdrawn per letter to agency dated 10/23/00 LJB 11/1/00</i>

Patent and Trademark Office

Patent and Trademark Copy Sales Program

1. Order Entry Management System (OEMS)—Electronic

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.

Records:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Source records, paper
- d. Reports, paper
- e. Electronic data records
- f. Backups
- g. Electronic Mail and Word Processing System Copies
 1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
 2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Dispositions:

- a. Transfer to the configuration management tool prior to unit testing..
- b. Transfer electronic copy to life cycle management tool prior to Technical Review Board meeting for each phase as required by the Quality Assurance Plan and the Configuration Management Plan.
- c. Destroy two years after information is input into the system and verified.
- d. Destroy when six months old.
- e. Update and delete as needed for PTO business.
- f. Back up daily and delete when replaced by a subsequent backup file.
- g.
 1. Destroy/delete within 180 days after the recordkeeping copy has been produced.
 2. Destroy/delete when dissemination, revision, or updating is complete.

Supersedes N1-241-96-5 #58

Office of Civil Rights

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

The PTO 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.

ditdrawn

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 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 complaint process various standard forms are created, signed and scanned into the system. The forms reflect those contained in case files common to Civil Right 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 PTO 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 PTO Office of Civil Rights. Limited access may be afforded to collateral-duty EEO Counselors.

Records:

- a. System software and updates.
- b. Life Cycle Management documentation.
- c. Complaints, paper copy
 1. Formal Complaints
 2. Informal Complaints
- d. Complaints, scanned electronic copy
 1. Formal Complaints
 2. Informal Complaints
- e. Electronic Mail and Word Processing System Copies
 1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
 2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Dispositions:

- a. Transfer to the configuration management tool prior to unit testing.
- b. 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.
- c.
 1. Formal Complaints—Destroy 4 years after resolution of case. (reference GRS 1, 25.a.)
 2. Informal Complaints Destroy when 2 years old. (reference GRS 1, 25.c.(2))
- d.
 1. Formal Complaints—move case file documents to “electronic archives” when case is resolved, delete from system 4 years after resolution of case.
 2. Informal Complaints—delete from system when 2 years old.
- e.
 1. Destroy/delete within 180 days after the recordkeeping copy has been produced.
 2. Destroy/delete when dissemination, revision, or updating is complete.

Assistant Commissioner for Trademarks

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 provides 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 enables the implementation of re-engineered business processes, which reduces 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 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:

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

Dispositions:

- a. Transfer to the configuration management tool prior to unit testing.

Withdrawn

- b. 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.
- c.
 1. After scanning into TICRS, send to the Trademark Law Offices.
 2. After scanning into TICRS, send to the Trademark Law Offices.
- d.
 1. Transfer to retrieval database. Destroy or delete when transfer has been verified.
 2. Store on Trademark Cropped Image Server. Delete when image is no longer needed for PTO business.
 3. Forward to Trademark Search Library for reference.
 4. Transfer to TRADEUPS. Destroy or delete when transfer has been verified.
 5. Delete after the information is no longer needed to support the reconstruction of, or to serve as the backup to, the master file.
- e. Delete after error correction.
- f. Delete after staging completion.
- g. Back up daily and delete when replaced by a subsequent comprehensive backup file.
- h. Back up tape will be used as vital record copy.
- i.
 1. Destroy/delete within 180 days after the recordkeeping copy has been produced.
 2. Destroy/delete when dissemination, revision, or updating is complete.

4. Trademark Electronic Application Submission (TEAS)

The initial focus of TEAS is on the electronic 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 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:

- a. System software and updates.
- b. Life Cycle Management Documentation.
- c. Inputs (electronic): Online data transmissions.
- d. Outputs (electronic):
 1. Tagged Trademark text data.
 2. Image format files.
- e. System Reports (electronic): Time and Date/Stamp log.
- f. Backups:
 1. System backups.
 2. CD-ROM of online data transmissions.
- g. Vital record copy.
- h. Electronic Mail and Word Processing System Copies:
 - 1: Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network

Withdrawn

drives, and copies on shared network drives that are used only to produce recordkeeping copy.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Dispositions:

- a. Transfer to the configuration management tool prior to unit testing.
- b. 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.
- c. Print incoming electronic application to paper and place in Trademark case file.
- d. 1. Transfer to TRADEUPS.
2. Transfer to TICRS.
- e. Delete when no longer needed for agency business.
- f. 1. Back up daily and delete when replaced by a subsequent comprehensive backup file.
2. Back up when accumulation warrants and delete when replaced by a subsequent comprehensive backup file.
- g. Back up tape will be used as vital record copy.
- h. 1. Destroy/delete within 180 days after the recordkeeping copy has been produced.
2. Destroy/delete when dissemination, revision, or updating is complete.

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 contains 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.

Records:

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

Dispositions:

- a. Transfer to the configuration management tool prior to unit testing.

- b. 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.
- c. Update every 24 hours.
- d. Delete display when no longer needed for agency business.
- e. Delete at next update cycle.
- f. Back up daily and delete when replaced by a subsequent comprehensive backup file.
- g. Back up tape will be used as vital record copy.
- h.
 1. Destroy/delete within 180 days after the recordkeeping copy has been produced.
 2. Destroy/delete when dissemination, revision, or updating is complete.

Withdrawn