



Records Management
Big Buckets Scheduling Project Review
August 2012

United States Patent and Trademark Office (USPTO)



Overview

- Inception and Groundwork
- Grouping Record Series into Buckets
- MS Access Database
- Implementation of Schedules
- Conclusion
- Q&A



Inception and Groundwork



Inception: The Scheduling Environment

- Comprehensive Records Schedule published for USPTO staff
- Retention policies are based on both federal retention schedules (known as General Records Schedules) and agency-unique retention schedules
- Reliance upon business owners to request updates or inclusion of new record types to schedules
- Retention schedule platform/software environment: Microsoft Office 2010; scheduling data managed in Access
- Scheduling project started before media neutrality, with schedules not reflecting GRS 24 and 27 updates, and before ERA replaced paper SF115s



Inception: Need & Basic Structure

- Need arose due to fast-paced IT system development
 - Could not schedule systems fast enough
 - Need to seek media-neutral schedules
 - Eliminate scheduling of electronic systems
- Decided to schedule according to *function*; used current trend of Lines of Business
 - Identified 5 functional business areas
 - *Patent Granting*
 - *Trademark Registration*
 - *Dissemination*
 - *Agency Administrative*
 - *IP Program Policy*



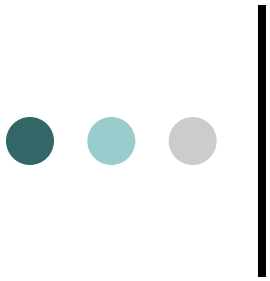
Groundwork: Buy-in

- Obtained initial approval from office director
 - Used existing resources; no additional funding
- Prepared briefing for USPTO agency executives May 2003
 - Assurance of the need
 - Explained the resources
- Informed the General Counsel
- Reached MOU with NARA for participation in the pilot scheduling initiative in 2003
 - open-ended completion date
- Announced project and objectives to records coordinators



Groundwork: Preliminary Steps

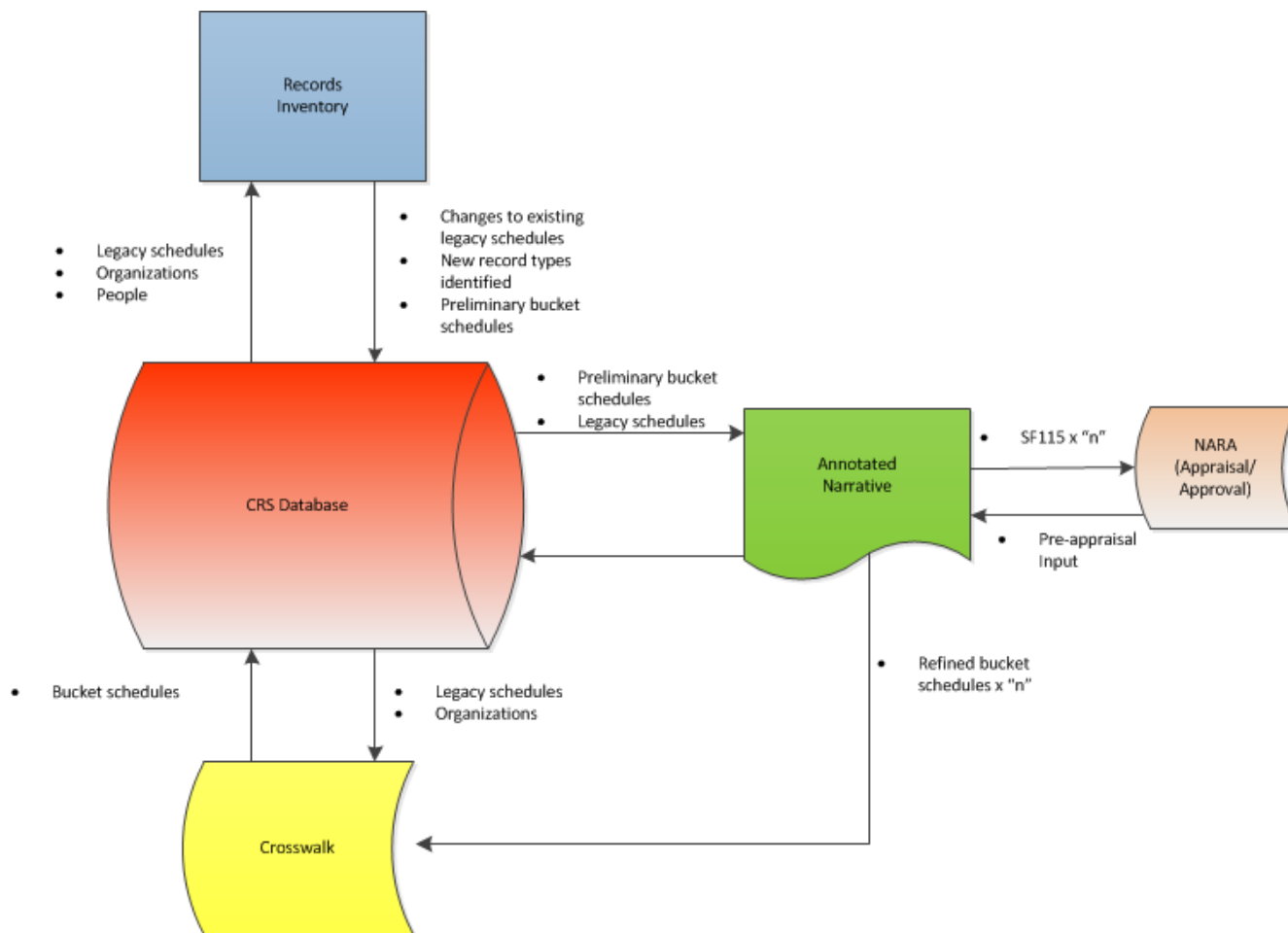
- Conducted records inventory
 - Developed inventory kit to assist with inventory
 - Set up meetings with records liaisons in business areas
 - Discovered both new and obsolete series
- Set-up standing weekly status meetings
 - Provided structure when other workload became priority
 - Allowed for NARA staff to attend as needed or when available
 - Allowed for tracking of “to-do” lists
- Held quarterly meetings with NARA Appraisal Archivist, Records Officer and key business area liaisons and subject matter experts
- Set up capabilities in the existing Access database:
 - Track inventory data
 - Reports used to analyze trends and groupings



Grouping Records Series into Buckets



Process Workflow





Buckets: Evolution

- Buckets evolved to include sub-buckets
 - Developed narratives and crosswalk for each bucket schedule
 - Record-type grouping provided means for categorization
 - Crosswalk ensured legacy schedules accounted for
 - Assisted with internal analysis and appraisal
 - Buckets tied to business process - not electronic systems
 - Negotiated changes in retention to facilitate grouping
 - Annotated narrative included legacy and new series
- After sorting and grouping was complete, prepared SF115 materials and sent to records coordinator then to the business executives
 - Imposed approval deadline
 - No response equivalent to approval of schedule
 - Schedules forwarded to NARA for appraisal
- Began inventory of subsequent bucket while NARA appraisal of prior bucket was ongoing



Buckets: Narrative

“Narrative” was the name for the MS Word document that provided the list of record series for the new SF115.

- Established outline of new record series
- Established “sub-buckets” when needed
- Sorted by permanent (long term) to temporary (short term)
- “Dropped” existing “legacy” and new record series into sub-buckets
- Annotated narrative was later stripped of the annotations and became the final attachment for the SF 115



Buckets: Annotated Narrative Example

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.

Abandoned Trademark Applications	N1-241-96-6 #46b (1)(2)
Trademark Applications As Filed	N1-241-96-6 #7
Trademark Image Capture Retrieval System (TICRS)	N1-241-01-1 #3d,e,f
Trademark Petitions	N1-241-96-6 #44b
Published Trademarks Index	N1-241-96-6 #42b
TEAS	N1-241-01-01 #4c,d,e
TARR	N1-241-01-01 #5c,d
TRADEUPS	N1-241-01-2 #3c,d,e,f
TIPS	N1-241-01-02 #4c,d,e
TRAM II Updates	N1-241-96-5 #64b
TTABIS	N1-241-01-02 #1d
RAM	N1-241-98-2 #5b
Global Correspondence Updates	N1-241-96-6 #12a,b
Copies of Petition Decisions From the Commissioner	N1-241-96-6 #44b
Applicant's Index, 1922-1979 - Microfilm	N1-241-96-4 #31b



Buckets: Crosswalk

Microsoft Excel “Crosswalk” provided a breakout view of new bucket series.

- Sorted identically to narrative, data added to facilitate analysis
- New and existing (legacy) retentions
- Mapped to old series citation
- Illustrated major or minor changes from legacy to new retentions
 - assisted in appraisal
 - highlighted when there was no material change
- Included existing office of record
- Tracked notes and columns

Crosswalk Example

Trademarks Registration and Maintenance						
BRM: Service for Citizens - Economic Development - Intellectual Property Protection						
OD SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
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
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



TICRS Schedule (Before)

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 paper 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:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (paper):
 - 1) Paper, Applications.
 - 2) Paper, Application-related correspondence.
- d. Outputs (paper or electronic):
 - 1) Images to retrieval database.
 - 2) Electronic image of drawing page.
 - 3) Drawing page printout.
 - 4) OCR Image in Portable Document Format (PDF).
 - 5) Index data.
- e. Error Logs.
- f. Staging Files.
- g. Backups.
- 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.

N1-241-01-01 #3

- a. Transfer to the configuration management tool prior to unit testing (N1-241-96-5 #71).
- 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 (N1-241-96-5 #71).
- c. Inputs (paper):
 - 1) 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).
 - 2) 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).
- d. Outputs:
 - 1) Transfer to retrieval database. Destroy or Delete when transfer has been verified and data is no longer needed.
 - 2) Store on Trademark Cropped Image Server. Destroy or Delete when transfer has been verified and data is no longer needed.
 - 3) Destroy or Delete when transfer to the Trademark Case Files has been verified and data is no longer needed.
 - 4) Transfer to TRADEUPS. Destroy or Delete when transfer has been verified and data is no longer needed.
 - 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. Backup tape will be used as vital record copy.
- h. Electronic Mail and Word Processing System Copies:
 - 1) Destroy/delete after the recordkeeping copy has been produced.
 - 2) Destroy/delete when dissemination, revision, or updating is completed.

TICRS Schedule (In Process)

Trademark Image Capture and Retrieval System (TICRS)

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- d. Outputs (paper or electronic):
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 - 3) Drawing page printout.
 - 4) OCR Image in Portable Document Format (PDF).
 - 5) Index data.
- e. Error Logs.
- f. Staging Files.
- g. Backups.
- 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.

N1-241-01-01:3

- a. See GRS 24, 3b(1)
- b. See GRS 24, 3b(1)
- c. See N1-241-06-2:2
- d. See N1-241-06-2:4
- e. See N1-241-06-2:4
- f. See N1-241-06-2:4
- g. See GRS 24, 4a(1)
- h. Electronic Mail and Word Processing System Copies:
 - 1) See GRS 20
 - 2) See GRS 20

Legacy electronic system sub-parts accounted for in new bucket and GRS schedules



TICRS Schedule (After)

Trademark Case Files (Selected)

This series consists of selected 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.

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

Includes, but not limited to, the following USPTO records:

- Abandoned Trademark Applications
- Applicant's Index
- Corrected and Amended Trademark Registrations
- Examiners Registrations/Trademark Operations
- Trademark Assignments and Indexes
- Trademark Image Capture and Retrieval System
- Trademark Oppositions
- Trademark Petitions and Petition Decisions

N1-241-06-2:2 (Previously N1-241-96-6:46a(1), b(1))

Permanent: Transfer selected files to NARA 6 years after trademark registrations are cancelled or expired or go abandoned.



TICRS Schedule (After)

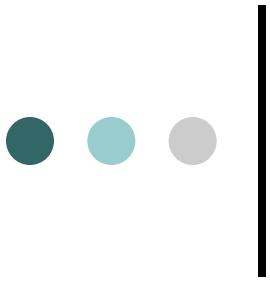
Trademark Image Capture and Retrieval System (TICRS) Feeder Records

TICRS is designed to capture store retrieve and print digital images of Trademark application documents. TICRS has the following logical components: (1) the capture components encompass the input of digital images by scanning paper and the capture of index data; (2) the storage component manages the physical storage of images and provides access control to maintain security; and (3) the retrieval component provides query and output capabilities for applications within the system.

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N1-241-06-2:4 (Previously N1-241-01-01:3d,e,f)

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.



MS Access Database



Database Benefits

- Maintain “live” and legacy record schedules together in a single repository
- Track Inventory data for pending record schedules
- Track re-alignment and re-naming of USPTO organizations
- Utilize database queries to publish USPTO records schedules in Adobe PDF
- Execute database queries to isolate records of interest
 - Query by bucket schedule
 - Query by USPTO organization



Database Structure – Tables

The Comprehensive Records Schedule (CRS) database contains two “primary” tables:

- tblCRSLive – contains Record Scheduling data. Primary fields include the following:
 - Citation
 - Series Title
 - Addenda
 - Series Contents
 - Disposition
- tblHiSortLive – contains Organizational data. Primary fields include the following:
 - HiSort3
 - Org

CRS Database Structure – tblHiSortLive

ID	HiSort3	Org	TitlePg	parentChild
202	1.7	CHIEF FINANCIAL OFFICER	<input checked="" type="checkbox"/>	1
203	1.7.1	Office of Corporate Planning	<input checked="" type="checkbox"/>	202
204	1.7.2	Office of Finance	<input checked="" type="checkbox"/>	202
205	1.7.2.0	Activity Based Information Division	<input type="checkbox"/>	204
320	1.7.2.1	Office of Financial Management Systems	<input type="checkbox"/>	204
207	1.7.2.2	Financial Accounting Division	<input type="checkbox"/>	204
208	1.7.2.3	Financial Reporting and Analysis Division	<input type="checkbox"/>	204
209	1.7.2.4	Status and Entity Division	<input type="checkbox"/>	204
210	1.7.2.5	Receipts Accounting Division	<input type="checkbox"/>	204
211	1.7.4	Office of Procurement	<input checked="" type="checkbox"/>	202

One record exists for each Organization

TitlePg attribute used for Comprehensive Records Schedule generation

Defines Parent/Child relationship

Links to tblCRSLive via the HiSort3 field

CRS Database Structure – tblCRSLive

Contains both Organizational data

sn	hs3	Org	SeriesTitle	Addenda	Citation	SeriesContents	Disposition
7	1.7	CHIEF FINANCIAL OFFICER					
7	1.7.1	Office of Planning and Budget	IP Program Administrative Files	Trilateral Patent Data Exchange Program	NI-241-09-1:a5-1	Temporary long-term administrative records which reflect retentions of the General Records Schedule in intent but are unique to the USPTO. Includes files that contain program records of an administrative support nature and which are common to USPTO offices. These may include actionable matters of an internal administrative nature, be applied by an office that receives and takes action on documents submitted by other offices, and include the following:	Temporary: Destroy when 5 years old
7	1.7.1	Office of Planning and Budget	Cost Accounting Reports		GRS 8, 6	a. Copies in units receiving reports. b. Copies in reporting units and related work papers.	Destroy when 3 years old.
7	1.7.1	Office of Planning and Budget	Travel Orders and Vouchers		GRS 23, 1	Copies of travel requests, orders, and vouchers and associated files, accounting for office travel for USPTO representation at meetings, conferences, etc. Original travel vouchers are located in Finance.	Destroy when 2 years old.
7	1.7.1	Office of Planning and Budget	Training Information and Completed Forms		GRS 23, 1	Records of staff training.	Destroy when 2 years old.

...and Record Series data

Section Number and HS3 fields used in CRS generation

CRS – Data Entry and Query Forms

The screenshot shows a web-based form titled "USPTO SCHEDULING INITIATIVE DATA". The form is divided into several sections:

- Search:** Includes a search box and a "Re-set Form" button.
- Bucket:** A dropdown menu for selecting a bucket.
- Organization:** A text field containing "Office of Planning and Budget".
- HiSort/SN:** Fields for "HiSort/SN" (1.7.1) and "ID" (7).
- Citation/OldCit:** Fields for "Citation/OldCit" (N1-241-09-1a5-1) and "ID" (N1-241-95-1:45).
- Series Title:** A text field containing "JP Program Administrative Files".
- Addenda:** A text area containing "Including but not limited to: Reengineering Team Working Papers, Trilateral Patent Data Exchange Program".
- Series Contents:** A text area containing "Temporary long-term administrative records which reflect retentions of the General Records Schedule in intent but are unique to the USPTO. Includes files that contain program records of an administrative support nature and which are common to USPTO offices. These may include actionable matters of an internal administrative nature, be applied by an office that receives and takes action on documents submitted by other".
- Disposition:** A text field containing "Temporary: Destroy when 5 years old".
- Bucket(s):** A dropdown menu for selecting a bucket.
- Sub Bucket:** A dropdown menu for selecting a sub-bucket.
- Taxonomy:** A section with checkboxes for "I-Offsite", "I-NARA", and "Destroy".
- Tracking Inventories:** A group of checkboxes including "GRS Candidate", "NARA Action", "Absorbed", "Vital Record", "Inventoried", "Confirmed", "AIS?", "Deleted", "Orphaned", and "Question".
- USPTO Notes:** A text area for entering notes.
- Permanent/Temp:** A dropdown menu for selecting a bucket.
- Media:** A text field for entering media information.
- Location:** A text field for entering location information.

Arrows from the text "Fields used to track Inventories" point to the "Deleted" and "USPTO Notes" fields.

Fields used to track Inventories

Form contains combination of Data and Parameter Controls

CRS – Data Entry and Query Forms (Edit Organization Data)

The screenshot shows a web-based data entry interface for the USPTO SCHEDULING INITIATIVE DATA. The main form includes fields for Search, Bucket, Organization, HiSort/SN, Citation/OldCitation, Series Title, Addenda, Series Contents, Disposition, Bucket(s), Sub Bucket, and Taxonomy. A HiSortLive query window is open, displaying a query: "Select * from tbiHISortlive WHERE Org = 'DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY'". The query results show a record with HS 1.5.1 and Org DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY. An arrow points from the text "Edit Organization (HiSort) Data" to the HiSortLive window.

Edit Organization (HiSort) Data

CRS - Crosswalk Generation

	B	C	D	E	F	G	H	I
3		SF115 Item	subBucket	Main Retention	New Retention Period	Current Series Title	Current Citation	Current Office of Record
4	4.1 - Trademarks Program and Policy Subject Files							
5	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.							
6	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		
7	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		
8	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		
9	Trademark Case File Records and Related Indexes	4.2 - Trademark Case File Records and Related Indexes, Selected						

Access and Excel enabled tracking of new and legacy data simultaneously via additional table and queries

Legacy Data

Scheduling Initiative Data

CRS Database Structure – Data Entry and Query Forms (Filtering Capability)

The screenshot shows a web browser window with the title "Switchboard - Comprehensive Records Schedule". The main content area is titled "USPTO SCHEDULING INITIATIVE DATA".

Search: A search box contains "trademark case file feeder". A "Re-set Form" button is next to it. Below the search box, a query string is displayed: "Select * from tbcrsLive where SN = '5' ORDER BY Hs3, SeriesTitle, SeriesContents".

Bucket: A dropdown menu is set to "Trademarks Registration and Main". Other dropdowns include "Office: Select Office", "Section: 5", and "Owner: Select Owner".

Organization: A dropdown menu is open, showing options: "Agency Administrative Dissemination", "Patent Granting and Maintenance", "Trademarks Registration and Maintenance", and "USPTO Policy/Program Management".

HiSort/SN: A dropdown menu is set to "Trademarks Registration and Maintenance".

Citation/OldCit: A dropdown menu is set to "USPTO Policy/Program Management".

Series Title: A text field contains "Trademarks General Administrative and Short Term Files".

Addenda: A text area contains "Including but not limited to: General Subject Files".

Series Contents: A text area contains: "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".

Disposition: A text area contains: "Temporary: Destroy when superseded or when no longer needed for USPTO business.".

Bucket(s): A dropdown menu is set to "Trademark Registration and Main".

Sub Bucket: A dropdown menu is empty.

Taxonomy: A table with columns "T-Office", "T-NARA", and "Destroy".

T-Office	T-NARA	Destroy
		when superseded or when no longer needed
		when superseded or when no longer need

Checkboxes: A grid of checkboxes for document status: "to Docs", "GRS Candidate", "NARA Action", "Absorbed", "Vital Record", "Inventoried", "Confirmed", "AES?", "Deleted", "Orphaned", "Question".

Buttons: "Report", "Index Report", "Open HiSort", "Add".

Other Fields: "USPTO Notes", "Permanent/Temp", "Media", "Location", "Select Bucket".

Filter by bucket

CRS Database Structure – Data Entry and Query Forms (Filtering Capability)

The screenshot shows a web application interface for "USPTO SCHEDULING INITIATIVE DATA". The interface includes a navigation pane on the left and a main content area with various input fields and controls.

Search and Filter Section:

- Search:** A text input field with "Series Title" and a dropdown menu for "Trademark case file feeder".
- Re-set Form:** A button.
- Select * from SACOLaw where SACOLaw.Org = "DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY" ORDER BY SACOLaw.OrgName:** A dropdown menu.
- Report:** A button.
- Index Report:** A button.
- Open Report:** A button.

Form Fields:

- Bucket:** "Trademarks Registration and Mar..."
- Organization:** "DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY"
- AltServEN:** "1.1.1"
- Citation/DocId:** "R2-241-05-2-1st"
- Series Title:** "USPTO Non-Core Products and Publications (NARA Copy)"
- Address:** "Including but not limited to:
Published Trademarks PROCPISM (NARA Copy)"

Checkboxes and Status Indicators:

- Qtr No Docs:**
- Master Series:**
- CRS Combinate:**
- NARA Action:**
- Absorbed:**
- Final Record:**
- Amendment:**
- Confirmed:**
- ADD:**
- Deleted:**
- Orphaned:**
- Question:**

Series Content:

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. One copy of each is transferred to NARA. Information also is published for public awareness and understanding of the USPTO functions and processes. These non-core official record copy products and publications include, but are not limited to the following: Patent and Trademark Assignments

Disposition: Permanent: Transfer one copy to NARA after superseded.

Bucket(s): Examination Records

Sub-Bucket:

Taxonomy:

- T-Office:** T-NARA
- Display:**
- Entry:**
- Series:**

USPTO Note:

Permanent Temp:

Media:

Location:

Select Bucket: [Dropdown menu]

Add: [Button]

Filter by USPTO Org

CRS Generation – Access Report

rptDtlLive.pdf - Adobe Reader

File Edit View Window Help

3 / 21 75% Comment Share

ID Series Title / Series Contents / Disposition

DEPUTY COMMISSIONER FOR TRADEMARK EXAMINATION POLICY

10 EEO Affirmative Action Plans (AAP)
Trademark copy of consolidated AAP and related working papers. Includes copy of plan, onsite review material, and EEO annual report documentation. Used to develop EEO administrative and policy direction to the Trademark Examining Groups and related operations.
GRS 1, 25a
Destroy 4 years after resolution of case.

11 EEO Committee Files
Agency EEO Committee records, with minutes and reports. Includes general correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO act of 1972, and any pertinent later legislation. Used to document USPTO position on EEO.
GRS 1, 25g
Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

13 Incentive Awards Program Reports
Reports pertaining to the operation of the Incentive Awards Program. Used to provide administrative and policy direction to the Trademark Examining Groups and related operations.
GRS 1, 13
Destroy when 3 years old.

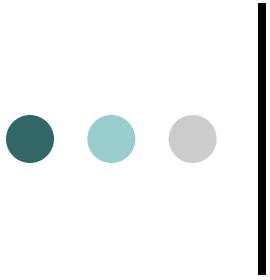
Trademark Case File Feeder Records and Related Indexes
Including but not limited to:

- Published Trademarks-MICROFILM (Reference Copies)*
- Trademark Applications As Filed - MICROFILM*
- Trademark Petitions (Non-original copies)*

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.

N1-241-06-2:4
Temporary: Destroy or delete when transfer to official Trademark Case File has been verified and the feeder documentation is no

Other reports generate the disseminated Comprehensive Records Schedule – which saves to PDF



Implementation



Implementation

- Determine how this would be displayed in our current Comprehensive Records Schedule (CRS) document
 - At first we simply updated series entries with the new schedule (new N1) in each section
 - Later we added appendices that had the entire SF115 to be more inclusive
- Determine how schedules are used by offices
 - Some offices use the CRS to find retention policies
 - Some others use the SF115s to find retention policies



Implementation: CRS Simplified Entry

Series Title



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.

N1-241-06-2:1

Citation



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

Disposition



Series
Contents



Implementation: CRS Derived Entry with Addenda

Series Title



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Addenda



Series Contents



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N1-241-06-2:4

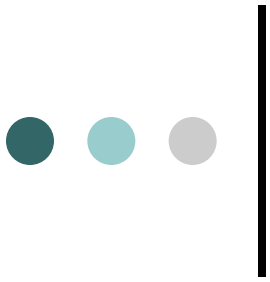
Citation



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.



Disposition



Conclusion



USPTO Records Scheduling Recap

- Groundwork
 - Established low or no-cost methodology and use existing resources
 - Presented to executives before start - Received buy-in
- Conducted Scheduling
 - Created a preliminary bucket structure based on function
 - Inventory as much as possible
 - Used a crosswalk & annotated narrative
 - Used MS Access
 - Adjusted, reviewed, and repeated until it came close to perfect
 - Informed business areas formally - used a memo
 - Worked closely with NARA Appraisal Archivist
- Implemented the Schedules
 - Annotated Narrative useful to present known record series names and tracking that all records are scheduled
 - Use both SF115 and CRS when discussing retentions
 - New record series are now simply “dropped” into proper existing series (or “bucket”)



Buckets – Lessons Learned

- Identify all major agency or department business functions prior to scheduling
- The “feeder record” concept is advantageous
- Isolate legacy series sub-parts from IT system schedules
- Scheduling processes differed from bucket to bucket
- Finding correct business contact to verify and validate schedules is an ongoing task
- Could not force banding of unique record schedules
- Creation of “Addenda” field reduced redundancy in published retention policies



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*USPTO Records
Management Program*



Questions & Answers