

CHIEF INFORMATION OFFICER

And Reporting Offices:

CHIEF INFORMATION OFFICER

Deputy Chief Information Officer

BUSINESS RELATIONSHIP MANAGEMENT GROUP

ADMINISTRATIVE MANAGEMENT GROUP

Acquisition Management Division

Workforce Development Division

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP

Network Engineering Division

Network and Telecommunication Services Division

Network and Security Operations Division

BUDGET AND FINANCE DIVISION

CUSTOMER INFORMATION SERVICES GROUP

Public Records Division

Public Information Services Division

Electronic Information Products Division

CHIEF INFORMATION OFFICER

And Reporting Offices (continued):

ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP

Enterprise Software Division

Enterprise Application Architecture Division

Federal Enterprise Architecture Division

Enterprise Tools Division

Enterprise Hardware Division

Enterprise Data Division

INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP

CUSTOMER SUPPORT SERVICES GROUP

Help Desk Services Division

Desktop Support Services Division

Information Services Division

CHIEF INFORMATION OFFICER

And Reporting Offices (continued):

ENTERPRISE SYSTEMS SERVICES GROUP

Pre-Production Services Division

Facility Operations and Production Services Division

Technical Services Division

PROGRAM MANAGEMENT GROUP

QUALITY MANAGEMENT GROUP

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP

Corporate Systems Division

REMOTE FACILITIES OPERATIONS GROUP

USPTO Comprehensive Records Schedule

Section 6 - CHIEF INFORMATION OFFICER

Reference Index

Index #	Series Title	Disposition Authority
CHIEF INFORMATION OFFICER		
1	IT-Specific Program Policy Files	N1-241-05-1:3a
2	Budget Background Records	GRS 5, 2
3	Calendars of the CIO	GRS 27, 7
4	CIO Committee Records	GRS 27, 5
5	CIO Subject and Project Files	GRS 27, 6 (Previously: N1-241-96-5:29)
6	Delegations of Authority	N1-241-05-1:4c
7	Electronic Mail and Word Processing System Copies	GRS 24, 12
8	EMS Enterprise Management System	GRS 24, 11
9	Feasibility Studies	GRS 16, 9
10	Information Technology (IT) Program Planning Records	GRS 27, 1
11	IT Capital Investment (Budget) Records	GRS 27, 3
12	IT Program Planning Files	GRS 27, 1
13	Legal/Regulatory Compliance Records	GRS 27, 4
14	Oversight and Compliance Files	GRS 24, 1
15	Short-term Administrative Files	GRS 23, 1
16	Solution Engineering Process Group Documentation	GRS 27, 5
17	Working Papers, Legal and Regulatory Compliance	N1-241-05-1:3e
Deputy Chief Information Officer		
BUSINESS RELATIONSHIP MANAGEMENT GROUP		
18	BRMG Policy and Activity Files	GRS 24, 1a
19	Estimates of Alternative Costs, Benefit Values, Project Costs	GRS 27, 6
20	IT Liaison Files	GRS 27, 6
21	IT Project and Service Requests Files	GRS 24, 1b
22	Project Review and Status	GRS 27, 6
23	WIPO and International Files	Nonrecord
ADMINISTRATIVE MANAGEMENT GROUP		
24	AIS Checklist for 508 Compliance	GRS 24, 11b
25	Financing of IT Resources and Services	GRS 24, 9a
26	Task Order Files	N1-241-05-1:3c

Index #	Series Title	Disposition Authority
Acquisition Management Division		
27	AMD Library and Reference Materials	Nonrecord
28	Contract Performance and Evaluation Reports	GRS 3, 3c
29	Contracting Out for Services (A-76)	N1-241-05-1:6b
30	IT Procurement Product Deliverables Tracking and Reporting	N1-241-05-1:3d (Previously N1-241-96-5:53)
Workforce Development Division		
31	Agency Award Nomination Lists and Indexes	GRS 1, 12d
32	Duplicate OPF Documentation	GRS 1, 18b
33	General Employee Awards Files	GRS 1, 12a
34	Incentive Awards Program Reports	GRS 1, 13
35	Subject and Office Records	GRS 24, 6
36	Training Records	GRS 1, 29
NETWORK AND TELECOMMUNICATIONS SERVICES GROUP		
37	Active Station Ports / Growth Report	GRS 24, 1a
38	Annual Telecommunications Roadmap	GRS 24, 1a
39	Bay Face Report	GRS 24, 1a
40	Communication Server and PBX Licenses Inventory	GRS 24, 3a
41	Computer Equipment Orders	GRS 24, 3b(2)
42	CPU Replacement Program	GRS 24, 3b(2)
43	Daily Operations Report	GRS 24, 3b(1)
44	Growth Matrix	GRS 24, 8c
45	Help Desk Reports	GRS 24, 10b
46	Home User Program	GRS 24, 11b
47	Information Technology Facilities Management System - Randolph Square NTSG Project Manager	GRS 24, 2
48	IT Asset and Configuration Management Files	GRS 24, 3
49	IT Asset and Configuration Management Files - Spare Equipment Inventory	GRS 24, 3a
50	IT Operations and Performance Records and Reports	GRS 24, 8a,b
51	IT Problem Reports	GRS 24, 8a,b
52	Network and Security Monitoring Form	GRS 24, 7
53	Network Cable Management for PFW	GRS 24, 2
54	Network Security and Monitoring Forms	GRS 24, 7
55	OCIO Telecommunications Services Deployment Overview	GRS 24, 8c

Index #	Series Title	Disposition Authority
NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)		
56	Orders for Computer Equipment/Workstation, Hardware Moves-Deployment	GRS 24, 3b(1)
57	Private Branch Exchange (PBX) Analyses and Outage Logs	GRS 24, 8c
58	Project Budget/Planning Data Worksheet	GRS 24, 3b
59	PTONet Files	GRS 24, 3a
60	PTONet, Phone and Computer Change Records	GRS 24, 3a
61	Quarterly Traffic Studies	GRS 24, 1b
62	System Backups and Tape Library Records	GRS 24, 4
63	Voice Components by Building	GRS 24, 3b
64	Weekly Operations Report	GRS 24, 8c
Network Engineering Division		
Network and Telecommunication Services Division		
65	PTONet Change Control Database	GRS 20, 1c
66	PTONet Fiber Optic Backbone and Line Drop Plan	GRS 24, 3a
67	PTONet Inventory of Intelligent Communication Devices	GRS 3, 9(a)
68	PTONet Line Drop Database Files	GRS 24, 3a
Network and Security Operations Division		
69	Computer Security Incident Handling, Reporting and Follow-up Records	GRS 24, 7
70	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Log Files	GRS 20, 1c
71	IT Security Administrative Guidelines	GRS 27, 6
72	IT Security Administrative Orders	GRS 24, 5a,b
73	National Institute of Standards and Technology (NIST) Guidelines	Nonrecord
74	Network Device Configurations	GRS 24, 3a
75	Reference Files, Office Administration	Nonrecord
76	Strategic Information Technology Plan FY 2007 - FY 2012	Nonrecord
77	USPTO Enterprise Operations Center (EOC) Security and Operating Procedures	GRS 24, 1a
78	USPTO Firewall Logs	GRS 20, 1c
79	USPTO Internal Inventory and Audit of IT Assets	GRS 24, 3a
80	USPTO IT Security Standards	GRS 24, 5a,b
81	USPTO IT Security Standards - Certification and Accreditation	GRS 24, 5a
82	USPTO Threat Assessment	GRS 24, 5a
BUDGET AND FINANCE DIVISION		
83	Activity Based Cost Accounting (ABC)	GRS 27, 6

Index #	Series Title	Disposition Authority
<i>BUDGET AND FINANCE DIVISION (Cont.)</i>		
84	Budget Execution	GRS 5, 2
85	Budget Models and Briefings	N1-241-05-1:6c
86	Budget Planning and Evaluation	N1-241-05-1:6a (Previously N1-241-03-1)
87	Budget Validation/Formulation	N1-241-05-1: 6a
88	Financing of IT Resources and Services	GRS 24, 9
89	IT Capital Investment Records	GRS 27, 3
<i>CUSTOMER INFORMATION SERVICES GROUP</i>		
90	Budget Tracking Files	GRS 23, 1
91	Documents Published in the Federal Register	GRS 16, 13a
92	Finding Aids (or Indexes)	GRS 20, 9
93	Forms Files	GRS 16, 3
94	Indexes and Check Lists	GRS 14, 6
95	Information Project Files	GRS 14, 4
96	Information Requests Files	GRS 14, 1
97	Input/Source Records	GRS 20, 2
98	Technical Reformat File	GRS 20, 7
99	U.S. Patent and Trademark Office Historical Reference Materials	N1-241-05-2:1c
100	USPTO Non-Core Products and Publications (NARA Copy)	N1-241-05-2:1d
<i>Public Records Division</i>		
101	Correspondence with Attorneys on Recordations	N1-241-05-2:4
102	Customer Order Transaction Reports	N1-241-05-1:5d
103	Patent and Trademark Assignment System (PTAS)	N1-241-05-2:1d (Previously N1-241-96-5:67b)
104	Recordation Request Process Records	N1-241-05-2:4
<i>Document Services Branch</i>		
105	Certification Records	GRS 24, 10b

Index #	Series Title	Disposition Authority
Document Services Branch (Cont.)		
106	Copy Request Correspondence	GRS 14, 1
107	Customer Order Transaction Reports	N1-241-05-1:5d (Previously N1-241-01-01:1b)
108	Government Register	N1-241-96-4:3
109	Orders For USPTO Document Copies	GRS 6,1a
110	Preliminary Input Files for Dissemination Products and Publications	N1-241-05-2:4 (Previously N1-241-96-4:1)
111	Trademark Application-As-Filed	Nonrecord
112	Trademark Registrations - MICROFILM	Nonrecord
Public Information Services Division		
113	Abandoned Trademark Applications	Nonrecord
114	ASIGN CD ROM	Nonrecord
115	Certificate of Corrections - MICROFILM	Nonrecord
116	Classified Patent Search Files	Nonrecord
117	Defensive Publications	Nonrecord
118	Design Patent Drawings - MICROFILM	Nonrecord
119	Expired and Cancelled Trademark Registrations - MICROFILM	Nonrecord
120	Freedom of Information Act (FOIA) Indexes	Nonrecord
121	Information Desk Library	Nonrecord
122	International Patent Classifications and Index	Nonrecord
123	IT Customer Service Files - Instructions	GRS 24, 10a
124	Manual of Patent Examining Procedure	Nonrecord
125	Manual of Patent Examining Procedure - MICROFILM	Nonrecord
126	Official Gazette of the United States Patent and Trademark Office: Patents	Nonrecord
127	Patent Assignment Deeds and Indexes (Library Reference Material)	Nonrecord
128	Patent Classifications - MICROFILM	Nonrecord
129	Patent Reissues and Index - MICROFILM	Nonrecord
130	Patent Reissues and Index - MICROFORM	Nonrecord
131	Patent Search Room Locator	Nonrecord
132	PTDL Search System Use-Level Reports	N1-241-96-4:48
133	Public Search Files of U.S. Patents	N1-241-96-4:23

Index #	Series Title	Disposition Authority
<i>Public Information Services Division (Cont.)</i>		
134	Public Search Room Production and Services	N1-241-05-2:6d (Previously N1-241-96-4:21, N1-241-96-4:46)
135	Published Trademarks - MICROFILM	Nonrecord
136	Reclassification of U.S. Patents - MICROFILM	Nonrecord
137	Reclassification Orders	Nonrecord
138	Registered Trademarks	Nonrecord
139	Registrant's Index	N1-241-05-2:1d
140	Search Room Online Service Accounts	N1-241-05-2:6g
141	Trademark Adversary Proceedings Index	N1-241-96-4:44
142	Trademark Applications Pending	Nonrecord
143	Trademark Applications-As-Filed - MICROFILM	Nonrecord
144	Trademark Docket Cards	N1-241-05-2:1d (Previously N1-241-96-4:38)
145	Trademark Registrations with U.S. Customs Under Section 42	Nonrecord
146	Trademark Suits Index	N1-241-05-1:2a (Previously N1-241-96-4:43)
147	U.S. Patent and Trademark Office Historical Reference Materials	N1-241-05-2:1c (Previously N1-241-96-4:26, N1-241-96-4:34, N1-241-96-4:35, N1-241-96-4:44a)
148	U.S. Statutory Invention Registrations (SIR)	Nonrecord
149	Visitor Badges	GRS 11, 4a
<i>USPTO Contact Center Branch</i>		
150	IT Customer Service Files	GRS 24, 10
<i>Patent and Trademark Depository Library Program (PTDLP)</i>		
151	Classification Definitions - MICROFICHE	Nonrecord
152	Core Collection of PTDL Reference Materials	Nonrecord
153	Local Hard Drive Backup Cartridges	GRS 20, 8b
154	Patent and Trademark Depository Library (PTDL) Dissemination Files - Temporary	N1-241-05-2:2 (Previously N1-241-96-4:10, N1-241-96-4:12, N1-241-96-4:14, N1-241-96-4:15, N1-241-96-4:9)
155	Patent and Trademark Depository Library (PTDL) Partnership Files	N1-241-05-2:6a (Previously N1-241-96-4:11)
156	Patent Status File Paper Index	Nonrecord
157	Patent Status Files - MICROFILM	Nonrecord
158	Plant Patent Files - MICROFICHE	Nonrecord
159	PTDL Active Reference Files	Nonrecord

Index #	Series Title	Disposition Authority
Patent and Trademark Depository Library Program (PTDLP) (Cont.)		
160	PTDL Subject Reference Archive	Nonrecord
Public Search Facilities Branch		
161	Annual Equipment Maintenance Service Agreements	GRS 3, 3a
162	Branch Time and Attendance Records	GRS 2, 8
163	Building Addresses	Nonrecord
164	Contract Award Document	GRS 3, 3c
165	Customer Infraction Files	N1-241-05-2:6c (Previously N1-241-96-4:19)
166	FY08 PPA Time Codes	Nonrecord
167	Inactive Patents/Bound Volumes Listing	Nonrecord
168	Information Contacts Subject Index	Nonrecord
169	Momentum Entry Instructions/Training Notebook	Nonrecord
170	Office Administrative Files	GRS 23, 1
171	Official Search Requests, Terminated Patent and Trademark Searches	N1-241-05-1:7c
172	Patent Information Databases	N1-241-05-2:5
173	PPA Account Dictionary	Nonrecord
174	Print Product Tracking Report	N1-241-05-2:6e
175	Procedures for WebTA processing	Nonrecord
176	Project Files (Search Services Division)	N1-241-05-2:6d (Previously N1-241-96-4:20)
177	Public Search Room Production and Services	N1-241-05-2:6d (Previously N1-241-96-4:22a, N1-241-96-4:22)
178	Schedule of Employee's Daily Activities	Nonrecord
179	Schedule of Supervisor's Daily Activities	Nonrecord
180	Summary of quality review TM Microfilm Project Sheets	N1-241-05-2:6f
181	Supervisors' Personnel Files	GRS 1, 18
182	Training Material	Nonrecord
183	User Manual for the On-Line Access Card	GRS 23, 1
184	USPTO Non-Core Products and Publications (Extra Copies)	N1-241-05-2:3
185	Web TA Time and Attendance Records	GRS 2, 7
Records Management		
186	Information Collection Budget Files	GRS 16, 12

Index #	Series Title	Disposition Authority
<i>Records Management (Cont.)</i>		
187	Information Collection Request Files	GRS 16, 12
188	Information Collection Request Tracking and Control Records	GRS 16, 12
189	Privacy Act Administrative Files	GRS 16, 14
190	Records Management Tracking System (RMTS) Files and Related Records	GRS 16, 2a(2)
191	Records Disposition Files	GRS 16, 2
192	Records Holdings Files	GRS 16, 4
193	Records Management Administrative Files	GRS 16, 7
194	Records Management Projects	GRS 16, 5
195	Records Management System (RMS) Database	GRS 16, 14e
196	Reports Control Files-Paperwork Reduction Act/Information Collection	GRS 16, 3a
197	USPTO Comprehensive Records Schedule	GRS 16, 2a(2)
<i>Electronic Information Products Division</i>		
198	2008 USPTO Electronic Information Products	N1-241-05-2:1c,d
199	Administrative Records - General	GRS 23, 1
200	Administrative Records - Supervisor Personnel Files	GRS 1, 18a
201	Budget Monitoring Database	GRS 5, 3b
202	Budget Records	GRS 5, 2
203	CD ROM Mastering and Dissemination Invoices	GRS 23, 1
204	CD ROM Search Software Site License Reports	GRS 23, 1
205	CD/DVD ROM Products	Nonrecord
206	Center Administrative/Subject Files	GRS 23, 1
207	CISG Product Line Non-Core Products (Extra Copies)	N1-241-05-2:3
208	CISG Product Line Non-Core Products (NARA Copy)	N1-241-05-2:1d
209	Contract Administrative Files	GRS 24, 9a,b
210	Customer Order Statements/Invoices for SOMS	GRS 6, 1a
211	Customer Survey Results	GRS 14, 4
212	Design Patent Drawings - MICROFILM	Nonrecord
213	Information Dissemination Product Reference	N1-241-05-2:5
214	Interim Electronic Files	GRS 20, 5
215	Invoices for Microfilm Services	GRS 23, 1
216	Patent Image Master Tape File	Nonrecord
217	Product Documentation and User Guides	GRS 20, 11
218	Small Purchase and Bank Card Purchases	GRS 23, 1

Index #	Series Title	Disposition Authority
<i>Electronic Information Products Division (Cont.)</i>		
219	Software Licenses	GRS 24, 3b)
220	Subscriber Database Files	GRS 23, 8
221	Tape Products	GRS 20, 6
222	Tape Products Technical Documentation	GRS 20, 11a
223	USPTO Non-Core Products and Publications (Extra Copies)	N1-241-05-2:3 (Previously N1-241-96-4:8)
<i>ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP</i>		
224	Application Clearinghouse (ACH)	GRS 20, 4
225	Architectural Technical Reference Material	Nonrecord
226	Budget Tracking Files	GRS 23, 1
227	CIO Committee Records	GRS 27, 5
228	Copy Machine Log Book	GRS 11, 5
229	Data Architecture Policy, Plans, Standards, and Guidelines	GRS 27, 2 (Previously N1-241-96-5:41)
230	Data Architecture Project Support Artifacts	GRS 16, 5
231	Data Architecture Software and Tools	GRS 27, 2 (Previously N1-241-96-5:40)
232	Data Repository Management Files	GRS 16, 5
233	E-FAX Networks	GRS 24, 8
234	Enterprise Architecture Records	GRS 27, 2
235	Fax Log File (Tracking Control File)	GRS 23, 8
236	Hardware Use Reports	GRS 20, 1c
237	Information Systems Executive Report Source Data	GRS 20, 1c
238	IT Operations Records	GRS 24, 8
239	Monthly Contract Tracking Chart	GRS 3, 3c
240	Performance Monitoring (Network)	GRS 24, 8c
241	Records Management Reference	Nonrecord
242	Technical Reference Model Development Papers	GRS 27, 2
<i>Enterprise Software Division</i>		
243	Enterprise Architecture Records	GRS 27, 2
<i>Enterprise Tools Division</i>		
244	IT Asset and Configuration Management Files	GRS 24, 3b

Index #	Series Title	Disposition Authority
Enterprise Tools Division (Cont.)		
245	IT Infrastructure Design and Implementation Files	GRS 24, 11
Enterprise Hardware Division		
246	IT Asset and Configuration Management Files	GRS 24, 3b
247	IT Infrastructure Design and Implementation Files	GRS 24, 11
Enterprise Data Division		
248	IT Asset and Configuration Management Files	GRS 24, 3b
249	IT Infrastructure Design and Implementation Files	GRS 24, 11
INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP		
250	Computer Security Incident Handling, Reporting and Follow-up Records	GRS 24, 7
251	Equipment Trouble Register – ELECTRONIC	GRS 11, 5
252	Files Related to Maintaining the Security of Systems and Data	GRS 24, 5
253	IT System Inventory	GRS 24, 5b
254	IT Transactions, User Authentication Files	N1-241-05-1:3b
255	Legal and Regulatory Compliance Records	GRS 27, 4
256	Operational Log	GRS 18, 20a
257	Security and Safety Training Materials	N1-241-05-1:7b
258	Security Guideline Files	GRS 20, 11b
259	System Backups and Tape Library Records	GRS 24, 4
260	Temporary SMART Card Control Register	GRS 18, 17b
261	Timekeeping Records	GRS 2, 7
262	User Identification, Profiles, Authorizations, and Password Files (excludes electronic signature records)	GRS 24, 6
263	Visitor Control Register	GRS 18, 17b
CUSTOMER SUPPORT SERVICES GROUP		
264	Budget Tracking Files	GRS 23, 1
265	Customer Service Database Files	GRS 20, 1c
266	EAMS Enterprise Asset Management System	GRS 24, 3a
267	Expert Advisor Database	GRS 20, 1c
268	Group Printers Morning Operational Report	GRS 20, 1c
269	Hardware Pricing/Catalog Database	GRS 20, 3b(1,2,3)
270	Hardware Pricing/Catalog Sheet	GRS 20, 15
271	IT Customer Service Files	GRS 24, 10

Index #	Series Title	Disposition Authority
CUSTOMER SUPPORT SERVICES GROUP (Cont.)		
272	IT-Specific Program Policy Files	N1-241-05-1:3a (Previously N1-241-96-2:6)
273	Printer Inspection Log	GRS 23, 8
274	Problem Incident Reports and Analysis	GRS 20, 1c
275	Service Level Agreements	GRS 24, 9a
276	SF182 Request For Training	GRS 23, 1
Help Desk Services Division		
277	IT Customer Service Files	GRS 24, 10
Desktop Support Services Division		
278	IT Customer Service Files	GRS 24, 10
Information Services Division		
279	Information Dissemination Product Reference	N1-241-05-2:5 (Previously N1-241-96-5:67c)
280	IT Customer Service Files	GRS 24, 10a
281	IT Support Announcements	GRS 24, 8a
282	IT User Guides	GRS 24, 10a
283	OCIO Service Commitments	GRS 24, 9a
284	OCIO Websites - Originating/Development Files and Published Content	N1-241-05-2:5
ENTERPRISE SYSTEMS SERVICES GROUP		
285	Backups of Files - Daily, Incremental and Monthly	GRS 20, 8b
286	Backups of Files - Weekly	GRS 24, 4a(1)
287	Budget Tracking Files	GRS 23, 1
288	Enterprise Call Center System (ECC)	N1-241-98-2:4
289	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records	GRS 20, 1
290	General Information Correspondence Files	GRS 23, 7
291	Handout Material	Nonrecord
292	Information Technology Facilities Management System (ITFMS) System Backups	GRS 24, 4a(1)
293	IT Facility, Site Management, and Equipment Support Services Records	GRS 24, 2
294	IT Infrastructure Design and Implementation Files	GRS 24, 11
295	PTOnet Monthly Backups	GRS 20, 8b
296	Service and Support Request Forms	GRS 24, 10a
297	Storage Request Form	GRS 24, 10a

Index #	Series Title	Disposition Authority
ENTERPRISE SYSTEMS SERVICES GROUP (Cont.)		
298	Systems and Contracts Correspondence Files	GRS 13, 1
Pre-Production Services Division		
299	CD ROM Products	Nonrecord
300	Change Documents	GRS 24
301	Claims Files	GRS 3, 15
302	Data Management Support Tasks	GRS 16, 5
303	Enterprise Architecture Records	GRS 27, 2
304	Files Related to Maintaining the Security of Systems and Data	GRS 24, 5a,b
305	Information Technology Contract Case Files	GRS 3, 3a(1)
306	IT Asset and Configuration Management Files - Other AIS Documentation	GRS 24, 3b(1)
307	Protest Files	GRS 3, 15
308	Quality Assurance Analysis Records (QA02)	GRS 24, 11b (Previously N1-241-96-5:50)
309	Requirements Management	GRS 24, 11b
310	Serena Dimensions	GRS 24, 3b(1)
311	Source and production code	Nonrecord
312	System Acceptance Testing	GRS 24, 11c
313	Technical Reference Models (TRM)	GRS 27, 2
314	Technical Standards and Guidelines - Information Technology (IT) Program Planning Records	GRS 24, 1b
315	Web Content - Posted Copies	Nonrecord
Facility Operations and Production Services Division		
316	Backups (Additional Database)	GRS 20, 8b
317	Backups (Daily)	GRS 20, 8b
318	Backups (Database)	GRS 20, 8b
319	Backups (Monthly)	GRS 20, 8b
320	Backups (Tapes)	GRS 24, 4a(1)
321	Backups (Weekly)	GRS 20, 8b
322	Bar Code Label Production Log	GRS 23, 8
323	Examiners Time & Activity Reports	N1-241-96-2:4

Index #	Series Title	Disposition Authority
Facility Operations and Production Services Division		
324	Hard Copy Report	Nonrecord
325	Job Control	GRS 20, 1c
326	Log of Notification Letters	GRS 23, 8
327	Log of Plant Patents	GRS 23, 8
328	Major System Component Backups	GRS 20, 8b
329	Pipeline Report	GRS 23, 8
330	Print Pack Rollout	GRS 20, 8b
331	Production Documentation	GRS 20, 11a
332	Production Error Reports	GRS 20, 1c
333	Production Job Control	GRS 20, 1c
334	Production Job Schedules	GRS 20, 1c
335	Publication Production Controls	N1-241-05-2:6e (Previously N1-241-96-3:72)
336	Security and Technical Reference Library	Nonrecord
337	Security and Technical Reference Library Finding Aid	GRS 20, 9
338	Soft Copy Report	Nonrecord
339	System Operation and Reference Manuals and Documentation	GRS 20, 11a
340	Vault List	GRS 24, 4b
Technical Services Division		
341	Data Administration Structured Definition Language	GRS 20, 11a
342	Documentation	GRS 20, 11a

Index #	Series Title	Disposition Authority
PROGRAM MANAGEMENT GROUP		
343	CPIC Document Preparation Report	GRS 27, 3
344	Feasibility Studies	GRS 16, 9
345	Information Technology (IT) Program Planning Records	GRS 27, 1
346	IT Asset and Configuration Management Files	GRS 24, 3
347	IT Infrastructure Design and Implementation Files	GRS 24, 11
348	IT Operations Records	GRS 24, 8c
349	Oversight and Compliance Files	GRS 24, 1
350	PMG Organization Structure and Responsibilities	GRS 23, 1
351	SDLC Files	GRS 24, 1a
QUALITY MANAGEMENT GROUP		
352	IT-Specific Program Policy Files	N1-241-05-1:3a
353	Draft OCIO metrics	GRS 27, 1
354	Financing of IT Resources and Services	GRS 24, 9c
355	Information Technology (IT) Program Planning Records	GRS 27, 1
356	IT Infrastructure Design and Implementation Files	GRS 24, 11b
357	OCIO Metrics Performance	GRS 24, 1b
358	Oversight and Compliance Files	GRS 24, 1
359	QMG Monthly Action Report	GRS 27, 6
360	Quality Development and Planning Records	N1-241-05-1:1b
361	Quality Services Program Files	N1-241-05-1:1a
362	Service Level Agreements - Charters and Current Status	GRS 24, 9a
363	Service Level Agreements -Charter Next Steps	N1-241-05-1:3a
SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP		
364	Budget Tracking Files	GRS 23, 1
365	Engineering Change Request Spreadsheet	GRS 24, 3b(2)
366	Engineering Change Requests	GRS 24, 3b(1)
367	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records	GRS 20, 1
368	Forms Files	GRS 16, 3
369	Hardware and Software Manuals	GRS 20, 11a

Index #	Series Title	Disposition Authority
---------	--------------	-----------------------

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP

370	IT Asset and Configuration Management Files	GRS 24, 3
371	IT Infrastructure Design and Implementation Files	GRS 24, 11
372	IT Procurement Task Order Library	N1-241-05-1:3c,d
373	IT System Development Files	GRS 24, 8c
374	IT System Development Standards and Policy Files	GRS 24, 1a
375	NIST Compliant Security Plan	GRS 24, 5a,b
376	Non-system Development Subject Files	GRS 27, 6
377	Patent Application Information Retrieval (PAIR) System Enhancement for PGPub	N1-241-01-05:2
378	Software Development Standards and Policy	GRS 27, 2
379	Subject Files (Non-Development)	GRS 24, 3a
380	System Release Data	GRS 24, 3(b)1
381	USPTO Engineering Change Request	GRS 24, 3b(1,2)

Corporate Systems Division

382	IT Customer Service Files - Logs	GRS 24, 10b
383	Non-Electronic Documents and Forms (Input/Source Records)	GRS 20, 2a
384	Reports and Certifications	GRS 24, 1b
385	Technical Assistance and Guidance	GRS 24, 10a
386	Technical Assistance and Guidance - Short Term	GRS 23, 7
387	Web Content - Posted Copies	Nonrecord

REMOTE FACILITIES OPERATIONS GROUP

388	Alternate Operating Facility - Management Files	GRS 27, 4
389	Disaster Recovery Plans	GRS 24, 5a
390	Files Related to Maintaining the Security of Systems and Data	GRS 24, 5

USPTO Comprehensive Records Schedule

CHIEF INFORMATION OFFICER

Record Series Detail

CHIEF INFORMATION OFFICER

1 IT-Specific Program Policy Files

Record copy of documents that define the policies for articulating and executing the standard services and duties performed by the OCIO for USPTO computer systems users. Documents are the basis for the execution of specific Service Level Agreements between the OCIO and client program offices.

N1-241-05-1:3a

Temporary: Destroy 10 years after update.

2 Budget Background Records

Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

GRS 5, 2

Destroy 1 year after the close of the fiscal year covered by the budget.

3 Calendars of the CIO

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving in an official capacity, EXCLUDING materials determined to be personal and those that have been incorporated into other recordkeeping systems.

GRS 27, 7

Cut off annually. Destroy/delete when not less than 2 years but not more than 5 years old.

4 CIO Committee Records

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

GRS 27, 5

Cut off annually. Destroy/delete when 5 years old.

[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]

CHIEF INFORMATION OFFICER (Cont.)

<p>5 CIO Subject and Project Files Briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.</p>	<p>GRS 27, 6 (Previously: N1-241-96-5:29) Cut off annually. Destroy/delete when 5 years old.</p>
<p>6 Delegations of Authority Delegations of authority issued when duties and responsibilities have to be temporarily reassigned.</p>	<p>N1-241-05-1:4c Temporary: Destroy 5 years after termination of delegation.</p>
<p>7 Electronic Mail and Word Processing System Copies Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this GRS 24 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <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>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>GRS 24, 12 a. Destroy/delete within 180 days after the recordkeeping copy has been produced. b. Destroy/delete when dissemination, revision, or updating is completed.</p>

CHIEF INFORMATION OFFICER (Cont.)**8 EMS Enterprise Management System**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.
- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

9 Feasibility Studies

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

10 Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

GRS 16, 9

Destroy 5 years after completion or cancellation of study.

GRS 27, 1

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

[Note: This item does not apply to the data content or design of individual IT systems. Records relating to specific mission-related systems must be scheduled individually by submission of an SF 115 to NARA.]

CHIEF INFORMATION OFFICER (Cont.)**11 IT Capital Investment (Budget) Records**

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

GRS 27, 3

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

[Note: Records needed to support contracts are scheduled under GRS 3.]

12 IT Program Planning Files

Records relating to the development of agency IT programs. Records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. May include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records. (NOTE: Non-Project Related)

GRS 27, 1

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

13 Legal/Regulatory Compliance Records

Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.

GRS 27, 4

Cut off annually. Destroy/delete when 5 years old.

14 Oversight and Compliance Files

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

GRS 24, 1

- a. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.
- b. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

[Note: See item 3b for performance files relating to systems.]

- a. Performance measurements and benchmarks.
- b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

15 Short-term Administrative Files

Records relating to the internal short-term administration or housekeeping activities of the office as follows: Office organization, staffing, procedures, and communications (including correspondence and memos); Expenditure of internal office funds, including internal office budget records; Day-to-day administration of office personnel; Training; Travel; Invoices; Supplies; Office services; Equipment requests and receipts; Office space and utilities; Office copies of records disposition files.

GRS 23, 1

Destroy when 2 years old.

CHIEF INFORMATION OFFICER (Cont.)

- | | |
|---|---|
| <p>16 Solution Engineering Process Group Documentation
Records maintained by the SEPG, for which the CIO has designated sponsorship and leadership. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.</p> | <p>GRS 27, 5
Cut off annually. Destroy/delete when 5 years old.</p> |
| <p>17 Working Papers, Legal and Regulatory Compliance
Background and working papers generated to comply with the Government Performance Results Act (GPRA) and other legislation.</p> | <p>N1-241-05-1:3e
Temporary: Destroy/Delete when 3 years old or when no longer needed.</p> |

Deputy Chief Information Officer**BUSINESS RELATIONSHIP MANAGEMENT GROUP**

- | | |
|---|--|
| <p>18 BRMG Policy and Activity Files
Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.</p> <p>Performance measurements and benchmarks.</p> | <p>GRS 24, 1a
Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.</p> |
| <p>19 Estimates of Alternative Costs, Benefit Values, Project Costs
Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.</p> | <p>GRS 27, 6
Cut off annually. Destroy/delete when 5 years old.</p> |
| <p>20 IT Liaison Files
Materials of interest for IT support of USPTO business unit programs. Includes weekly meeting agendas and minutes, as well as copies of handouts and presentations on initiatives and project background for review.</p> | <p>GRS 27, 6
Cut off annually. Destroy/delete when 5 years old.</p> |

BUSINESS RELATIONSHIP MANAGEMENT GROUP (Cont.)**21 IT Project and Service Requests Files**

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

Includes initial requests from USPTO business units for a new IT project or service. Includes initial description of the request, basic requirements and service requested. Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

Includes the following USPTO records:

- Project Initiation Authorization Records
- Project Request Form (PRF) Reviews
- Work Request Forms

22 Project Review and Status

Records of bi-monthly meetings with USPTO business areas to discuss issues and status of various projects in the early stages of system development. Topics also include identifying potential projects and budget impact for agency planning purposes.

23 WIPO and International Files

Copies of materials distributed by the USPTO on IT-related subject matters of interest to the agency external affairs program.

GRS 24, 1b

Destroy when 3 years old or 1 year after the responsible office determines that there are no unresolved issues.

GRS 27, 6

Cut off annually. Destroy/delete when 5 years old.

Nonrecord

Non-Record: Destroy when no longer needed for reference. (Note: official copies of the distributed materials are maintained by the Office of External Affairs.)

ADMINISTRATIVE MANAGEMENT GROUP**24 AIS Checklist for 508 Compliance**

Records for projects that are implemented.

GRS 24, 11b

Destroy/delete 5 years after project is terminated.

ADMINISTRATIVE MANAGEMENT GROUP (Cont.)

25 Financing of IT Resources and Services

[Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Includes the following USPTO records:

- Negotiate ICE Matrix
- Prepare and Process Requisition
- Project Budget and Planning/Data Entry Worksheet
- Initiation of Analysis & Planning of Tasks
- Process Requisitions for Project Execution
- Approved/Rejected FN07 (Contract Resource Estimate)
- Negotiations with Contracts Companies
- Signed Contract/Task Orders Issued

GRS 24, 9a

Destroy 3 years after superseded or terminated.

26 Task Order Files

Working copies of all contract task-related deliverable documents that have been received by the USPTO for IT specific procurements. Copies of task-related incoming and outgoing correspondence, and award fee documents.

N1-241-05-1:3c

Destroy/delete when 5 years old or when no longer needed, whichever is later.

Acquisition Management Division

Acquisition Management Division (Cont.)**27 AMD Library and Reference Materials**

Copies of documents maintained elsewhere, such as Finance, Procurement or the Department of Commerce (DOC). The Acquisition Library contains copies of internal USPTO documents, such as Requirements Initiatives, Request for Proposals (RFPs), and Department of Commerce documents, as well as copies of winning proposals on active and inactive contracts.

Copies of certified invoices and background material from Finance. An entry is made in the Invoice Control System (Access db) and captures the Vendor Name, Invoice Number, Amount, Control Person, Date In, and Date Out. Incoming invoices are received from the Office of Finance and are then sent to the Contracting Officer's Technical Representatives (COTRs) for signature. After the invoices are signed and returned, a copy is placed in the Financials Library, and the original is sent back to the Office of Finance. The record copy is maintained in the Office of Finance.

Nonrecord text reference and information resources used by contract specialists in their management of USPTO contracts: Contractor Establishment Codes; Federal Contract Reports; Federal Acquisition Manuals; Government Contractor Cost Pricing and Acquisition Reports; Wage Determination Guidelines; Code of Federal Regulation; Department of Commerce (DOC) Accounting Circulars; DOC Administrative Orders; DOC Memos to Heads of Contracting Offices; Office of Management and Budget Circulars.

Nonrecord

Destroy when no longer needed.

28 Contract Performance and Evaluation Reports

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than real property and tax exemption records). Includes copies of records described above used by component elements of a procurement office for administrative purposes.

GRS 3, 3c

Destroy upon termination or completion.

29 Contracting Out for Services (A-76)

A-76 Circular, correspondence, and cost comparison studies in central files.

N1-241-05-1:6b

Temporary: Destroy when 3 years old.

30 IT Procurement Product Deliverables Tracking and Reporting

Contract deliverables, incoming and outgoing correspondence. Reports including overdue and pending deliverables, past due responses, and projected deliverables.

N1-241-05-1:3d (Previously N1-241-96-5:53)

Temporary: Destroy official deliverable 6 years and 3 months after the close of the related contract.

Architecture and Systems Development Acquisition Branch

Workforce Development Division

31	Agency Award Nomination Lists and Indexes Lists of nominees and winners; and indexes of nominations for agency award nominations.	GRS 1, 12d Destroy when superseded or obsolete.
32	Duplicate OPF Documentation Duplicate Documentation - Other copies of documents duplicated in OPFs not provided for elsewhere in GRS 1, 18.	GRS 1, 18b Destroy when 6 months old.
33	General Employee Awards Files Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. EXCLUDING those relating to department-level awards.	GRS 1, 12a Destroy 2 years after approval or disapproval.
34	Incentive Awards Program Reports Reports pertaining to the operation of the Incentive Awards Program.	GRS 1, 13 Destroy when 3 years old.
35	Subject and Office Records Includes briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.	GRS 24, 6 Cut off annually. Destroy/delete when 5 years old.

Workforce Development Division (Cont.)**36 Training Records**

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]

- a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.
 - (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.
 - (2) Background and working files.
- b. Employee training - Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

GRS 1, 29

- a.
 - (1) Destroy when 5 years old or 5 years after completion of a specific training program.
 - (2) Destroy when 3 years old.
- b. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

[NOTE: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP**37 Active Station Ports / Growth Report**

Monthly and cumulative statistics for growth at the USPTO measured by active station ports.

GRS 24, 1a

copies only sent to VSG and Contract Management Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

38 Annual Telecommunications Roadmap

Provides an evolutionary planning record for the voice infrastructure at the USPTO.

GRS 24, 1a

Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

39 Bay Face Report

Details installed configuration by building, column, shelf, and card physical location and layout.

GRS 24, 1a

Copies only sent to VSG and Contract Management. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

40 Communication Server and PBX Licenses Inventory

Analysis for remaining installed licensing capacity in the voice infrastructure.

GRS 24, 3a

Destroy/delete 1 year after completion of the next inventory.

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)

41	Computer Equipment Orders Orders for USPTO workstations, hardware moves and deployment.	GRS 24, 3b(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.
42	CPU Replacement Program Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.	GRS 24, 3b(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.
43	Daily Operations Report Report that provides details on daily operation activities with the VSG group.	GRS 24, 3b(1) Destroy/delete 1 year after termination of system.
44	Growth Matrix Mathematical spreadsheet showing detailed differences between forecasted and actual growth parts on site at the USPTO.	GRS 24, 8c Destroy/delete when 3 years old.
45	Help Desk Reports Monthly and cumulative statistics for Help Desk trouble tickets worked by VSG. Includes productivity report and report that tracks trouble issues as a percentage of active stations.	GRS 24, 10b Destroy/delete when dissemination, revision, or updating is completed.
46	Home User Program Records for projects that are implemented	GRS 24, 11b Destroy/delete 5 years after project is terminated.

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)

47	Information Technology Facilities Management System - Randolph Square NTSG Project Manager	GRS 24, 2	
	Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.		Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.
48	IT Asset and Configuration Management Files	GRS 24, 3	
	a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.		a. Destroy/delete 1 year after completion of the next inventory. b(1) Destroy/delete 1 year after termination of system. b(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner. [Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]
49	IT Asset and Configuration Management Files - Spare Equipment Inventory	GRS 24, 3a	
	Provides details on the availability of inventory on-site at the USPTO for both part replacements and new growth. Includes "sparing matrix" spreadsheet providing details on differences between recommended and actual spare parts on site at the USPTO.		Destroy/delete 1 year after completion of the next inventory.
50	IT Operations and Performance Records and Reports	GRS 24, 8a,b	
	a. Workload schedules, run reports, and schedules of maintenance and support activities. Includes monthly and cumulative statistics for moves, adds and changes (MAC) and monthly operation activities worked by VSG. b. Problem reports and related decision documents relating to the software infrastructure of the network or system.		a. Destroy/delete when 1 year old. b. Destroy/delete 1 year after problem is resolved.

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)

51 IT Problem Reports	<p>a. Workload schedules, run reports, and schedules of maintenance and support activities.</p> <p>b. Problem reports and related decision documents relating to the software infrastructure of the network or system.</p>	GRS 24, 8a,b	<p>a. Destroy/delete when 1 year old.</p> <p>b. Destroy/delete 1 year after problem is resolved.</p>
52 Network and Security Monitoring Form	<p>Network and Security Monitoring Forms</p>	GRS 24, 7	<p>Destroy/delete 3 years after all necessary follow-up actions have been completed.</p>
53 Network Cable Management for PFW	<p>Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.</p>	GRS 24, 2	<p>Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.</p>
54 Network Security and Monitoring Forms	<p>Network Security and Monitoring Forms</p>	GRS 24, 7	<p>Destroy/delete 3 years after all necessary follow-up actions have been completed.</p>
55 OCIO Telecommunications Services Deployment Overview	<p>Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.</p> <p>Provides a monthly snapshot of the different types of technology deployed by product type.</p>	GRS 24, 8c	<p>Destroy/delete when 3 years old.</p>

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)

<p>56 Orders for Computer Equipment/Workstation, Hardware Moves-Deployment Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:</p> <p>Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.</p>	<p>GRS 24, 3b(1) Destroy/delete 1 year after termination of system.</p>
<p>57 Private Branch Exchange (PBX) Analyses and Outage Logs Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.</p> <p>Includes the following USPTO records:</p> <ul style="list-style-type: none"> - Reliability analysis for the USPTO voice system infrastructure - Details outage times and calculates how they are factored into the Manufacturers "5-Nines" reliability. - Wired vs Equipped Capacity Analysis - Analysis for remaining installed physical capacity in the TDM PBX. - Log that provides details regarding PBX power outages at the USPTO. 	<p>GRS 24, 8c Destroy/delete when 3 years old.</p>
<p>58 Project Budget/Planning Data Worksheet Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:</p> <p>(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.</p> <p>(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p>	<p>GRS 24, 3b (1) Destroy/delete 1 year after termination of system. (2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.</p>
<p>59 PTONet Files Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.</p>	<p>GRS 24, 3a Destroy/delete 1 year after completion of the next inventory.</p>

NETWORK AND TELECOMMUNICATIONS SERVICES GROUP (Cont.)

<p>60 PTONet, Phone and Computer Change Records Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.</p>	<p>GRS 24, 3a Destroy one year after completion of next inventory.</p>
<p>61 Quarterly Traffic Studies Provides capacity analysis and utilization statistics for the core voice infrastructure. Includes processor, loop and trunk traffic analysis.</p>	<p>GRS 24, 1b Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.</p>
<p>62 System Backups and Tape Library Records a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. is verified as successful or when no longer needed for system restoration, whichever is later.</p>	<p>GRS 24, 4 a(1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. a(2) Delete/destroy full backup tapes when second subsequent backup</p> <p>[Note: See GRS 20, item 8, for backups of master files and databases.]</p> <p>b. Destroy/delete when superseded or obsolete.</p>
<p>63 Voice Components by Building Detailed report of components installed in each of the USPTO core buildings by type and part number.</p> <p>Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:</p> <p>(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.</p> <p>(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p>	<p>GRS 24, 3b (1) Destroy/delete 1 year after termination of system. (2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.</p>
<p>64 Weekly Operations Report Report that provides details on weekly operation activities with the VSG group.</p>	<p>GRS 24, 8c Destroy/delete when 3 years old.</p>

Network Engineering Division**Network and Telecommunication Services Division**

65	PTOnet Change Control Database Electronic database allowing the tracking of PTOnet changes. The database supplements INFO/MAN and contains PTOnet specific details which are not contained in INFO/MAN.	GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
66	PTOnet Fiber Optic Backbone and Line Drop Plan Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.	GRS 24, 3a Destroy/delete 1 year after completion of the next inventory.
67	PTOnet Inventory of Intelligent Communication Devices Document listing the intelligent data communication devices (routers, hubs, gateways, and servers) allowing communications through PTOnet. List includes the equipment by make and model, location, and pertinent capacity or configuration information.	GRS 3, 9(a) Destroy 2 years from date of list.
68	PTOnet Line Drop Database Files Electronic database maintained in PARADOX recording designation, location, and address of all PTOnet data access points throughout USPTO. Required as a part of the documentation of the PTOnet architecture. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.	GRS 24, 3a Destroy/delete 1 year after completion of the next inventory.

Network and Security Operations Division

Network and Security Operations Division (Cont.)**69 Computer Security Incident Handling, Reporting and Follow-up Records**

Records of specific security breaches, break-ins, intrusions and various reporting of improper use. Includes follow-up actions.

Includes the following specific USPTO records:

- Enterprise Management System (EMS) records
- Internet content filter results
- Audit logging services
- Intrusion detection system logs

GRS 24, 7

Destroy/delete 3 years after all necessary follow-up actions have been completed.

70 Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records - Log Files

Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

GRS 20, 1c

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

71 IT Security Administrative Guidelines

Contains policy, procedures and guidance for use for the following technological areas:

- IT Security Administrative Order Appendix G - Acceptable Use IT Resources, e-mail, and the Internet Policy
- IT Security Administrative Order Appendix I - Network and AIS Audit, Logging, and Monitoring Policy
- IT Security Administrative Order Appendix M - Incident Reporting and Handling Policy
- IT Security Administrative Order Appendix N - IT Security Education, Awareness, and Training Policy
- IT Security Administrative Order Appendix R - Security Patch Management Policy
- IT Security Administrative Order Appendix U - Wireless Devices and Networks Policy
- IT Security Administrative Order Appendix Y - Web Server Security Policy

GRS 27, 6

Cut off annually. Destroy/delete when 5 years old.

Network and Security Operations Division (Cont.)**72 IT Security Administrative Orders**

- a. System Security Plans and Disaster Recovery Plans.
- b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

Includes the following USPTO records:

- Appendix M - Incident Reporting and Handling Policy
- Appendix N - IT Security Education, Awareness, and Training Policy
- Appendix R - Security Patch Management Policy
- Appendix U - Wireless Devices and Networks Policy
- Appendix Y - Web Server Security Policy
- Federal Information Systems Minimum Security Requirements

GRS 24, 5a,b

- a. Destroy/delete 1 year after system is superseded.
- b. Destroy/delete 1 year after system is superseded.

73 National Institute of Standards and Technology (NIST) Guidelines

Details processes, requirements and guidelines for the following NIST Guides:

- NIST SP 800-16 Information Technology Security Training Requirements: A Role- and Performance-Based Model
- NIST SP 800-30 Guide to Malware Incident Prevention and Handling
- NIST SP 800-50 Building an Information Technology Security Awareness and Training Program
- NIST SP 800-92 Guide to Computer Security Log Management
- NIST SP 800-94 Guide to Intrusion Detection and Prevention Systems (IDPS)

Nonrecord

Destroy when no longer needed for reference.

74 Network Device Configurations

Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

GRS 24, 3a

Destroy/delete 1 year after completion of the next inventory.

75 Reference Files, Office Administration

Office reference archive files within NSOD.

Contains the following specific USPTO records:

- Reference Archive Files
- Reference Procedures
- Reference Contacts/Schedule

Nonrecord

Destroy when no longer needed.

Network and Security Operations Division (Cont.)

<p>76 Strategic Information Technology Plan FY 2007 - FY 2012 Details the five-year program for implementing the USPTO's information technology program and links the strategic vision, goals, and objectives of the OCIO to those of the USPTO and the Department of Commerce (DOC).</p>	<p>Nonrecord Destroy when no longer needed.</p>
<p>77 USPTO Enterprise Operations Center (EOC) Security and Operating Procedures Includes Standard Operating Procedure covering reporting and notification of USPTO leadership and hierarchical organization structure related to security events. Also includes SOP for covering the classification and hand-off of security events among internal USPTO divisions.</p>	<p>GRS 24, 1a Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.</p>
<p>78 USPTO Firewall Logs Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>79 USPTO Internal Inventory and Audit of IT Assets Inventory of USPTO IT assets and critical networks/systems.</p>	<p>GRS 24, 3a Destroy/delete 1 year after completion of the next inventory.</p>
<p>80 USPTO IT Security Standards Includes plans, processes and data for the following USPTO technological areas: - Risk Assessment - Security Controls - Security Controls Assessment</p>	<p>GRS 24, 5a,b Destroy/delete 1 year after system is superseded.</p>
<p>81 USPTO IT Security Standards - Certification and Accreditation Detailed requirements for conducting certification and accreditation activities within USPTO.</p>	<p>GRS 24, 5a Destroy/delete 1 year after system is superseded.</p>
<p>82 USPTO Threat Assessment Details currently existing and potential threats to USPTO networks, systems, and data.</p>	<p>GRS 24, 5a Destroy/delete 1 year after system is superseded.</p>

BUDGET AND FINANCE DIVISION

- | | |
|--|---|
| <p>83 Activity Based Cost Accounting (ABC)
 Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency.</p> <p>Includes specifically records for ABC.</p> <p>[Note: Official agency policy records generated by the CIO are not covered by this item. They are considered agency policy and issuance records and are scheduled elsewhere.]</p> | <p>GRS 27, 6
 Cut off annually. Destroy/delete when 5 years old.</p> |
| <p>84 Budget Execution
 Non compensation daily files (requisitions, credit cards and supply ticket documents, Enterprise Data Warehouse (EDW) daily files, and Executive Information System (EIS) reports for data quality assurance), compensation bi-weekly files, monthly budget binders, monthly IT Liaison reports, and operating, procurement, travel, training and hiring plans.</p> | <p>GRS 5, 2
 Destroy 1 year after the close of the fiscal year covered by the budget.</p> |
| <p>85 Budget Models and Briefings
 Statistical models, spreadsheets, data files and other records used to analyze forecasts of USPTO budget information. Also, models used for reconstruction and research, and materials used to brief new budget analysts, new directors and others in the USPTO. These are records not covered under the GRS or other budget retention series.</p> | <p>N1-241-05-1:6c
 Temporary: Destroy when no longer needed.</p> |
| <p>86 Budget Planning and Evaluation
 File copies of budget estimates comprising appropriation language sheets, narrative statements, and related data. Includes cost statements, rough data, and similar materials used to prepare annual budget estimates; justifications, correspondence regarding policy and procedures governing budget administration, reports, spreadsheets, trend analysis, appropriation language sheets, narrative statements, and related schedules used to forecast budgets.</p> | <p>N1-241-05-1:6a (Previously N1-241-03-1)
 Temporary: Destroy 10 years after closure.</p> |
| <p>87 Budget Validation/Formulation
 Estimates of operations, corrective maintenance, and projects based on guidance and customer input. Includes budget formulation guidance, budget drafts for operations and corrective maintenance, list of projects, project resource estimate worksheets (PREWS), and the final published budget.</p> | <p>N1-241-05-1: 6a
 N1-241-05-1: 6a (Previously N1-241-03-1). Destroy when 10 years old.</p> |

BUDGET AND FINANCE DIVISION (Cont.)**88 Financing of IT Resources and Services**

[Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

- a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.
- b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.
- c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.

Includes the following records:

- Financial Obligation Plan
- Project Resource Estimation Worksheet

89 IT Capital Investment Records

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Includes the following specific USPTO records:

- Program Code Request Form/Review
- Capital Investment Decision Paper
- Estimates of Alternative Costs
- Cost Benefit Analysis
- CIDP Approvals
- Report on Financial Progress
- CPIC Board Records

[Note: Records needed to support contracts are scheduled under GRS 3.]

GRS 24, 9

- a. Destroy/delete 3 years after agreement is superseded or terminated.
- b. Destroy/delete 3 years after control measures or procedures are superseded or terminated.
- c. Destroy/delete records with no outstanding payment issues when 3 years old.

GRS 27, 3

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

CUSTOMER INFORMATION SERVICES GROUP

90	Budget Tracking Files Files and electronic spreadsheets used to track Division expenditures for budgetary control.	GRS 23, 1 Destroy when 2 years old.
91	Documents Published in the Federal Register Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.	GRS 16, 13a Destroy when 1 year old. [NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.]
92	Finding Aids (or Indexes) Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	GRS 20, 9 Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.
93	Forms Files a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form. b. Background materials, requisitions, specifications, processing data, and control records.	GRS 16, 3 a. Destroy 5 years after related form is discontinued, superseded, or canceled. b. Destroy when related form is discontinued, superseded, or canceled.
94	Indexes and Check Lists Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.	GRS 14, 6 Destroy when superseded or obsolete.
95	Information Project Files Information service project case files maintained in formally designated information offices.	GRS 14, 4 Destroy 1 year after close of file or 1 year after completion of project.

CUSTOMER INFORMATION SERVICES GROUP (Cont.)**96 Information Requests Files**

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

GRS 14, 1

Destroy when 3 months old.

97 Input/Source Records

a. Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

- (1) Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format.
- (2) Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion.
- (3) Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations).
- (4) Hard copy documents other than those covered by Items 2(a) (1) - (3).
[analog sound recordings.]

b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

c. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

GRS 20, 2

a.

- (1) Permanent. Transfer to NARA in accordance with previously approved schedule.
- (2) Permanent. Transfer to NARA in accordance with previously approved schedule.
- (3) Apply previously approved schedule.
- (4) Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.
[NOTE: The term hard copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and

b. Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.

c. Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.

d. Delete after the necessary data have been incorporated into a master file.

98 Technical Reformat File

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

GRS 20, 7

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

99 U.S. Patent and Trademark Office Historical Reference Materials

These materials were once in use by the USPTO as active records for conducting business; they are currently used for agency business as public reference materials. They date to the 19th and 20th centuries and includes "prior art" files seized from Germany during WWII.

N1-241-05-2:1c

Permanent: Transfer to NARA when no longer needed for agency business.

CUSTOMER INFORMATION SERVICES GROUP (Cont.)**100 USPTO Non-Core Products and Publications (NARA Copy)**

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 and related indexes, published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale.

N1-241-05-2:1d

Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

Public Records Division**101 Correspondence with Attorneys on Recordations**

Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.

N1-241-05-2:4

Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference, whichever is sooner.

102 Customer Order Transaction Reports

Reports used primarily to track customer order information. Includes patent and trademark copy sales, Patent Cooperation Treaty-related transactions, and various electronic products information. Reports are used to reconcile balances and for statistical reporting of international fee activity. Includes status reports used to administer Patent Maintenance Fee program and statistical information on the processing and production of orders

N1-241-05-1:5d

Temporary: Destroy when 2 years old.

Public Records Division (Cont.)**103 Patent and Trademark Assignment System (PTAS)**

Patent and Trademark Assignment System (PTAS) supports processing of assignment documents through image capture OCR text capture automated workflow processing and generation of computer output microfilm (COM) of recorded documents from scanned images. Work-in-process text and image data for new assignments submitted for recordation and documents submitted for correction are stored on the PTAS server databases until recordation. When deemed recordable text data is transmitted to the Assignments Historical Database (AHD) for permanent storage.

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 and related indexes, published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale.

104 Recordation Request Process Records

Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.

N1-241-05-2:1d (Previously N1-241-96-5:67b)

Permanent: Transfer publicly available core publications to NARA annually when 5 years old

N1-241-05-2:4

Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference, whichever is sooner.

Document Services Branch

<p>105 Certification Records Customer request information (currently kept in OEMS) used to track, report, and follow up on the certification process. Maintained by OCTO on PTOnet.</p>	<p>GRS 24, 10b Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>106 Copy Request Correspondence Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.</p> <p>Related correspondence requesting copies of:</p> <ul style="list-style-type: none"> - Patents - Trademarks - Defensive publications - Re-examination certificates - Statutory invention registrations - Disclaimer documents - Certificates of Correction and Post-Issuance Documents (PIDs) - Withdrawal notices - Official Gazettes - Pre-grant publications (PGPub) 	<p>GRS 14, 1 Destroy when 3 months old.</p>
<p>107 Customer Order Transaction Reports Reports used primarily to track customer order information including patent and trademark copy sales and various electronic products information. (NOTE: Actual Patent and Trademarks copy sales transaction receipts now go to Office of Finance Maintenance Fee Branch – GRS 6, 1a)</p>	<p>N1-241-05-1:5d (Previously N1-241-01-01:1b) Temporary: Destroy when 2 years old.</p>
<p>108 Government Register Copies of documents which license to the Federal Government, the rights, title and interest to patents and trademarks.</p>	<p>N1-241-96-4:3 Close files at the end of the fiscal year and transfer to the Certified Records Center five years after closure. Destroy 25 years after closure.</p>

Document Services Branch (Cont.)**109 Orders For USPTO Document Copies**

Orders requesting copies of certified and uncertified Patent and Trademark documents. Includes paper faxed orders or electronic orders filed through OEMS. The electronic order (located in OEMS) is the original record.

GRS 6,1a

Destroy 6 years and 3 months after order placed.

110 Preliminary Input Files for Dissemination Products and Publications

Working copies, drafts, correction notices and the like are used to create a final product or publication that has a temporary disposition. These include final drafts of information pages and brochures, drafts of assignment source materials, draft galley inputs to the Official Gazette, and PTDL program and newsletter publication drafts.

N1-241-05-2:4 (Previously N1-241-96-4:1)

Temporary: Destroy 6 months after issue of the related publication, or when no longer needed for reference, whichever is sooner.

111 Trademark Application-As-Filed

Image of the Trademark application-as-filed as submitted to the USPTO. Record copy of application retained in the Trademark Case File. Filed by serial number. Used for reference.

NOTE: Microfilm master is maintained by the Office of Trademark Services.

Nonrecord

Destroy copies when no longer needed.

112 Trademark Registrations - MICROFILM

Microfilm copy of registered Trademarks. Used for reference.

NOTE: Microfilm master maintained by the Trademark Search Library.

Nonrecord

Destroy when no longer needed.

Public Information Services Division

Public Information Services Division (Cont.)**113 Abandoned Trademark Applications**

Trademarks applications abandoned after opposition or failure to respond to office action. Application is also called "Drawing Page". Records consist of a single sheet per entry and include applicant address, goods, date of prior use, and date of abandonment by applicant. Paper file was filmed in 1970, 1980, and 1990, then destroyed as paper file. Current paper file is approximately 1990 to May 2001 data (ceased filing in November 2001). Used as the public reference copy:

- a. Microform master
- b. All other copies.
- c. Paper search record.

Nonrecord

Destroy when no longer needed for current agency business.

114 ASIGN CD ROM

The ASIGN CD-ROM is a subsystem of CASSIS. This system allows electronic searching of assignment information by patent number, serial numbers of issued patents, patent title, date of issue, date of recording, microfilm reel/frame number and includes assignment brief.

Nonrecord

Destroy when superseded or no longer needed for public reference.

115 Certificate of Corrections - MICROFILM

Microfilm copy of certificate issued when an inventor wishes to make minor corrections of a technical or clerical nature to an application after the patent has been issued. Paper record copy of certificate contained in patent case file.

Nonrecord

Destroy when no longer needed.

116 Classified Patent Search Files

Copies of printed domestic patents. Domestic patents are arranged first by US Patent Classification System group and then by subgroup. These copies are used to facilitate public patent searches by class and subclass.

Nonrecord

Destroy when no longer needed for public reference.

117 Defensive Publications

Publications that are used to prevent others from obtaining a patent on a prior invention by publishing its description in the Official Gazette or other publications. Includes bound volumes and microfilm.

Nonrecord

Destroy when superseded or no longer needed for public reference.

118 Design Patent Drawings - MICROFILM

Microfilm copy of design patent drawings. Paper record copy of design patents stored at Cinderbed and the Certified Records Center.

NOTE: Second generation archival microfilm is maintained by OIPD.

Nonrecord

Destroy when no longer needed.

Public Information Services Division (Cont.)**119 Expired and Cancelled Trademark Registrations - MICROFILM**

Expired and cancelled marks removed from search area at 10-year intervals. Records do not include application, documentation, or correspondence. Records cover period from 1870 to 1986. Public search copy:

- a. Microform master
- b. All other copies.

Nonrecord

Destroy when no longer needed for current agency business.

120 Freedom of Information Act (FOIA) Indexes

Indexes of decisions of the Commissioner and various boards that are made available to the public as a result of the Freedom of Information Act, that include, but are not limited to:

- Commissioner's Decisions Index of Denied Petitions
- Commissioner's Decisions Extension of Patent Term
- Commissioner's Decisions Trademark Index of Final Decisions
- Index to Trademark Trial and Appeal Board Decisions
- Index to Inter Partes Decisions of Board of Appeals and Interferences
- Index to Ex Parte Decisions of Board of Appeals
- Commissioner's Decisions Disciplinary Actions

Record copies of these indexes located in the respective program offices.

Nonrecord

Destroy when superseded or no longer needed for public reference.

121 Information Desk Library

Library consisting of general information publications, such as:

- APS Fact Sheet
- Fee Sheet
- Foreign Patent Documents
- Patent Profiles
- PTDL APS Libraries
- PTDL Libraries
- PTO Map
- Search Room Guide
- Search Room News
- Technology Assessment and Forecast
- Trilateral Statistical Reports.

Nonrecord

Destroy when superseded or no longer needed for reference.

122 International Patent Classifications and Index

Printed and Microfiche copies of cross reference sheets listing international classification number and corresponding U.S. classification numbers. Microfilm copy of index maintained by the USPTO which lists all 66,000 categories used to classify patented U.S. inventions used for reference. Used for public reference.

NOTE: Microform master is maintained by the International Patent Classification Group - SIR.

Nonrecord

Destroy when superseded or no longer needed for public reference.

Public Information Services Division (Cont.)

- | | |
|---|---|
| <p>123 IT Customer Service Files - Instructions
Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.</p> | <p>GRS 24, 10a
Destroy/delete 1 year after record is superseded or obsolete.</p> |
| <p>124 Manual of Patent Examining Procedure
Copy of the current edition of the manual used by the examiners to review patent applications. Manual lists examining requirements and legal rights of applicants and inventors. Used for public reference.</p> | <p>Nonrecord
Destroy when superseded or no longer needed for public reference.</p> |
| <p>125 Manual of Patent Examining Procedure - MICROFILM
Microfilm copy of the official manual used by the examiners to review patent applications. Manual lists examining requirements and legal rights of applicants and inventors. Used for public reference.
Note: Microform master is maintained by Office of Patent Policy Dissemination.</p> | <p>Nonrecord
Destroy when no longer needed.</p> |
| <p>126 Official Gazette of the United States Patent and Trademark Office: Patents
The Official Gazette contains an abstract and a representative drawing of each patent granted that week in patent number order with an index by patentee and class/subclass. In addition, it includes a variety of patent-related information such as disclaimers, certificates of correction, rule changes, fees, expired patents, reissues, litigation, re-examinations. This series consists of a collection of the Official Gazette used for public reference. A record copy of the Official Gazette is preserved at Boyers.</p> | <p>Nonrecord
Destroy when superseded or no longer needed for public reference.</p> |
| <p>127 Patent Assignment Deeds and Indexes (Library Reference Material)
Microfilm copy of each assignment deed accepted for recordation and the microfilm index to patents containing the names of the assignee and assignor. Original assignment document returned to applicant. Includes card index of assignments including the inventors index, the assignor index, and the assignee index. Includes reel and frame number index to microfilm:
a. Microfilm master
b. Microfilm copy
c. Card indexes.</p> | <p>Nonrecord
Destroy when superseded, obsolete, or no longer needed for current agency business.</p> |

Public Information Services Division (Cont.)**128 Patent Classifications - MICROFILM**

Microfilm copy of U.S. patent classifications. Includes class/subclass duplicates and numeric list duplicates.

NOTE: Office maintaining microform master has not been inventoried. Presumed to be SIR - Classification Operations, Editorial Division.

Nonrecord

Destroy when no longer needed.

129 Patent Reissues and Index - MICROFILM

Microform copy of reissues. Reissues are granted when a patent is wholly or partly inoperative or when the owner wishes to change or correct the specifications of the issued patent. Includes microfilm of reissues and microfiche used to cross-index from Original to Reissued patent number. Record copy of the reissued patent maintained as a separate case file. Used for public reference:

- a. Second generation archival microfilm.
- b. All other copies.

Nonrecord

- a. Destroy when superseded, obsolete or no longer needed for current agency business.
- b. Destroy when superseded, obsolete or no longer needed for current agency business.

130 Patent Reissues and Index - MICROFORM

Microform copy of reissues. Reissues are granted when a patent is wholly or partly inoperative or when the owner wishes to change or correct the specifications of the issued patent. Record copy of the reissued patent maintained as a separate case file. Used for public reference.

NOTE: Second generation archival microfilm is maintained by OIPD.

Nonrecord

Destroy when superseded or no longer needed for public reference.

131 Patent Search Room Locator

A guide used by the public to locate paper file of patents by class and subclass. Individual patents in the process of being reclassified have been removed from the stacks, and the guide identifies the class and subclass for the return of these patents.

Nonrecord

Destroy when superseded.

132 PTDL Search System Use-Level Reports

Patent and Trademark Depository Libraries (PTDL) subscribe through this Office for access to online patent and trademark text files. Reports of each PTDL connect time are provided as statements of their subscription account, and a copy is maintained in the Office for reference.

N1-241-96-4:48

Destroy when 3 years old.

Public Information Services Division (Cont.)**133 Public Search Files of U.S. Patents**

Less active copies of printed patents arranged by class and subclass, and thereunder by patent number. These records are used to facilitate internal and external patent searches by class and subclass.

N1-241-96-4:23

Break least active class and subclass records and transfer to the Certified Records Center. Withdraw from the Certified Records Center or destroy in 2027. These records are not eligible to be stored in the Certified Records Center system after 2027.

NOTE: Least active files are defined as those classes and subclasses that receive fewer than 50 reference requests per year.

134 Public Search Room Production and Services

Reports of USPTO public search room administration, including comments from the public related to service issues, reports on activities, such as production and general activities.

N1-241-05-2:6d (Previously N1-241-96-4:21, N1-241-96-4:46)

Temporary: Destroy when 2 years old

135 Published Trademarks - MICROFILM

Microfilm copy of trademarks arranged by words and applicable designs classifications. Covers approximately 1920s to 1950s (10 reels). Used for public reference:
a. Master copy
b. All other copies.

Nonrecord

Destroy when no longer needed for current agency business.

136 Reclassification of U.S. Patents - MICROFILM

Microfilm copy of reclassification transfer records including the original with cross references.

Note: Office maintaining microform master has not been inventoried. Presumed to be SIR - Classification Operations, Editorial Division.

Nonrecord

Destroy when superseded, obsolete, or no longer needed for current agency business.

137 Reclassification Orders

Copies of paper orders that identify classifications that are established or abolished as a result of reclassification projects. These orders are used to bridge the gap between the time the change is officially made and the time that search tools are updated to include the new information.

Nonrecord

Destroy when superseded or no longer needed for current agency business.

Public Information Services Division (Cont.)**138 Registered Trademarks**

Classified paper copies of Trademarks registered by the USPTO for national and international business, government, membership, and service organizations. Records consist of individual sheets by registration number cross-filed in the appropriate design categories and in the following groups: words, international registrations, art of manufacturing, and color marks. Includes foreign marks submitted under the Paris Convention by the WIPO and government agencies which entered their logos and weapons names into the search files under Executive Order 11628, FR vol. 36, No. 203, Oct. 20, 1971. Covers records from 1870 to the present for paper copies. Used as the public reference copy.

Nonrecord

Destroy when no longer needed for public reference.

139 Registrant's Index

Card files and microfilm records of the Index to registrant's name. Index includes line of goods, serial number, registration number, and registration date. Maintained in separate series for years 1931-1966, and 1966 to present. The original card files are also the public reference copy. Card files date from 1955 to 1991, and microfilm dates from 1931 to 1966. Card files cease in 1991 and have been replaced by the online system PC-TRAM.

N1-241-05-2:1d

Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

140 Search Room Online Service Accounts

File of applications for public use of the Patent Search Room systems.

N1-241-05-2:6g

Temporary: Destroy after all credentials are accounted for

141 Trademark Adversary Proceedings Index

Index of proceedings separated into oppositions, defendants, plaintiffs, and decisions. Records cover period from the 1940's to 1995. Used as the public reference copy:

- a. Index cards
- b. Microfilm of index cards.

N1-241-96-4:44

Permanent. Transfer to NARA when no longer needed for agency business.

142 Trademark Applications Pending

Paper Copies of drawings from classified applications currently under review by examiners. Filed by trademark word and under appropriate design classifications. Used as the public reference copy.

Nonrecord

Destroy application copies when registered, or refile as abandoned applications.

143 Trademark Applications-As-Filed - MICROFILM

Trademark applications without the file wrapper. Records include 73 series: to 76 and 78 series; covering period from 1980 to 1999. Ceased in 1999 and replaced by online system TICRS. Used as the public reference copy.
NOTE: Microfilm master maintained by the Office of Trademark Services.

Nonrecord

Destroy when no longer needed for public reference.

Public Information Services Division (Cont.)**144 Trademark Docket Cards**

Tracking records used to assign examiners and to monitor activity of trademark applications during processing for registration. Cards also serve as an index to registrations. Each card contains class, filing date, serial number, registrant, trademark, and address. Examiner's name is handwritten on upper left corner. Some cards are stamped "Abandoned" with date after cards were microfilmed then cards destroyed. Coverage Tracking records used to assign examiners and to monitor activity of trademark applications during processing for registration. Cards also serve as an index to registrations. Each card contains class, filing date, serial number, registrant, trademark, and address. Examiner's name is handwritten on upper left corner. Some cards are stamped "Abandoned" with date. Trademark Docket Cards succeeded the Examiners Registrations/Trademark Operations series. The TRAM II system has succeeded the Trademark Docket Cards; cards were not converted to TRAM. Cards stored in boxes. Used as the public search copy.

145 Trademark Registrations with U.S. Customs Under Section 42

Copies of trademarks filed by registration number which have been sent to the U.S. Customs Service to prevent importation of products bearing forged trademarks or marks likely to be confused with registered trademarks by unsuspecting buyers. Records include registrations 70,001-380,001 covering the period from 1908 to 1961. These are paper copies of registrations filed in 3 or 4 drawers with paper files.

146 Trademark Suits Index

Index of civil lawsuits involving trademark disputes originally maintained in the Solicitor's Office. Separate indexes for decided, pending, plaintiff, defendant, cross-reference, and a single drawer of cross-reference for patent suits. Discontinued by the Solicitor's Office in 1985 when LitAlert began collecting and publishing the information. Used as the public reference copy.

147 U.S. Patent and Trademark Office Historical Reference Materials

These materials were once in use by the USPTO as active records for conducting business; they are currently used for agency business as public reference materials. They date to the 19th and 20th centuries and includes "prior art" files seized from Germany during WWII.

148 U.S. Statutory Invention Registrations (SIR)

Copies of statutory invention registrations. Includes bound volumes and microfilm. Used for public reference.
NOTE: Second generation archival microfilm is maintained by OIPD.

N1-241-05-2:1d (Previously N1-241-96-4:38)

Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.

Nonrecord

Destroy when no longer needed for public reference.

N1-241-05-1:2a (Previously N1-241-96-4:43)

Temporary: Destroy when no longer needed.

N1-241-05-2:1c (Previously N1-241-96-4:26, N1-241-96-4:34, N1-241-96-4:35, N1-241-96-4:44a)

Permanent: Transfer to NARA when no longer needed for agency business.

Nonrecord

Destroy when superseded or no longer needed for public reference.

Public Information Services Division (Cont.)**149 Visitor Badges**

Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

GRS 11, 4a

Destroy credentials 3 months after return to issuing office.

USPTO Contact Center Branch**150 IT Customer Service Files**

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

GRS 24, 10

- a. Destroy/delete 1 year after record is superseded or obsolete.
- b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

Patent and Trademark Depository Library Program (PTDLP)**151 Classification Definitions - MICROFICHE**

Microfiche copy containing official definitions of classes and subclasses used to organize patents. Used for public reference.
NOTE: Microform master maintained by Editorial Division/SIR.

Nonrecord

Destroy when superseded or no longer needed for public reference.

152 Core Collection of PTDL Reference Materials

Materials provided to each PTDL and remaining the property of the USPTO. They consist entirely of USPTO or other related publications in paper, microform, or electronic media, and are nonrecord textual reference materials for purposes of 44 USC 3301. Entire collection is listed in Core Collection of Reference Materials and Tools which is maintained by this Office.

Nonrecord

Redistribute in accordance with USPTO and Government property management regulations, if a PTDL becomes inactive.

153 Local Hard Drive Backup Cartridges

Weekly hard drive backups within PTDLP.

GRS 20, 8b

Delete when the identical records have been deleted or when replaced by a subsequent security backup file.

Patent and Trademark Depository Library Program (PTDLP) (Cont.)**154 Patent and Trademark Depository Library (PTDL) Dissemination Files - Temporary** **N1-241-05-2:2 (Previously N1-241-96-4:10, N1-241-96-4:12, N1-241-96-4:14, N1-241-96-4:15, N1-241-96-4:9)**

The USPTO manages a national network of Patent and Trademark Depository Libraries and regional Partnership Libraries that supports the USPTO information services for the public. The USPTO provides information to these libraries, which are located throughout the United States. Materials include the correspondence with the program participants, memoranda, training and conference materials disseminated to the PTDLs.

Temporary: Destroy when 10 years old.

(Note: Copies are temporary and may be destroyed when no longer needed.)

Includes the following USPTO records:

- PTDL Annual Conference Files
- PTDLP Publications Files
- PTDL Partnership Library Archive Files
- PTDL Archive Files
- PTDLP Chron Files
- PTDLP Administrative Files
- PTDLP Commons Files
- PTDL Active Files
- PTDLP Numbered Memos Files
- PTDLP Subject Reference Files
- PTDLP Shared Files
- PTDL Datafile (Access Database)
- PTDLP Numbered e-mails Files
- PTDLP Subject Reference Archive Files
- PTDLP Web Files

155 Patent and Trademark Depository Library (PTDL) Partnership Files

Files containing the Service Level Agreements negotiated between USPTO and PTDLs and background source materials. Materials articulate rights and responsibilities of participants, and establish review periods and procedures. Arranged by PTDL.

N1-241-05-2:6a (Previously N1-241-96-4:11)

Temporary: Destroy 20 years after closure

156 Patent Status File Paper Index

Commercial paper index to commercial microfilm of post issue actions (such as re-issues, certificates of correction, disclaimers, dedications, etc.), which is housed in the Patent Search Room, in PTDLs, and at Boyers.

Nonrecord

Destroy when no longer needed.

157 Patent Status Files - MICROFILM

Commercial, second generation microfilm of post issue actions (such as re-issues, certificates of corrections, disclaimers, dedications, etc.) Copies of film used for public reference in Patent Search Room and PTDLs:

- a. Second-generation microfilm
- b. All other copies.

Nonrecord

- a. USPTO vital record. Send to Boyers.
- b. Destroy when no longer needed.

Patent and Trademark Depository Library Program (PTDLP) (Cont.)**158 Plant Patent Files - MICROFICHE**

- Color microfiche copy of the printed version of allowed plant patents:
- a. Microform master
 - b. All other copies.

Nonrecord

- a. USPTO vital record. Send to Boyers.
- b. Destroy when no longer needed.

159 PTDL Active Reference Files

Extensive nonrecord text reference materials (extra copies of articles, reports, manuals) covering all aspects of intellectual property in general, and patent and trademark processes in particular. Used to answer questions from PTDLs. Includes finding aid, "List of Active Files."

Nonrecord

Delete materials when no longer needed.

160 PTDL Subject Reference Archive

Consists of copies of older mailings, monthly reports, conference programs and reports, and reference material which have been removed from the "active" files at the time of purging, but which still are occasionally required.

Nonrecord

Purge materials when no longer needed for reference.

Public Search Facilities Branch**161 Annual Equipment Maintenance Service Agreements**

- a. Procurement or purchase organization copy, and related papers.
 - (1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").
 - (a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.
 - (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.
 - (2) Transactions dated earlier than July 3, 1995.
 - (a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.
 - (b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.

[NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the subitems to apply to a particular series of records.] Includes Procurement or purchase organization copy, and related papers.

Includes vendor agreements to maintain PSFB equipment (e.g. GBC binder).

GRS 3, 3a

- a.
 - (1)
 - (a) Destroy 6 years and 3 months after final payment.
 - (b) Destroy 3 years after final payment.
 - (2)
 - (a) Destroy 6 years and 3 months after final payment.
 - (b) Destroy 3 years after final payment.

162 Branch Time and Attendance Records

T&A records upon which leave input data is based (e.g. authorized premium pay, jury duty, etc.)

GRS 2, 8

Destroy after GAO audit or when 6 years old, whichever is sooner.

Public Search Facilities Branch (Cont.)

163 Building Addresses USPTO building location information used to guide public users to USPTO offices.	Nonrecord Destroy when no longer needed.
164 Contract Award Document Copies of records described above used by component elements of a procurement office for administrative purposes. Includes guidance for invoice approval.	GRS 3, 3c Destroy upon termination or completion.
165 Customer Infraction Files Records relating to public customer infractions of regulations; includes original communication, warning letters, and resolution.	N1-241-05-2:6c (Previously N1-241-96-4:19) Temporary: Destroy 5 years after the complaint is settled or the case is resolved, or 5 years after the last entry
166 FY08 PPA Time Codes WebTA/Office of Finance codes Budget Management tool.	Nonrecord Destroy when no longer needed.
167 Inactive Patents/Bound Volumes Listing Records Management reference for inactive patent files shipped to the Federal Records Center.	Nonrecord Destroy when no longer needed.
168 Information Contacts Subject Index USPTO Publication used as reference.	Nonrecord Destroy when no longer needed.
169 Momentum Entry Instructions/Training Notebook Agency instructions for processing Momentum Requisitions.	Nonrecord Destroy when no longer needed.

Public Search Facilities Branch (Cont.)**170 Office Administrative Files**

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Includes the following USPTO records:

- Branch Procedures for Supply Requests
- Cheat sheet for OLAC
- CISG/PISD Program Project Activity Approved Code List
- Customer Supply Order
- Equipment Move Document
- Form Authorizing Home Use of USPTO Assets
- Operational Supply Inventory reports
- Personal Property Accountability document (PTO Assets)
- Phone lists PISD/PSFB
- Phone Message Protocol
- Pre Purchase Card Worksheet
- Purchase Card Log
- Purchase Card Transactions and Requisitions
- Purchase Order
- Reference Desk Schedule
- Request, Authorization, Agreement and Certification of Training form
- Supply Requisitions
- Trademark Search Facility Repair Logs
- Training Roster for Security Guard Madison West
- Transit Subsidy Forms

GRS 23, 1

Destroy when 2 years old.

171 Official Search Requests, Terminated Patent and Trademark Searches

Unique request and tracking materials used to manage searches and location information for Patent and Trademark such as documents for patent or trademark applications, abandoned applications, case files, or trademark registrations. Contains history of the searcher's effort over the 30day search period and the outcome, and a copy of the letter to the requestor.

N1-241-05-1:7c

Temporary: Destroy when 2 years old.

172 Patent Information Databases

List of old and newly issued Reexams, Reissues and SIRS.

N1-241-05-2:5

Delete when no longer needed for current agency business.

Public Search Facilities Branch (Cont.)

173 PPA Account Dictionary Agency definitions for Program Project Activity codes.	Nonrecord Destroy when no longer needed.
174 Print Product Tracking Report Tracks delivery of the weekly issued patent documents received by PSFB.	N1-241-05-2:6e Temporary: Destroy 1 year after issue, or when no longer needed for reference, whichever is sooner
175 Procedures for WebTA processing Agency instructions for processing Momentum requisitions.	Nonrecord Destroy when no longer needed.
176 Project Files (Search Services Division) Files relating to various search service projects including, but not limited to: the development of the automated search system, fee collection systems, new search procedures, implementation of Pre-Grant Publications (PG Pub).	N1-241-05-2:6d (Previously N1-241-96-4:20) Temporary: Destroy when 2 years old; maintain no longer than 10 years.
177 Public Search Room Production and Services Reports of USPTO public search room administration, including comments from the public related to service issues, reports on activities, such as production and general activities.	N1-241-05-2:6d (Previously N1-241-96-4:22a, N1-241-96-4:22) Temporary: Destroy when 2 years old
178 Schedule of Employee's Daily Activities Employee's daily calendar appointments, work tasks and duty hours.	Nonrecord Destroy when no longer needed.
179 Schedule of Supervisor's Daily Activities List of tasks, appointments, events and meetings for PSFB Supervisors.	Nonrecord Destroy when no longer needed.
180 Summary of quality review TM Microfilm Project Sheets Project record quality review results.	N1-241-05-2:6f Temporary: Destroy when superseded by 2 editions.

Public Search Facilities Branch (Cont.)**181 Supervisors' Personnel Files**

Documents containing copies of employee PAP, list of accomplishments, assignments, kudos and other documents related to employee performance.

GRS 1, 18

Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

182 Training Material

Master copy of training manuals and instructor guides for EAST, WEST and X-Search are updated and copied for distribution as needed for training.

Nonrecord

Destroy when superseded or no longer needed.

183 User Manual for the On-Line Access Card

User Guide for the OLAC software module on PSFB desktop (reference desk).

GRS 23, 1

Destroy when 2 years old.

184 USPTO Non-Core Products and Publications (Extra Copies)

The USPTO PSFB disseminates extra copies of information to the public, some of which it also uses for internal functions. Information is published for public awareness and understanding of the USPTO functions and processes. These non-core USPTO products and publications include, but are not limited to the following:

N1-241-05-2:3

Temporary: Destroy 2 years after superseded.

- Basic Facts About Trademarks
- General Information Concerning Patents
- General Information Contact Booklet
- Information for USPTO Employees-Emergency Actions
- Notices of Suit
- Public Search Facility Information Pamphlet
- Reexam Certificates
- Reissue/Reexam Cumulative Listings
- Revised Fee Schedule
- Rules of the Road Services Guide
- Skillsoft E-Commerce Course Directory
- Statutory Invention Registration Certificates
- USPTO Emergency Card

185 Web TA Time and Attendance Records

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

GRS 2, 7

Destroy after GAO audit or when 6 years old, whichever is sooner.

Records Management

186 Information Collection Budget Files

USPTO reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

GRS 16, 12

Destroy when 7 years old.

187 Information Collection Request Files

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

GRS 16, 12

Destroy 2 years after the report is discontinued. (5 years after Notice of Action)

188 Information Collection Request Tracking and Control Records

Logs and charts that track the status of ICR and PRA-related activities.

GRS 16, 12

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

Records Management (Cont.)**189 Privacy Act Administrative Files**

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- a. Policy, procedure, and guidance files.
Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.
- b. Management control plans.
Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.
- c. Risk analyses.
Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.
- d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA.]

- e. Tracking files - Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.
- f. Review files. [See note after item 14f(2).] - Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.
 - (1) Office with responsibility for coordinating internal control functions.
 - (2) Copies maintained by other offices as internal reviews.

[NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]

GRS 16, 14

- a. Destroy when superseded.
- b. Destroy when superseded.
- c. Cut off closed files annually. Destroy after next review cycle.
- d. Cut off closed files annually. Destroy after next reporting cycle.
- e. Destroy 1 year after report is completed.
- f. Destroy when superseded.
 - (1) Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.
 - (2) Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

Records Management (Cont.)**190 Records Management Tracking System (RMTS) Files and Related Records**

Inventory of records locations supporting SF135 activities. Descriptive inventories, disposal authorizations, schedules, and reports.

- a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

191 Records Disposition Files

Descriptive inventories, disposal authorizations, schedules, and reports.

- a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

- (1) SF 115s that have been approved by NARA.
- (2) Other records.

- b. Routine correspondence and memoranda.

192 Records Holdings Files

Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer. Includes data held in both paper files and the agency records management tracking system

- a. Records held by offices that prepare reports on agency-wide records holdings.
- b. Records held by other offices.

193 Records Management Administrative Files

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. Includes data relevant to the Office of Records Management's administrative functions. Includes metadata relevant to USPTO records contacts, records shipments, records management-related software installations, and official USPTO records accessions.

GRS 16, 2a(2)

Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.

GRS 16, 2

- a.
 - (1) Destroy 2 years after superseded.
 - (2) Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.
- b. Destroy when 2 years old.

GRS 16, 4

- a. Destroy when 3 years old.
- b. Destroy when 1 year old.

GRS 16, 7

Destroy when 6 years old.

Records Management (Cont.)**194 Records Management Projects**

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as files management, vital records management, the use of microforms in records management, electronic records management systems, records management surveys, and all other aspects of records management not covered elsewhere in this schedule.

GRS 16, 5

Delete 1 year after the year in which the project is closed.

195 Records Management System (RMS) Database

Contains data relevant to the office of Records Management's administrative functions. Includes metadata relevant to USPTO records contacts, records shipments, records management-related software installations, and official USPTO records accessions.

GRS 16, 14e

Destroy 1 year after report is completed.

196 Reports Control Files-Paperwork Reduction Act/Information Collection

Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

GRS 16, 3a

Destroy 5 years after related form is discontinued, superseded, or cancelled.

197 USPTO Comprehensive Records Schedule

Descriptive inventories, disposal authorizations, schedules, and reports. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

GRS 16, 2a(2)

Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.

The CRS is the official document of record containing descriptions, and retentions of all USPTO records.

Electronic Information Products Division**198 2008 USPTO Electronic Information Products**

Patent & Trademark Products provided to USPTO customers

N1-241-05-2:1c,d

Permanent: Transfer to NARA when no longer needed for agency business.

Electronic Information Products Division (Cont.)**199 Administrative Records - General**

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Includes the following USPTO records:

- Budget Records
- Travel and Training
- Small Purchases and Bank Card Purchases
- CD ROM Mastering and Dissemination Print Orders
- Contract Administrative Files

GRS 23, 1

Destroy when 2 years old.

200 Administrative Records - Supervisor Personnel Files

Supervisors' Personnel Files.
Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

GRS 1, 18a

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

201 Budget Monitoring Database

Automated Program Management System database allowing management and monitoring of current and proposed Office budgets. Reports include status of expenditures and obligations by office, function, cost codes, and CAP code.

GRS 5, 3b

Destroy 3 years after the end of the fiscal year.

202 Budget Records

Program office materials accumulated during the annual budget formulation cycle.

GRS 5, 2

Destroy 1 year after the close of the fiscal year covered by the budget.

203 CD ROM Mastering and Dissemination Invoices

Program Office copies of invoices for products or services received under USPTO contracts. Original certified copies of invoices are forwarded to Office of Finance for payment.

GRS 23, 1

Destroy when 2 years old.

Electronic Information Products Division (Cont.)

<p>204 CD ROM Search Software Site License Reports The terms of the CD ROM search software site license requires monthly reports of software use levels. This series contains a copy of each report sent to the owner.</p>	<p>GRS 23, 1 Updated annually and destroyed after 2 years.</p>
<p>205 CD/DVD ROM Products An archival copy of products listed as comments that are created and disseminated by OEIP.</p>	<p>Nonrecord Destroy when no longer needed for current agency business.</p>
<p>206 Center Administrative/Subject Files Travel and Training</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>207 CISG Product Line Non-Core Products (Extra Copies) The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. Information is published for public awareness and understanding of the USPTO functions and processes. These non-core USPTO products and publications include, but are not limited to the following: published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale.</p> <p>Includes the following non-core products:</p> <ul style="list-style-type: none"> -Patent Full-text Data (Red Book) weekly issues -Patent Image (Yellow Book) weekly issues -Trademark Daily Files 	<p>N1-241-05-2:3 Temporary: Destroy 2 years after superseded.</p>
<p>208 CISG Product Line Non-Core Products (NARA Copy) Includes the following non-core products:</p> <ul style="list-style-type: none"> -Patent Full-text Data (Red Book) weekly issues -Patent Image (Yellow Book) weekly issues -Trademark Daily Files 	<p>N1-241-05-2:1d Permanent: Transfer one copy to NARA after superseded. Transfer permanent electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time of transfer.</p>

Electronic Information Products Division (Cont.)**209 Contract Administrative Files**

Files related to the award and administration of EIPD Raytheon Task.

- a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.
- b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.

GRS 24, 9a,b

- a. Destroy/delete 3 years after agreement is superseded or terminated.
- b. Destroy/delete 3 years after control measures or procedures are superseded or terminated.

210 Customer Order Statements/Invoices for SOMS

Includes customer subscriber invoices, billing/order statements and shipping information.

GRS 6, 1a

Destroy 6 years and 3 months after period covered by account.

211 Customer Survey Results

Information service project case files maintained in formally designated information offices.

GRS 14, 4

Destroy 1 year after close of file or 1 year after completion of project.

212 Design Patent Drawings - MICROFILM

Microfilm copy of design patent drawings. Paper record copy of design patents stored at Cinderbed and the Certified Records Center:

- a. Second generation archival microfilm.
- b. All other copies.

Nonrecord

Destroy when no longer needed for current agency business.

213 Information Dissemination Product Reference

This covers information products and publications that are short-term temporary materials associated with reference and bibliographic materials that are inherently non-record but are considered short-term temporary records because of the nature of supporting the unique dissemination mission of the USPTO. Materials posted to the Web that are used for public reference are considered to be dissemination products.

The USPTO develops and constantly improves upon methods of disseminating Patent and Trademark information. The office recognizes a certain number of these methods as "search systems." These are disseminated both free of charge and through subscriptions.

Includes the following USPTO records:

- Product Catalog Records
- EIPD Web Content Files

N1-241-05-2:5

Delete when no longer needed for current agency business.

Electronic Information Products Division (Cont.)**214 Interim Electronic Files**

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

produced as disclosure-free files to allow public access to the data; or produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

-Maintenance Fee File (Expire/Reinstate) - Weekly notification of expired patents received from the Maintenance Fees Branch and used to update the bimonthly DVD-ROM Bibliographic File.

Patent Bibliographic Files (Grant) - Contains the machine-readable full text of all patents issued weekly. Used as input to the creation or re-creation of a variety of by-product files such as patent bibliographic data, patent bibliographic data with exemplary claim, and patent claims. The record copy has been appraised and scheduled in N1-241-96-5 (Phase V), as permanently valuable. This item schedules the nonrecord copies, sub item "b", in the Product Development Office.

GRS 20, 5

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

215 Invoices for Microfilm Services

Program Office copies of invoices for products or services received under USPTO contracts. Original certified copies of invoices are forwarded to Office of Finance for payment.

GRS 23, 1

Destroy when 2 years old.

216 Patent Image Master Tape File

The following items are updated weekly and maintained as quarterly files.

- Patent Grant Bibliographic Data/APS (Text Only)(Retro. 09/1996-12/2000)
- Patent Grant Bibliographic Data/SGML v2.4 (Text Only)(Retro. 2001)
- Patent Grant Bibliographic Data/XML v2.5(Text Only)(Retro. 2001)
- Patent Grant Bibliographic Data/XML v2.5(Text Only)(Retro. 2001)
- Patent Grant Bibliographic Data/XML ICE v3.0(Text Only)(Year-2004)

Nonrecord

Archived on a quarterly basis.

Electronic Information Products Division (Cont.)**217 Product Documentation and User Guides**

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

(2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.

b. Copies of records relating to system security.

GRS 20, 11

a(1) Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

a(2) Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

b. See GRS 24, item 5.

218 Small Purchase and Bank Card Purchases

Program office copies of requisitions and related records.

GRS 23, 1

Destroy when 2 years old.

219 Software Licenses

ROM Search licenses, and others that are held by EIPD and not maintained in the central database.

GRS 24, 3b)

Destroy after termination of system.

220 Subscriber Database Files

Database of subscribers to office products and services. Contains name, address, contact, payment history, and product shipment history. Used to manage subscriber accounts.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

221 Tape Products

Program Office copies of invoices for products or services received under USPTO contracts. Original certified copies of invoices are forwarded to Office of Finance for payment.

GRS 20, 6

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

222 Tape Products Technical Documentation

Record copy of technical documentation for each tape product sold. Copies are made from the record copy as needed.

GRS 20, 11a

Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

Electronic Information Products Division (Cont.)**223 USPTO Non-Core Products and Publications (Extra Copies)**

The USPTO disseminates extra copies of information to the public, some of which it also uses for internal functions. Information is published for public awareness and understanding of the USPTO functions and processes. These non-core USPTO products and publications include, but are not limited to the following: published statistical information regarding patents, fact sheets and similar publications produced for the public regarding general information concerning patents, basic facts about registering a Trademark, photocomposition reports, notices of decisions of patent appeals, roster of attorneys/agents registered to practice before the USPTO, Trademark Trial and Appeal Board Manual, Trademark Acceptable Identification of Goods and Services Manual, and copy of USPTO materials for sale.

N1-241-05-2:3 (Previously N1-241-96-4:8)

Temporary: Destroy 2 years after superseded.

ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP**224 Application Clearinghouse (ACH)**

Summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

GRS 20, 4

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

225 Architectural Technical Reference Material

Software manuals, technical manuals, texts, and other related reference materials.

Nonrecord

Destroy when superseded or when no longer needed.

226 Budget Tracking Files

Files and electronic spreadsheets used to track Division expenditures for budgetary control.

GRS 23, 1

Destroy when 2 years old.

ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP (Cont.)**227 CIO Committee Records**

Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records.

GRS 27, 5

Cut off annually. Destroy/delete when 5 years old.

[Note: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council, are not covered by this item.]

228 Copy Machine Log Book

Log book containing information on repairs to the office copy machine.

GRS 11, 5

Destroy 3 months after work is performed or requisition is cancelled.

229 Data Architecture Policy, Plans, Standards, and Guidelines

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Records relating to the development and standardization of data administration policies, plans, and procedures for administrative and corporate data required by automated systems as a strategic agency asset. Included are strategic data management planning, data modeling, data element standardization, including standardization requests and justifications, data repository management, data quality improvement, and data administration quality assurance.

GRS 27, 2 (Previously N1-241-96-5:41)

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

230 Data Architecture Project Support Artifacts

Records relating to the provision of support for developing systems, including data management plan guidance, data modeling, and data element standardization.

GRS 16, 5

Delete 1 year after the year in which the project is closed.

231 Data Architecture Software and Tools

Documentation and software used for data modeling or standardization.

GRS 27, 2 (Previously N1-241-96-5:40)

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

232 Data Repository Management Files

Records on the implementation and management of the central repository.

GRS 16, 5

Delete 1 year after the year in which the project is closed.

ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP (Cont.)**233 E-FAX Networks**

Electronic FAX connectivity and networks.

NOTE: Faxes received through this system should be maintained by recipient if they are federal records.
(series)

- a. Workload schedules, run reports, and schedules of maintenance and support activities.
- b. Problem reports and related decision documents relating to the software infrastructure of the network or system.
- c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessment, performance monitoring, and management reports.

GRS 24, 8

- a. Destroy/delete when 1 year old.
 - b. Destroy/delete 1 year after problem is resolved.
 - c. Destroy/Delete when 3 years old.
- (Note: series designation for a fax is dependent upon appropriate record

234 Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

GRS 27, 2

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

235 Fax Log File (Tracking Control File)

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

236 Hardware Use Reports

Daily System Technical Report, Daily RAD/HDD Activity (Daily Platter Summary), Monthly Xerox 4090 Printer Activity, Cumulative Text Search and Retrieval Statistics, Monthly CSIR Imaging By Groups, and related reports provided to appropriate USPTO managers and operators. These reports are used for system planning and trend analysis to reconfigure resources for system balance.

GRS 20, 1c

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

237 Information Systems Executive Report Source Data

A library of electronic source files obtained on varying basis from the A16 VIEWPOINT and the Amdahl SMF (System Management Facility) and RMF (Resource Management Facility) which are used in the preparation of the monthly Executive Report. Library also consists of files obtained from offices which manage MESSENGER, CSIR, X-Search, and TRAM systems. Generally, the data contains access, use, traffic, response, and down times throughout all major USPTO systems.

GRS 20, 1c

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

ARCHITECTURE, ENGINEERING, AND TECHNICAL SERVICES GROUP (Cont.)**238 IT Operations Records**

- a. Workload schedules, run reports, and schedules of maintenance and support activities.
- b. Problem reports and related decision documents relating to the software infrastructure of the network or system.
- c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

239 Monthly Contract Tracking Chart

Monthly report used to track the status of: the contractors' monthly allotment, money committed, and money remaining.

240 Performance Monitoring (Network)

Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

241 Records Management Reference

NARA publications, texts, software manuals, pamphlets, and other materials used for reference.

242 Technical Reference Model Development Papers

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

NOTE: Office coordinates the development of the USPTO Technical Reference Model. This document maps USPTO information systems under development to the Application Portability Profile Standards of the National Institute of Standards and Technology with reference to specific hardware and software products. The agency record copy of TRMs are maintained in the office of the CIO.

GRS 24, 8

- a. Destroy/delete when 1 year old.
- b. Destroy/delete 1 year after problem is resolved.
- c. Destroy/delete when 3 years old.

GRS 3, 3c

Destroy upon termination or completion.

GRS 24, 8c

Destroy/delete when 3 years old.

Nonrecord

Destroy when superseded or when no longer needed.

GRS 27, 2

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

Enterprise Software Division

243 Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Includes the following USPTO records:

- ESD Artifact Checklist
- IT Roadmaps - Standards
- IT Roadmaps - Technology
- IT Roadmaps - Applications
- Product Information Document
- Product Decision Document

GRS 27, 2

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

Enterprise Tools Division

244 IT Asset and Configuration Management Files

- (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
- (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

GRS 24, 3b

- (1) Destroy/delete 1 year after termination of system.
- (2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

Enterprise Tools Division (Cont.)**245 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.
- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

Enterprise Hardware Division**246 IT Asset and Configuration Management Files**

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

GRS 24, 3b

Destroy/delete 1 year after termination of system.

Enterprise Hardware Division (Cont.)**247 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.
- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

Enterprise Data Division**248 IT Asset and Configuration Management Files**

- (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
- (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

GRS 24, 3b

- (1) Destroy/delete 1 year after termination of system.
- (2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

Enterprise Data Division (Cont.)**249 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.
- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP**250 Computer Security Incident Handling, Reporting and Follow-up Records**

Computer Security Incident Handling, Reporting and Follow-up Records.

GRS 24, 7

Destroy/delete 3 years after all necessary follow-up actions have been completed.

251 Equipment Trouble Register – ELECTRONIC

Electronic register maintained by Security Officers, which contains information relating to the failure of a component of the electronic security system and that a technician has been contacted to make the appropriate repair.

GRS 11, 5

Destroy 3 months after work is performed or requisition is cancelled.

INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP (Cont.)**252 Files Related to Maintaining the Security of Systems and Data****GRS 24, 5**

a. System Security Plans and Disaster Recovery Plans.

Includes the following USPTO records:

- C&A Accreditation Letters
- Master System Contingency Plans (CPs)
- Master System Contingency Plan Tests
- Master System Security Plans (SSPs)

b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

Includes the following USPTO records:

- Automated Information Systems and Network -Security Accreditation Records
- C&A Accreditation Letters
- C&A Annual Assessment Reports
- C&A Certification and Accreditation Assessment Evidence
- C&A Certification Statements
- C&A Certification Test Plans (CTPs)
- C&A Certification Test Results (CTRs)
- C&A Certification Work Plans (CWPs)
- C&A Compliance Scan Results
- C&A Corrective Action Plans (CAPs)
- C&A Privacy Information Assessments
- C&A Security Certification Test Determination Forms
- C&A Security Requirements Traceability Matrix (SRTM)
- C&A System Contingency Plans (CPs)
- C&A System Interconnection Agreements
- C&A System Inventory
- C&A System Plan of Action and Milestones (POA&Ms)
- C&A System Risk Assessment Reports (RARs)
- C&A System Security Assessment Reports (SARs)
- C&A System Security Plans (SSPs)
- C&A Vulnerability Scan Results
- DOC Plan of Action and Milestones (POA&Ms)
- SO Letters and CIO Signed Documents
- Master System Contingency Plans (CPs)
- Master System Contingency Plan Tests
- Master System Security Plans (SSPs)
- Momentum Documentation
- Remediation Status Sheets
- Risk Analysis Reports and Studies
- Risk Watch Information Technology Survey

a. Destroy/delete 1 year after system is superseded.

b. Destroy/delete 1 year after system is superseded.

INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP (Cont.)

253 IT System Inventory The IT System Inventory is a FISMA requirement and is used to report the C&A status of all USPTO IT systems, including contractor systems. It is submitted to DOC semi-annually.	GRS 24, 5b Destroy/delete 1 year after system is superseded.
254 IT Transactions, User Authentication Files Documentation concerning certification actions, including those of Public Key Infrastructure and related IT trust actions. Includes records of transactions such as the registration and revocation of electronic signatures and access credentials. These are used to verify authenticity of a party for a secure transaction or signature. Valid for internal and external users.	N1-241-05-1:3b Temporary: Destroy 12 years after close of account or authority end date.
255 Legal and Regulatory Compliance Records Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.	GRS 27, 4 Cut off annually. Destroy/delete when 5 years old.
256 Operational Log Electronic log maintained by Security Officers for each 24 hour period. The log includes Information relating to the administration and operation of the security system and protective services programs at the USPTO Headquarters in Alexandria. Entries include, but are not limited to Security Officer shift change information, results of Security Officer patrols, notification of fire and safety issues, emergency situations, equipment failures, office lock-outs and records of notifications when assistance is required.	GRS 18, 20a Destroy 2 years after final entry.
257 Security and Safety Training Materials Awareness training materials for security and safety programs for all USPTO employees. Material includes pamphlets, brochures, and classroom handouts.	N1-241-05-1:7b Temporary: Destroy when 5 years old.
258 Security Guideline Files Examples and references used to produce guidelines covering security issues relating to systems and equipment.	GRS 20, 11b Destroy or delete when superseded or obsolete.

INFORMATION TECHNOLOGY SECURITY MANAGEMENT GROUP (Cont.)**259 System Backups and Tape Library Records**

- a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
- b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

GRS 24, 4

- a(1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
- a(2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

[Note: See GRS 20, item 8, for backups of master files and databases.]

- b. Destroy/delete when superseded or obsolete.

260 Temporary SMART Card Control Register

Register maintained by Security Officers, which includes the name of each employee, contractor or other authorized individual in need of a temporary SMART Card, as well as their associated telephone and room numbers. The register also contains the number of the temporary SMART card issued, along with the date and time of card issue.

GRS 18, 17b

Destroy 2 years after final entry or 2 years after date of document as appropriate.

261 Timekeeping Records

Includes time and attendance, audit, account code information and certifications.

GRS 2, 7

Destroy after GAO audit or when 6 years old, whichever is sooner.

262 User Identification, Profiles, Authorizations, and Password Files (excludes electronic signature records)

- a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.
- b. Routine systems, i.e., those not covered by item 6a.

GRS 24, 6

- a. Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.
- b. See GRS 20, item 1c.

263 Visitor Control Register

Register maintained by Security Officers, which includes the name of each visitor, the date and time of arrival, number of the temporary SMART Card issued, as well as the name of the associated sponsor and the sponsor's telephone and room numbers.

GRS 18, 17b

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

CUSTOMER SUPPORT SERVICES GROUP

<p>264 Budget Tracking Files Files and electronic spreadsheets used to track Division expenditures for budgetary control.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>265 Customer Service Database Files Information entered from the Customer Service Survey questionnaire on how the customer rates the computer services provided. The Customer Service Survey form addresses five areas: Help Desk, speed, quality, professionalism, and communication. Customers rank the service received in each area on a scale of 1 to 5, with 1 being "poor" and 5 being "excellent."</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>266 EAMS Enterprise Asset Management System Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets</p>	<p>GRS 24, 3a Destroy/delete 1 year after completion of the next inventory.</p>
<p>267 Expert Advisor Database Problem tracking database focusing on microcomputer systems networking including the hardware and software elements. Problems and system changes are maintained in this database with information on installation, upgrade, and movement of hardware components.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>268 Group Printers Morning Operational Report Daily report listing problems of the group printers. Report includes printer location, problem description, date of previous problem, and problem identification number.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>269 Hardware Pricing/Catalog Database Record of orders entered from the Hardware Pricing/Catalog Sheet. These orders are placed against the "Desktop" (personal computer) contract and indicate those components desired by individual request. This information is available in hard copy upon demand: a. When hard copy records are retained to meet recordkeeping requirements. b. When the electronic record replaces hard copy records that support administrative housekeeping functions. c. Hard copy printouts created for short-term administrative purposes.</p>	<p>GRS 20, 3b(1,2,3) a. Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes. b. Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. c. Destroy when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.</p>

CUSTOMER SUPPORT SERVICES GROUP (Cont.)**270 Hardware Pricing/Catalog Sheet**

Price list for ordering equipment including: system unit, keyboard, memory expansion, external CD-ROM drive, printer(s), and cables. This list is used by the Customer Service Support Representatives (CSSR) to document what is ordered for the user. The form can be sent to the CSSR as an e-mail attachment or printed in hard copy:

- a. When used to produce hard copy that is maintained in organizational files.
- b. When maintained only in electronic format.

271 IT Customer Service Files

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

272 IT-Specific Program Policy Files

Record copy of documents that define the policies for articulating and executing the standard services and duties performed by the OCIO for USPTO computer systems users. Documents are the basis for the execution of specific Service Level Agreements between the OCIO and client program offices.

273 Printer Inspection Log

Log book of printer inspections. Lists date inspected, problems found, problems worked on, inspectors name, and repair time.

274 Problem Incident Reports and Analysis

Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Includes the following USPTO records:

- Problem Incident Reports
- Problem Incident Analyses

GRS 20, 15

- a. Delete when no longer needed to update or produce hard copy.
- b. Delete after expiration of the retention period for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

GRS 24, 10

- a. Destroy/delete 1 year after record is superseded or obsolete.
- b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

N1-241-05-1:3a (Previously N1-241-96-2:6)

Temporary: Destroy 10 years after update.

GRS 23, 8

Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.

GRS 20, 1c

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

CUSTOMER SUPPORT SERVICES GROUP (Cont.)**275 Service Level Agreements**

Record copy of agreements between OCIO and program offices defining service and support levels in quantified terms of workload, hardware, software, user ID support, help desk, and documentation. The agreements also define standards and ad hoc reports documenting the continuing validity of the agreement.

Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

GRS 24, 9a

Destroy/delete 3 years after agreement is superseded or terminated.

276 SF182 Request For Training

Request for training including employee information, justification, training course particulars, estimated costs, and approvals.

GRS 23, 1

Destroy when 2 years old, or when no longer need, whichever is sooner.

Help Desk Services Division**277 IT Customer Service Files**

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

GRS 24, 10

- a. Destroy/delete 1 year after record is superseded or obsolete.
- b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

Desktop Support Services Division**278 IT Customer Service Files**

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.
- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

GRS 24, 10

- a. Destroy/delete 1 year after record is superseded or obsolete.
- b. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

Information Services Division

Information Services Division (Cont.)**279 Information Dissemination Product Reference**

This covers information products and publications that are short-term temporary materials associated with reference and bibliographic materials that are inherently non-record but are considered short-term temporary records because of the nature of supporting the unique dissemination mission of the USPTO. Materials posted to the Web that are used for public reference are considered to be dissemination products.

The USPTO develops and constantly improves upon methods of disseminating Patent and Trademark information. The office recognizes a certain number of these methods as "search systems." These are disseminated both free of charge and through subscriptions.

N1-241-05-2:5 (Previously N1-241-96-5:67c)

Delete when no longer needed for current agency business.

280 IT Customer Service Files

Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

Includes the following USPTO records:

- Standard Operating Procedures Manual
- Hardware Requests
- Tests (COTS, 508)
- License Management
- Project Budget and Data Entry Worksheet
- Operational Support Plans

GRS 24, 10a

Destroy/delete 1 year after record is superseded or obsolete.

281 IT Support Announcements

The IT Support Coordinator is responsible for issuing IT service notifications to USPTO employees, contractors, and external customers. Tasks include issuing the daily IT Announcement e-mail which is distributed to the USPTO Campus, maintaining the IT Support Announcements web page, posting notices on the eBiz Alerts (Status and Availability of Online Business Systems) Internet page, and issuing Special IT Support Announcement, as needed.

GRS 24, 8a

Destroy/delete when 1 year old.

282 IT User Guides

IT User Guides provide an overview of USPTO applications and IT services. Guides explain how-to perform basic tasks in the application and provides the user with a general understanding of the features and capabilities of the application/service.

GRS 24, 10a

Destroy/delete 1 year after record is superseded or obsolete.

Information Services Division (Cont.)**283 OCIO Service Commitments**

OCIO Service commitments establish IT service level agreements between the USPTO OCIO service providers and USPTO customers. They clearly identify the services required to meet business area needs while defining commitment goals, service provider boundaries/ constraints, customer responsibilities, means for measuring success and failure, and mechanisms for reporting performance.

GRS 24, 9a

Destroy/delete 3 years after agreement is superseded or terminated.

284 OCIO Websites - Originating/Development Files and Published Content

Plan, develop, and maintain all OCIO Intranet Websites. Record Series covers originating development files used to create the actual website (HTML pages) such as templates, library, CSS and Javascript files, etc. or are the originating development files used to produce content provided by customers. Examples would be the use of Visio to create the Quiet Time posters or the use of Fireworks to create the WiFi posters.

N1-241-05-2:5

Until obsolete or superseded.

Also includes Published Content, provided and owned by USPTO program/business offices

ENTERPRISE SYSTEMS SERVICES GROUP**285 Backups of Files - Daily, Incremental and Monthly**

File identical to records authorized for disposal in a NARA-approved records schedule.

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

PTOnet Daily Incremental Backups - For each server, a cartridge is used to backup a copy of every file that has changed since the previous night's backup. Maintained in Office of Computer and Telecommunications Operations (OCTO).

PTOnet Monthly Backups - Every fourth weekly backup of each PTOnet server is sent to Boyers for secure storage. Boyers maintains the most recent 12 months. Older backups are scratched (reused).

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

ENTERPRISE SYSTEMS SERVICES GROUP (Cont.)**286 Backups of Files - Weekly**

The most recent six weekly backups of each server are maintained in off-site storage at Crystal Square 2 (CS2). These tapes are supplemented by the daily incrementals described above. Tapes older than six weeks are scratched (reused), with the exception of every fourth weekly backup of each server, which is forwarded to the Boyers facility as described below.

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

[Note: See GRS 20, item 8, for backups of master files and databases.]

GRS 24, 4a(1)

Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

287 Budget Tracking Files

Files and electronic spreadsheets used to track Division expenditures for budgetary control.

GRS 23, 1

Destroy when 2 years old.

288 Enterprise Call Center System (ECC)

The ECC is a telephony system incorporating several COTS packages utilizing the USPTO network for transmission of productivity data. Several call centers within the USPTO are serviced by this centralized call center infrastructure, which tracks incoming calls from initial contact to completion. The system includes Automated Call Distribution, Interactive Voice Response, Computer-telephony Integration equipment, software, and functions:

- a. System software
- b. Initial documentation and updates
- c. Reports produced by system.

N1-241-98-2:4

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. See GRS 23,1

289 Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records

- a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records.
- b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.
- c. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

GRS 20, 1

- a. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
- b. Delete after information has been transferred to the master file and verified.
- c. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

290 General Information Correspondence Files

Originating office copy of response to requests from the public for general information about the patent and trademark process. Organized by month, and by signer.

GRS 23, 7

Destroy when 3 months old.

ENTERPRISE SYSTEMS SERVICES GROUP (Cont.)

<p>291 Handout Material Office and supporting contractor distribute printed USPTO reference materials at the rate of 15,000 per month. Stock supplies of these materials are maintained as space allows.</p>	<p>Nonrecord Destroy when superseded or when no longer needed.</p>
<p>292 Information Technology Facilities Management System (ITFMS) System Backups Incremental backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.</p>	<p>GRS 24, 4a(1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p>
<p>293 IT Facility, Site Management, and Equipment Support Services Records Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.</p>	<p>GRS 24, 2 Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.</p>
<p>294 IT Infrastructure Design and Implementation Files Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting:</p> <p>(1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications;</p> <p>(2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting;</p> <p>(3) models, diagrams, schematics, and technical documentation; and</p> <p>(4) quality assurance reviews and test plans, data, and results.</p> <p>a. Records for projects that are not implemented. b. Records for projects that are implemented. c. Installation and testing records.</p> <p>[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]</p>	<p>GRS 24, 11 a. Destroy/delete 1 year after final decision is made. b. Destroy/delete 5 years after project is terminated. c. Destroy/delete 3 years after final decision on acceptance is made.</p>

ENTERPRISE SYSTEMS SERVICES GROUP (Cont.)

<p>295 PTOnet Monthly Backups Every fourth weekly backup of each PTOnet server is sent to Boyers for secure storage. Boyers maintains the most recent 12 months. Older backups are scratched (reused).</p>	<p>GRS 20, 8b Delete when the identical records have been deleted, or when replaced by a subsequent backup file.</p>
<p>296 Service and Support Request Forms Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.</p>	<p>GRS 24, 10a Destroy/delete 1 year after record is superseded or obsolete.</p>
<p>297 Storage Request Form Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.</p>	<p>GRS 24, 10a Destroy/delete 1 year after record is superseded or obsolete.</p>
<p>298 Systems and Contracts Correspondence Files Correspondence on the administration of Office of System and Network Management systems development and maintenance activities, including administration of contracts for printing, text formulation, and data management. Used to document the activities of the office.</p>	<p>GRS 13, 1 Destroy when 2 years old.</p>

Pre-Production Services Division

<p>299 CD ROM Products An archival copy of each CD ROM product distributed by the Office. A collection of approximately 170 disks growing at the rate of 12 disks per month. CD ROMs are mastered and duplicated by a contractor through the National Technical Information Service (NTIS). CD ROM Publications are listed in Electronic Information Products Brochure.</p>	<p>Nonrecord Destroy when no longer needed for current agency business. (The master files for these products are scheduled with each individual system in other schedules.)</p>
<p>300 Change Documents Requirements Change Requests (RCRs) Change documents, including Modification Requests (MRs) and Discrepancy Reports (DRs), which authorize track changes from EPO or other ePhoenix requirements. (For ePhoenix only) Class I change requests for enhancements, Class II CRs for maintenance.</p>	<p>GRS 24 Close files at the end of each fiscal year and transfer to the Certified Records Center 3 years after closure. Destroy 20 years after closure.</p>

Pre-Production Services Division (Cont.)**301 Claims Files**

Copies of contractor claims. Used for easy reference:
a. Records created prior to October 1, 1979
b. Records created after September 30, 1979.

GRS 3, 15

a. Destroy 6 years, 3 months after final action on decision.
b. Destroy 1 year after final action on decision.

302 Data Management Support Tasks

Relating to the provision of support for developing systems, including data management plan guidance, data modeling, and data element standardization.

GRS 16, 5

Delete 1 year after the year in which the project is closed.

303 Enterprise Architecture Records

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

GRS 27, 2

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

304 Files Related to Maintaining the Security of Systems and Data

a. System Security Plans and Disaster Recovery Plans.
b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

GRS 24, 5a,b

Destroy/delete 1 year after system is superseded.

305 Information Technology Contract Case Files

Record copy of Information Technology related contracts. Includes contracts, amendments, task orders, subcontracting documentation, certified invoices, and related procurement material. Used to administer procurement of contracts. Procurement or purchase organization copy and related papers for transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulation (FAR) rule defining "simplified acquisition threshold").

GRS 3, 3a(1)

a. Destroy 6 years and 3 months after final payment.
b. Destroy 3 years after final payment.

Pre-Production Services Division (Cont.)**306 IT Asset and Configuration Management Files - Other AIS Documentation****GRS 24, 3b(1)**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Destroy/delete 1 year after termination of system.

Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

Includes the following USPTO Documents:

- AIS Development Plan (SDP)
- Business System and Technical Design (BSTD)
- Computer Operations Manual (COM)
- Concept of Operations (CONOPS)
- Design Mapping Table (DMT)
- Detailed Business Area Descriptions (DBAD)
- Disaster Recovery Plan (DRP)
- Economic Analysis (EA)
- Help Desk Manual (HDM)
- Integrated Development Environment (IDE) form
- Advent Publishing System (APS) (Legacy)
- Operational Model (OM)
- Operational Support Plan (OSP)
- Preliminary Design Document (PDD)
- Production Installation Plan (PIP)
- Programmer's Maintenance Manual (PMM)
- Project Management Plan (PMP)
- Quality Assurance Plan (QAP)
- Service Manual (SM)
- Solution Architecture Overview (SAO)
- Supplemental Specification (SS)
- System Administration Document (SAD)
- System Boundary Document (SBD)
- System Contingency Plan (SYCP)
- System Development Notebooks (SDN)
- Training Manual (TM)
- Training Plan (TNGP)
- Users Manual (UM)
- Vision Document (VIS)

Pre-Production Services Division (Cont.)**307 Protest Files**

Copy of materials submitted in support of USPTO's protested contract actions. Materials become public when heard by administrative law judges in either the General Services Board of Contract Appeals or the General Accounting Office:

- Records created prior to October 1, 1979
- Records created after September 30, 1979.

GRS 3, 15

- Destroy 6 years, 3 months after final action on decision.
- Destroy 1 year after final action on decision.

308 Quality Assurance Analysis Records (QA02)

System used to assess the effectiveness of contractor procedures required by USPTO. Reports generated from Excel spreadsheet contain graphs and data showing quantity and gravity of errors prevented by contractor's program. Contracts and contractors monitored may vary, therefore data does not have cumulative value. Includes input from copies of contractor's Q & A reports, copies of contractor's quality assurance records on all documents and deliverables, spreadsheet data and reports produced by spreadsheet.

GRS 24, 11b (Previously N1-241-96-5:50)

Destroy/delete 5 years after project is terminated.

309 Requirements Management

Records for projects that are implemented. Records related to the development and management of a systems requirements management program where changes to systems requirements are controlled and limited. Products include adoption of standard terminology, development of technical standards and guidelines, and other related records:

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

GRS 24, 11b

Destroy/delete 5 years after project is terminated.

Pre-Production Services Division (Cont.)**310 Serena Dimensions**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

GRS 24, 3b(1)

Destroy/delete 1 year after termination of system.

311 Source and production code

Source and production code (NOTE: need more extensive description)

Nonrecord

Destroy when no longer needed.

312 System Acceptance Testing

Testing documents used to determine if system software meets requirements as defined by system developer. Records include: Test Plans; Test Specifications; Test Procedures; Test Readiness Reviews; Beta Readiness Reviews; Production Readiness Reviews; Post Installation Reviews; and briefing materials. Records are in draft and redline which together make up the final version. Testing documents are produced by contractor personnel.

GRS 24, 11c

Destroy/Delete 3 years after final decision on acceptance is made. [Note: Retain in Configuration Management Library when system is operational]

313 Technical Reference Models (TRM)

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

GRS 27, 2

Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later.

Pre-Production Services Division (Cont.)**314 Technical Standards and Guidelines - Information Technology (IT) Program Planning Records**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

- (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
- (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

GRS 24, 1b

Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

315 Web Content - Posted Copies

Information, including copies of documents and forms, presented for reference and public dissemination to the public (internet) and to internal USPTO users (intranet).

[NOTE: The office of record for web content is the office of origin and those records are retained according to the relevant record series.]

Nonrecord

Destroy when no longer needed for dissemination.

Facility Operations and Production Services Division

Facility Operations and Production Services Division (Cont.)**316 Backups (Additional Database)**

In addition to backups described in this section, certain program offices require their own copies of particular databases. These backups are processed through regularly scheduled jobs in Production Support Services and delivered to the customer.

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

317 Backups (Daily)

Backups are made to disk twice daily (12:00 noon and 6:00 PM) of all files that have changed since the previous backup cycle. Backups of DATA01 and DATA02 are made to disk at 6:00 PM daily. Backups are retained to the most recent weekly backup.

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

318 Backups (Database)

In addition to complete pack backups, backups are performed for particularly important USPTO databases: PTODB1 is backed up to disk on Tuesdays and Thursdays. A tape backup is made on Saturdays in two copies: one for on site and one for CS2. TSTDB, NCSDB, SPINDB, and BLSOURCEDB and backed up to tape on Saturdays.

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

319 Backups (Monthly)

Monthly backups are maintained at offsite location.

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

320 Backups (Tapes)

System backup tapes described under Computer Operations Services which are stored in secure storage at off site location. Specific reels are inventoried daily and cataloged in the Vault List. Cumulatively, they represent a 12-month retrospective span. Tapes older than 12 months are recycled. New Iron Mountain backup system replaces the manual method.

GRS 24, 4a(1)

Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

321 Backups (Weekly)

Disk pack backups are made to tape each Friday night. One copy is maintained on-site in Office of Systems and Network Management and one copy off-site. Four weekly backups are maintained offsite.

GRS 20, 8b

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

Facility Operations and Production Services Division (Cont.)

322 Bar Code Label Production Log	Log containing a list of the number ranges for bar code labels that have been issued. Bar code labels are used on case files for PALM and TRAM tracking. Bar code labels are produced daily for patents, and on request for trademarks and publications. Labels are nonrecord until they are affixed to a case file.	GRS 23, 8	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
323 Examiners Time & Activity Reports	A copy of the most recent 3 months of reports that measure, tabulate, and report patent examiners' performance. Originals delivered to program offices. Materials protected by Privacy Act, and must be destroyed.	N1-241-96-2:4	Destroy when 3 months old.
324 Hard Copy Report	Copy of list the contractor sends to GPO indicating the quantity of patents to be hard copied. Used as an extra copy if the original is lost or misplaced.	Nonrecord	Destroy when no longer needed.
325 Job Control	All production jobs executed on the mainframes are controlled with ASAP/Director controlling the Clearpath server. Logs maintained by each system constitute the record of system activity.	GRS 20, 1c	Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
326 Log of Notification Letters	Log used to track the date a publication notification was sent to the inventor.	GRS 23, 8	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
327 Log of Plant Patents	Log listing date plant patents were sent to the printer. Used to track plant patents.	GRS 23, 8	Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
328 Major System Component Backups	Major system components (PALM, TRAM, Patent Full Text, CRDA, and Assignments) are backed up to secondary disk as well as tape.	GRS 20, 8b	Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

Facility Operations and Production Services Division (Cont.)

<p>329 Pipeline Report Weekly report of the status, percentage of work done, and due dates. Used to track the elements of the printing process for each issue of the Official Gazette.</p>	<p>GRS 23, 8 Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>
<p>330 Print Pack Rollout Backups of print files. The most recent 3 days are contained on 3 disk packs, with the office maintaining the most recent 30 days on tape. Required in the event that a job must be rerun.</p>	<p>GRS 20, 8b Delete when the identical records have been deleted, or when replaced by a subsequent backup file.</p>
<p>331 Production Documentation A reference library consisting of the record copy of the documentation for all production jobs executed on the Clearpath server. Documentation is used to diagnose problems.</p>	<p>GRS 20, 11a Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p>
<p>332 Production Error Reports Reports of jobs that 'abend' (abnormal end) are routed electronically to the office of primary responsibility. Paper reports are produced as well. These reports require immediate attention and are used as input documents for the INFO/MAN system.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>333 Production Job Control All production jobs executed on the mainframes are controlled with ASAP/Director controlling the Clearpath server. Logs maintained by each system constitute the record of system activity.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>334 Production Job Schedules Reports produced on demand from the two principal job management systems (Control M for the Amdahl and ASAP/Director for the A16) listing job name, program office, key program office or personnel, and scheduled date of job. Information is also available online.</p>	<p>GRS 20, 1c Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>335 Publication Production Controls Folders documenting the internal management of production control for each issue of the Official Gazette or other publication of the USPTO. Includes records that track information sent to and returned by the contractor, withdrawal notices, print orders, and tape lists.</p>	<p>N1-241-05-2:6e (Previously N1-241-96-3:72) Temporary: Destroy 1 year after issue, or when no longer needed for reference, whichever is sooner</p>

Facility Operations and Production Services Division

- | | |
|--|--|
| <p>336 Security and Technical Reference Library
Library consisting of 285 cataloged items consisting mostly of published computer technical manuals and guides for managing information systems security.</p> | <p>Nonrecord
Destroy when superseded or obsolete.</p> |
| <p>337 Security and Technical Reference Library Finding Aid
Cross reference index, listing the book title, date, vendor, reference number, and section or cabinet where the book is stored. The index is available in hard copy upon request.</p> | <p>GRS 20, 9
Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.</p> |
| <p>338 Soft Copy Report
Copy of list the contractor sends to GPO indicating the quantity of each patent to be soft copied. Used as an extra copy if the original is lost or misplaced.</p> | <p>Nonrecord
Destroy when no longer needed.</p> |
| <p>339 System Operation and Reference Manuals and Documentation
A library of IBM, Amdahl, StorageTek, and Unisys system operation and reference manuals, and message libraries required by the computer operations personnel during performance of their daily duties. The library is located in the computer room and specific titles in the library are listed in the USPTO Mainframe Operator's Manual.</p> | <p>GRS 20, 11a
Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p> |
| <p>340 Vault List
A daily report listing of all magnetic backup medium location by VOL SER (Volume and Serial) number throughout USPTO including Boyers. Also includes media to be moved from the Office of Systems and Network Management to off-site storage - as well as the tapes to be returned from off-site storage for re-use.</p> <p>Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.</p> | <p>GRS 24, 4b
Destroy/delete when superseded or obsolete.</p> |

Technical Services Division

341 Data Administration Structured Definition Language

Record copy of each database record structure and layout for each application. Available electronically.

GRS 20, 11a

Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

342 Documentation

System documentation and job control language required for problem diagnosis.

GRS 20, 11a

Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

PROGRAM MANAGEMENT GROUP**343 CPIC Document Preparation Report**

Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

GRS 27, 3

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

344 Feasibility Studies

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

GRS 16, 9

Destroy 5 years after completion or cancellation of study.

345 Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

GRS 27, 1

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

346 IT Asset and Configuration Management Files

- a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.
- b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:
 - (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
 - (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

GRS 24, 3

- a. Destroy/delete 1 year after completion of the next inventory.
- b.
 - (1) Destroy/delete 1 year after termination of system.
 - (2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

[Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]

PROGRAM MANAGEMENT GROUP (Cont.)**347 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting

- (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications;
- (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting;
- (3) models, diagrams, schematics, and technical documentation; and
- (4) quality assurance reviews and test plans, data, and results.

- a. Records for projects that are not implemented.
- b. Records for projects that are implemented.
- c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

348 IT Operations Records

Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

GRS 24, 8c

Destroy/delete when 3 years old.

PROGRAM MANAGEMENT GROUP (Cont.)**349 Oversight and Compliance Files**

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a. Performance measurements and benchmarks.

Includes the following USPTO records:

- Program Management Documents
- Analysis and Planning Checklist
- Analysis and Planning Phase Checklist
- Approved/Rejected Contract Resource Estimate
- Communications Plan
- Contracts (Signed)
- Deployment Phase Checklist
- Design Phase Checklist
- Detailed Use Case Documents
- Detailed Use Case Model
- Development Phase Checklist
- Draft Task Order Form
- FQT Phase Checklist
- Intake Phase Checklist
- Kick-Off Approval Form
- Kick-Off Approval Process
- Kick-Off Meeting Guidelines
- Kick-Off Meeting Pipeline
- Lessons Learned Documents
- Operational Readiness Review Process
- Operations and Retirement Phase Checklist
- Operations Readiness Review Form
- Planning Approval Form
- Project Activity Description Report
- Project Analysis Document
- Project Initiation Authorization
- Project Planning Checklist
- Project Schedule
- QA Plan
- QA Project Assessment Form
- Quality Assurance Project Assessment Plan
- Requirements Management Plan
- Requirements Phase Checklist
- Requirements Review Summary Report
- Requirements Specifications
- Requirements Traceability Matrix
- Risk Management Plan
- Risk Management Plan
- Supplemental Specifications
- Task Orders Issued

GRS 24, 1

- a. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.
- b. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

- Business Target Architecture Alignment Report
- Change Management Process
- Exhibit 300 Preparation Report
- Issue Management Process
- List of Projects Report
- PMG Performance Measurement Reports
- PMG Practice/Process Planning
- Portfolio Definition and Maintenance Report
- Portfolio Segmentation, Analysis and Optimization Report
- Portfolio Status Reporting
- Roles and Responsibilities Matrix
- Senior Management Project Reviews
- Strategic Initiatives Definition Support Report
- System Development Life Cycle Documents

b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

350 PMG Organization Structure and Responsibilities

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

GRS 23, 1

Destroy when 2 years old.

351 SDLC Files

Systems Development Life Cycle contains documents and procedures to provide guidance for IT life cycle management at USPTO.

GRS 24, 1a

Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

QUALITY MANAGEMENT GROUP

352 IT-Specific Program Policy Files

Record copy of documents that define the policies for articulating and executing the standard services and duties performed by the OCIO for USPTO computer systems users. Documents are the basis for the execution of specific Service Level Agreements between the OCIO and client program offices.

Includes the following USPTO records:

- SLA Charters
- SLA Charter Next Steps

N1-241-05-1:3a

Temporary: Destroy 10 years after update.

353 Draft OCIO metrics

Contains the metrics used to determine how successfully OCIO is meeting targets for satisfying 2008 goals and objectives.

GRS 27, 1

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

354 Financing of IT Resources and Services

Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.

GRS 24, 9c

Destroy/delete records with no outstanding payment issues when 3 years old.

355 Information Technology (IT) Program Planning Records

Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Includes the following USPTO records:

- Critical Objectives Summary Reports
- OCIO Strategy Development
- OCIO Planning Structure
- OCIO Strategic Plan Executive Summary

GRS 27, 1

Cut off annually. Destroy/delete when 7 years old or when no longer needed, whichever is later.

QUALITY MANAGEMENT GROUP (Cont.)**356 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

Records for projects that are implemented.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

357 OCIO Metrics Performance

An overview of the metrics used to determine the successful performance of OCIO departments.

358 Oversight and Compliance Files

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

- a. Performance measurements and benchmarks.
- b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

359 QMG Monthly Action Report

Overview of the major QMG activities and tasks.

GRS 24, 11b

Destroy/delete 5 years after project is terminated.

GRS 24, 1b

Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

GRS 24, 1

- a. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.
- b. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

[Note: See GRS 24, 3b for performance files relating to systems.]

GRS 27, 6

Cut off annually. Destroy/delete when 5 years old.

QUALITY MANAGEMENT GROUP (Cont.)**360 Quality Development and Planning Records**

Research, development and analysis records used to improve the quality of services provided by the USPTO. Covers records showing the overall development of USPTO plans and the evaluation of their effectiveness. Reports, studies, evaluations, recommendations, and related correspondence are included.

Includes the following USPTO records:

- QMG Highlights
- Quality Development and Planning Records

N1-241-05-1:1b

Temporary: Destroy when 5 years old.

361 Quality Services Program Files

Correspondence and final reports on matters related to the mission of the agency's quality services programs.

N1-241-05-1:1a

Temporary: Destroy when 15 years old.

362 Service Level Agreements - Charters and Current Status

Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Includes status information on OCIO's SLA's, and the roles and responsibilities of parties governed by service level agreements.

GRS 24, 9a

Destroy/delete 3 years after control measures or procedures are superseded or terminated.

363 Service Level Agreements -Charter Next Steps

A guide for managing charters.

N1-241-05-1:3a

Temporary: Destroy 10 years after update.

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP**364 Budget Tracking Files**

Files and electronic spreadsheets used to track Division expenditures for budgetary control.

GRS 23, 1

Destroy when 2 years old.

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP

<p>365 Engineering Change Request Spreadsheet Spreadsheet of data described in the USPTO Engineering Change Request. Maintained for monitoring purposes.</p> <p>Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.</p>	<p>GRS 24, 3b(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.</p>
<p>366 Engineering Change Requests Requests from customer for changes to systems used by SDL to manage systems.</p>	<p>GRS 24, 3b(1) Destroy/delete 1 year after termination of system.</p>
<p>367 Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records</p> <ul style="list-style-type: none"> a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. c. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. 	<p>GRS 20, 1</p> <ul style="list-style-type: none"> a. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. b. Delete after information has been transferred to the master file and verified. c. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
<p>368 Forms Files</p> <ul style="list-style-type: none"> a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form. b. Background materials, requisitions, specifications, processing data, and control records. 	<p>GRS 16, 3</p> <ul style="list-style-type: none"> a. Destroy 5 years after related form is discontinued, superseded, or canceled. b. Destroy when related form is discontinued, superseded, or canceled.
<p>369 Hardware and Software Manuals Vendor supplied reference manuals for hardware and software utilized in the operation of the Division.</p>	<p>GRS 20, 11a Destroy or delete when superseded or obsolete, or upon authorized deletion of related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p>

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP (Cont.)**370 IT Asset and Configuration Management Files**

a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Includes the following USPTO records:

-Subject Files (non development)
-Analysis and Planning Task Records

b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems.

Includes, but is not limited to:

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

Includes the following USPTO records:

-Analysis and Planning Task Records
-System Release Data
-Engineering Change Requests
-Data Architecture Records
-Fax Service Specific Information
-Middleware Forms
-Content Management Records
-Client Storage Request Forms
-Network Request Information
-COTS & Software Product Approval Forms
-Test/Evaluation Software Product Approval Forms
-Development Lab Support Services and Request Form
-Configuration Management Plan Activities Records

(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

Includes the following USPTO records:

-Analysis and Planning Task Records

GRS 24, 3

a. Destroy/delete 1 year after completion of the next inventory.

b(1) Destroy/delete 1 year after termination of system.

b(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP (Cont.)**371 IT Infrastructure Design and Implementation Files**

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a. Records for projects that are not implemented.

Includes the following USPTO records:

-AIS Interfaces on Communications Plan
-Infrastructure Request Forms

b. Records for projects that are implemented.

Includes the following USPTO records:

-IT System Development Records For Corporate
-IT System Development Records for Patents
-IT System Development Records for Trademarks
-IT System Development Records for Infrastructure
-AIS Interfaces on Communications Plan
-Project Schedule
-Work Breakdown Structure
-Project Activity Description Report
-Infrastructure Request Forms
-Service Requests
-Server Request Records
-Programmer Maintenance Manual

c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

GRS 24, 11

- a. Destroy/delete 1 year after final decision is made.
- b. Destroy/delete 5 years after project is terminated.
- c. Destroy/delete 3 years after final decision on acceptance is made.

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP (Cont.)

<p>372 IT Procurement Task Order Library</p>	<p>N1-241-05-1:3c,d Destroy when 7 years old.</p>
<p>373 IT System Development Files Materials associated with the implementation and maintenance of information systems. Used by the System Development Leads to maintain systems in production.</p>	<p>GRS 24, 8c Destroy/delete when 3 years old.</p>
<p>374 IT System Development Standards and Policy Files Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.</p> <p>a. Performance measurements and benchmarks.</p> <p>Includes the following USPTO OCIO Standards and Development Policy documentation:</p> <ul style="list-style-type: none"> -Configuration Management Files For AIS Development -Standards Development Profiles -Data Standards Files -Development Standards FilesDevelopment Standards Files 	<p>GRS 24, 1a Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.</p>
<p>375 NIST Compliant Security Plan</p> <ul style="list-style-type: none"> a. System Security Plans and Disaster Recovery Plans. b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. 	<p>GRS 24, 5a,b</p> <ul style="list-style-type: none"> a. Destroy/delete 1 year after system is superseded. b. Destroy/delete 1 year after system is superseded.
<p>376 Non-system Development Subject Files Projects that did not go into production or other OCIO projects by subject.</p>	<p>GRS 27, 6 Cut off annually. Destroy/delete when 5 years old.</p>

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP**377 Patent Application Information Retrieval (PAIR) System Enhancement for PGPub**

The Patent Application Information Retrieval System (PAIR) contains a subset of data maintained in the Patent Application Location and Monitoring (PALM) system. This subset exists in an internal tracking database of patent applications and is presented to a defined audience of Internet users via the Internet site, using a browser and hyperlinked text from the USPTO Home Page. The many types of User Identification (ID) and Customer (ID) relationships are maintained in administrative database tables. The system's primary function is to receive requests for patent application information from external correspondents. The system provides a means for all users to access PALM data on issued patents. PAIR also provides the public with the ability to access the status information on pre-grant publications. The system allows the Applicant/Attorney to review Bibliographic Data for the Pre-Grant Publication (PGPub) application prior to publication and to request changes on the front page of the document. It also provides USPTO employee contact information:

- a. System software and updates
- b. Life Cycle Management Documentation
- c. Inputs (electronic source):
 - 1) Copies of patent application data from PALM
 - 2) Copies of pre-examination status data from PALM
 - 3) Applicant/Attorney Change Requests for PGPub
- d. Outputs (electronic): Bibliographic tracking data for the Pre-Grant Publication (PGPub) application prior to publication
- e. Backups
- f. Vital record copy
- 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.

378 Software Development Standards and Policy

Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

379 Subject Files (Non-Development)

Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Project information for projects that did not go into production as well as non-development records of activities of concern to the system developers.

N1-241-01-05:2

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. Inputs (electronic source):
 - 1) Temporary. Update or delete as needed for current agency business. Use disposition for related records.
 - 2) Temporary. Update or delete as needed for current agency business. Use disposition for related records.
 - 3) Temporary. Maintain in the system until pre-grant publication or 18 months whichever is sooner.
- d. See N1-241-05-2:5
- e. See GRS 24, 4a(1)
- f. Temporary. Backup tape will be used as vital record copy (GRS 20, 8b).
- g. Electronic Mail and Word Processing System Copies:
 - 1) See GRS 24, 12
 - 2) See GRS 24, 12

GRS 27, 2

Destroy 7 years after superseded by new Enterprise Architecture

GRS 24, 3a

Destroy/delete 1 year after completion of the next inventory.

SYSTEMS DEVELOPMENT AND MAINTENANCE GROUP**380 System Release Data**

Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

381 USPTO Engineering Change Request

Form submitted by trademark user groups to request changes to software or to request the creation or production of special reports. Supporting documentation is attached to the form. A Task Control Sheet is prepared to assign the task to staff and to monitor performance and completion. Filed by serial number composed of year plus sequential number. Reports from users on system software errors or unexpected problems that may need corrective action. Record copy maintained in Configuration Management Tool:

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

GRS 24, 3(b)1

Destroy/delete 1 year after termination of system.

GRS 24, 3b(1,2)

(1) Destroy/delete 1 year after termination of system.

NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).

(2) Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

Corporate Systems Division

382 IT Customer Service Files - Logs

Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

GRS 24, 10b

Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

383 Non-Electronic Documents and Forms (Input/Source Records)

Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

GRS 20, 2a

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

384 Reports and Certifications

Annual reports on web site certifications and compliance reviews.

GRS 24, 1b

Destroy when 3 years old or 1 year after the responsible office determines that there are no unresolved issues.

385 Technical Assistance and Guidance

Frequently Asked Questions, feedback records, pamphlets, trend analyses, user guides, instructions for staff and procedures for posting to the USPTO Intranet and Internet sites.

GRS 24, 10a

Destroy 1 year after record is superseded or obsolete.

Corporate Systems Division (Cont.)**386 Technical Assistance and Guidance - Short Term**

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

- (1) Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
- (2) Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.
- (3) Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

GRS 23, 7

Destroy when 3 months old.

387 Web Content - Posted Copies

Information, including copies of documents and forms, presented for reference and public dissemination to the public (internet) and to internal USPTO users (intranet). (NOTE: The office of record for web content is the office of origin and those records are retained according to the relevant record series.

Nonrecord

Destroy when no longer needed for dissemination

REMOTE FACILITIES OPERATIONS GROUP**388 Alternate Operating Facility - Management Files**

Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies.

Includes USPTO charter and resource management documentation for an alternate facility.

GRS 27, 4

Cut off annually. Destroy/delete when 5 years old.

REMOTE FACILITIES OPERATIONS GROUP (Cont.)

389 Disaster Recovery Plans

System Security Plans and Disaster Recovery Plans.

GRS 24, 5a

Destroy/delete 1 year after system is superseded.

390 Files Related to Maintaining the Security of Systems and Data

- a. System Security Plans and Disaster Recovery Plans.
- b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

GRS 24, 5

- a. Destroy/delete 1 year after system is superseded.
- b. Destroy/delete 1 year after system is superseded.