



## 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, the TTABIS Index (BISX), is used to track other related documents and phone inquiries.

#### Records:

- a. System software and updates.
- b. Life Cycle Management Documentation.
- c. Inputs (paper source):
  1. Proceeding correspondence, not privileged.
  2. Proceeding correspondence, privileged.
  3. Manual data entry.
- d. Outputs (electronic).
  1. Automatically generated letters.
  2. Productivity and tracking reports.
  3. Reference reports.
  4. Data sent to BISX.
  5. Image format files.
- e. System generated workflow reports.
- 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. 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.
  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. Permanent. Maintain in the system until the case is terminated. Move offline and transfer paper to NARA 30 years after the case is terminated.

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2. Validate and maintain until case is terminated. Destroy unless requested by creator.
3. Maintain with the system for reference. Destroy or delete when no longer needed.
- d.
  1. Send to customers. Maintain copies until case is terminated. Destroy or delete when no longer needed.
  2. Automatically updated. Destroy or delete at next update cycle.
  3. Nonrecord. Destroy or delete when no longer needed for agency business.
  4. Automatically updated. Destroy or delete at next update cycle.
  5. Maintain in system until the case is terminated. Migrate as necessary to current format. Delete after the case is terminated and the paper files are transferred to NARA.
- e. Destroy or 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.

### **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 (TRAM) system fields on the internet. Members of the public can conveniently search existing applications and registrations prior to entering the application process. Currently, the data is extracted from the main Trademark database.

#### **Records:**

- a. System software and updates.
- b. Life Cycle Management Documentation.
- c. Inputs (web based):
  1. Trademark textual search data transferred through FTP.
  2. Converted image format files (TIF files converted to GIF).
- d. Outputs (onscreen): Trademark search system data.
- e. Statistical Reports (electronic).
- 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.

*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. Update every 24 hours.
  - 2. Retain until verified according to established standards. Update or delete as needed for current agency business.
- d. Delete as needed for current 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.

### **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:**

- a. System software and updates.
- b. Life Cycle Management documentation.
- c. Inputs (electronic):
  - 1. Textual data.
  - 2. Image format files.
- d. Outputs (electronic):
  - 1. Tagged data.
  - 2. Textual data.

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- e. Audit Trails (electronic).
- f. Daily snapshots.
- 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 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. Transfer to TRAM. Destroy or delete at next update cycle.
  2. Destroy or delete at next update cycle when no longer needed for agency business.
- d.
  1. Destroy or delete at next update cycle.
  2. Destroy or delete at next update cycle.
- e. Overwrite when audit is completed.
- f. Retain until verified according to established standards. Destroy or delete when no longer needed for agency business.
- 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. Delete within 180 days after the recordkeeping copy has been produced.
  2. Destroy/delete when dissemination, revision, or updating is complete.

**4. Trademark In-house Proofing System (TIPS)**

The Trademark In-House Proofing 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.

**Records:**

- a. System software and updates.
- b. Life Cycle Management Documentation.
- c. Inputs (electronic source):
  1. Formatted text file from TRAM.

*Withdrawn*

2. Image files from image server (same server used by X-Search).
- d. Outputs (paper):
  1. Postscript files of photocomposition products sent to GPO.
  2. Onscreen display of photocomposition products for online proofing.
- e. Internal Records.
  1. PDF files. Internal file format used for viewing records.
  2. 3B2 files. Internal file format used by 3B2 COTS software for processing data.
- 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.
  1. Destroy or delete when no longer needed for current agency business.
  2. Destroy or delete when no longer needed for current agency business.
- d.
  1. Destroy or delete at next update cycle.
  2. Destroy or delete at next update cycle.
- e.
  1. Destroy or delete when no longer needed for current agency business.
  2. Destroy or delete when no longer needed for current agency business.
- 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.

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