

CHIEF FINANCIAL OFFICER

And Reporting Offices:

CHIEF FINANCIAL OFFICER
Office of Corporate Planning
Office of Finance
Office of Procurement

USPTO Comprehensive Records Schedule

Section 7 - CHIEF FINANCIAL OFFICER

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USPTO Comprehensive Records Schedule

CHIEF FINANCIAL OFFICER

Record Series Detail

CHIEF FINANCIAL OFFICER

1 Administrative Issuances

Directives and administrative orders developed for USPTO by this office, or by the Director, or the DOC:

- a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel)
- b. Case files related to "a" above which document aspects of the development of the issuance.

GRS 16, 1

- a. Destroy when superseded or obsolete.
- b. Destroy when issuance is destroyed.

2 Administrative User Surveys

Files contain surveys of users of services provided by subordinate USPTO organizations, other user surveys, and information on, or for, future Administrative Services surveys.

GRS 23, 1

Destroy when 2 years old.

3 E-mail

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microfilm for recordkeeping purposes.

NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.

GRS 20, 14

Delete from the e-mail system after copying to a recordkeeping system (Treat as paper records: destroy or file as required for record series).

4 Performance Plans of Office Staff

Performance plan describing and/or evaluating each staff member's job performance. Files are consulted by managers in the hiring, rewarding, promoting, and counseling of employees.

GRS 1, 23a(4)

Destroy 4 years after date of appraisal.

5 Requisitions and Purchase Orders

Requisitions, receiving reports, and program office copies of purchases.

GRS 23, 1

Destroy when 2 years old.

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<p>6 Supervisor's Personnel File/Duplicate OPF Documentation Position descriptions, evaluations, sample work, and other records related to the supervision of staff: a. 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. b. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.</p>	<p>GRS 1, 18 a. Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. b. Destroy when 6 months old.</p>
<p>7 Travel Management Noncommercial, Reimbursable Travel Files.</p> <p>Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.</p> <p>Travel administrative office files.</p>	<p>GRS 9, 3(a) Destroy when 6 years old.</p>
<p>8 Travel Orders and Vouchers Copies of travel requests, orders, and vouchers and associated files, accounting for office travel for USPTO representation at meetings, conferences, etc. Original travel vouchers are located in Finance.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>

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<p>9 Adjustments to Base File Documentation recording communication between Office of Budget and program offices bearing on increases or reductions of budget figures, either suggested by Office of Budget or requested by program offices.</p>	<p>GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.</p>
<p>10 Administrative Files Material concerning administrative housekeeping, procurement of goods and services, travel, personnel (non-training and non-appraisal), and references relating to such material.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>

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<p>11 Administrative Finance Files Administrative files include record copies of various USPTO financial activities. Files may include Audit Statements, Financial Statements, Internal Control Reviews, record copies of Year End Reports, Chief Financial Officer Annual Reports, Statements, Five-Year Financial Plans, Joint Financial Management Integrity Files, and Annual Performance and Accountability Reports.</p>	<p>N1-241-05-1:5b (Previously N1-241-95-1:32) Temporary: Destroy when 5 years old.</p>
<p>12 Administrative Issuances Directives and Administrative Orders from the Director and DOC: a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel). b. Case files related to "a" above which document aspects of the development of the issuance. For related records, see USPTO Organizational Records.</p>	<p>GRS 16, 1 a. Destroy when superseded or obsolete. b. Destroy when issuance is destroyed.</p>
<p>13 Audit Records and Coordination Files Copies of Inspector General and GAO audit reports, USPTO monthly reports, and regulations (A-123) maintained in central file subject. Includes supporting documents used to compose responses and updates to recommendations made: a. Policy, procedure, and guidance files: copies of internal directives maintained by P&E staff (but not those copies maintained in the Administrative Issuances file); 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 USPTO's efforts to comply with OMB Circular A-123. Related files under Management Control Reviews.</p>	<p>GRS 16, 14 a. Destroy when superseded. b. Destroy when superseded.</p>
<p>14 Automation Council Meeting Reports Monthly status reports compiled for the office director and more detailed quarterly status reports compiled for the Associate Commissioner. Report includes preparation of project plans and listing of action items. Council Chair maintains reports of meetings.</p>	<p>GRS 16, 8b(1) Destroy when 3 years old.</p>
<p>15 Automation Support Database Database used to track office team activity on quality initiatives for automation throughout USPTO. Records printed and filed. In house database written in C++.</p>	<p>GRS 20, 1 Delete/destroy electronic version when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>16 Bank Card Statements Requisitions and screen prints from Momentum that substantiate credit card procurements.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>

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| <p>17 Budget and Program Analysis Subject Files
Copies of selected correspondence, reports, studies, guidelines, and related technical reference material required in support of budget preparation, presentation, apportionment, and execution. Arranged by subject.</p> | <p>GRS 5, 1
Destroy when 2 years old.</p> |
| <p>18 Budget Background Records
Copies of OCS (Office of Corporate Services) budget requests to the Budget Office, supporting detail, background data, copies of budget as approved by OMB (Office of Management and Budget), and copies of final Congressional appropriation. Materials stored in binders arranged by fiscal year.</p> | <p>GRS 5, 2
Destroy 1 year after the close of the fiscal year covered by the budget.</p> |
| <p>19 Budget Formulation Model (BFM)
Comprehensive budget model, comprised of individual paper spreadsheets for each of the major functional categories of budget formulation and execution. Data entered into this model is derived from data downloaded from National Finance Center (NFC), program offices via PTONet, and reports and correspondence derived from budget guidelines issued by DOC, OMB, Treasury, and the Congress.</p> | <p>GRS 5, 2
Destroy 1 year after the close of the fiscal year covered by the budget.</p> |
| <p>20 Budget Hearing Books and Background Records
Notebooks, files, budget data, and other records that are created to defend USPTO budget submissions in hearings before Congress, OMB, or the Department of Commerce. The records contain retrospective budget data, memoranda, correspondence, testimony, issues papers, and similar records:
a. Hearing Books
b. Background and Subject Files.</p> | <p>N1-241-95-1:50
a. Permanent. Close files at the end of each fiscal year and transfer to the Certified Records Center 3 years after closure. Transfer to the National Archives 10 years after closure.
b. Destroy three years after the close of the fiscal year pertaining to the budget.</p> |
| <p>21 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 (Previously N1-241-95-1:46)
Temporary: Destroy when no longer needed.</p> |

Office of Corporate Planning (Cont.)

<p>22 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 N1-241-95-1:28) Temporary: Destroy 10 years after closure.</p>
<p>23 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 N1-241-95-1:29) Temporary: Destroy 10 years after closure.</p>
<p>24 Budget Records (Planning and Evaluation Office) Budget proposals and reports received from Finance on office expenditures. Used for review and to track allocations. Budget records are maintained in Excel spreadsheets, then printed and filed into object classes and credit card purchases.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>25 Budget Variance File Data received from program offices and Momentum financials used in execution phase of budget management to project surplus or shortfall amounts in appropriations and apportionments.</p>	<p>GRS 5, 3b Destroy 3 years after the end of the fiscal year.</p>
<p>26 Chronological File Copies of incoming and outgoing correspondence maintained in chronological order for reference and referral purposes.</p>	<p>Nonrecord Destroy when no longer needed.</p>
<p>27 Common Distributables Spreadsheets Collection of spreadsheets used to analyze and report on budget, personnel, or general statistical matters. a. When used to produce hard copy that is maintained in organized files b. When maintained only in electronic form. agency software does not readily permit selective deletion, delete after the longest retention period has expired.</p>	<p>GRS 20, 15 a. Delete when no longer needed to update or produce hard copy. b. Delete after the expiration of the retention period authorized 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</p>

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28	Computer and Office Equipment Inventory Inventory of computers used in the office that need to be tracked for obsolescence or accountability. Maintained using the computer, then printed and filed.	GRS 23, 1 Destroy when 2 years old.
29	Computer Specifications Spreadsheet that tracks the specifications of computer equipment in the office. Data used for equipment management and planning: a. When used to produce hard copy that is maintained in organized files b. When maintained only in electronic form. agency software does not readily permit selective deletion, delete after the longest retention period has expired.	GRS 20, 15 a. Delete when no longer needed to update or produce hard copy. b. Delete after the expiration of the retention period authorized 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
30	Contract Monitor Files Small contracts, invoices, balances, and related records procuring economic services and software. Memoranda and other records documenting assignments, progress, and completion of projects.	GRS 16, 5 Destroy 1 year after the year in which the project is closed.
31	Contracting Out for Services (A-76) A-76 Circular, correspondence, and Cost Comparison Studies in central files.	N1-241-05-1:6b (Previously N1-241-95-1:47) Temporary: Destroy when 3 years old.
32	Contractor Time Sheets Original sign-in sheets which document attendance for personnel who are providing support services for Momentum Financials and Procurement Desktop System (PDS). Records are used to certify invoices.	GRS 3, 11 Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
33	Controlled Correspondence Files - Duplicate Copies Copies of correspondence assigned by the Director or Commissioner requiring special attention. Files contain copy of original documents and background notes on final resolution. Organized by control number. Responses may be signed by program office or drafted for signature of Director. Record copy maintained in Director's files.	N1-241-05-1:8d (Previously N1-241-95-1:6) Temporary: Destroy when 2 years old.

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| 34 Corporate Data - Trend Analysis and Long-Term Planning | Trend analysis and long-term planning reports. These reports are run by request or routinely for other offices within USPTO. | N1-241-05-1:6c (Previously N1-241-95-1:39) |
| | 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. | Temporary: Destroy when no longer needed. |
| 35 Customer Focus Session Case Files | Lists of attendees and instructors, class evaluations, samples of brochures, publications, paper reproductions of the instructors' transparencies, pencils, or other premiums given to attendees, and final recommendations. | GRS 1, 29a(1) |
| | | Destroy when 5 years old or 5 years after completion of a specific training program. |
| 36 Director's Calendars | Director's calendar listing activities and attendance at meetings and conferences. | GRS 23, 5a |
| | | Destroy or delete when 2 years old. |
| 37 E-mail | Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microfilm for recordkeeping purposes. [Note: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.] | GRS 20, 14 |
| | | Delete from the e-mail system after copying to a recordkeeping system (treat as paper records: destroy or file as required for record series). |
| 38 Employee Performance/Appraisal File | Supervisor's office copy of evaluation of employee's actual performance. destroy file related to an employee within 1 year after separation or transfer. | GRS 1, 18a |
| | | Review annually and destroy superseded or obsolete documents; or |
| 39 Employee Training File | Documentation on planned and completed training of Budget employees. | GRS 1, 29b |
| | | Destroy when 5 years old or when superseded or obsolete, whichever is sooner. |

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40	Facilitator Files Records on facilitators who provide training. Used to find instructors for specific types of training.	GRS 1, 29a(2) Destroy when 3 years old.
41	Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities) Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures. [NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.] a. Circular No. A-76 case files/studies maintained by office having primary responsibility. [NOTE: To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.] b. Circular No. A-76 records maintained by other offices, including information copies and background material.	GRS 3, 18 a. Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 - 10 years after cut off. b. Cut off upon completion of study. Destroy 2 years after cut off.
42	Fee Income File Data specifying actual cash receipts under fee schedules as reported to Office of Finance by program offices. This is used in estimating budget requirements, reports to the Chief Financial Officer and Chief Administrative Officer and as historical support for appropriations based on fee income.	GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.
43	Files of Director of Office of Budget Material of immediate and direct interest to the Office Director. This material is filed by subject within the projected and prior 3 fiscal years. This material does not contain Office's official policy and procedure.	GRS 5, 1 Destroy when 2 years old.

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44	Final Budget Submissions The final approved USPTO budget submission sent annually to Congress, OMB, and the Department of Commerce. when 10 years old.	N1-241-95-1:49 Permanent. Cut off files annually and transfer to the Certified Records Center at the end of each fiscal year. Transfer to the National Archives
45	Final Proposed USPTO Budget Record copy of final USPTO budget proposals and appropriation requests formatted according to annual guidelines imposed by DOC and OMB.	GRS 5, 3a Destroy when 5 years old.
46	FYI Memos Short-term informational memos and general administrative reminders with agency-wide or office-wide distribution.	GRS 23, 7c Destroy when 3 months old.
47	Graphics Files Graphics produced for the Bicentennial, USPTO Newsletter, newspaper advertisements for patent examiners, Project XL, creative thinking, and others.	GRS 21, 6 Destroy 1 year after final publication or when no longer needed.
48	Hearing Books File Retrospective data, at line item and object class level, defended during prior budget submissions.	GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.
49	Key Log Log of office keys and record of key loans.	GRS 18, 16b Destroy 6 months after turn in of key.
50	Mail Analyses Report Files Daily, weekly, and monthly reports on the volume, types, and destinations of mail received by the In/Out Mail Unit and processed through the Application Review Processing Unit.	GRS 12, 6d Destroy when 1 year old.

Office of Corporate Planning (Cont.)

51	Management Control Reviews Studies conducted by the office to see if internal controls are being followed or are effective. Previously called Internal Control Reviews. Follow-up is conducted until any problems detected have been solved. After 1994 reviews will no longer be submitted to OMB through the DOC. Office has responsibility for coordinating internal control functions and coordinating files are included in this schedule. For related records, see Audit Records and Coordination Files.	GRS 16, 14f(1) Cut off when no further corrective action is necessary. Destroy 5 years after cut-off.
52	Management Plans and Variances USPTO office goals, objectives, and plan information consisting of budget and production data (Program Project Plans). Management Information Charts showing deviations from the budget in charts, graphs and text are included in the same binder. Updated monthly from data supplied by Budget and USPTO offices with additional narrative and graphic representation.	GRS 5, 3b Destroy 3 years after the end of the fiscal year.
53	Miscellaneous General Expenditure Distribution File Documentation showing distribution, by formula, of appropriated funds over USPTO cost centers.	GRS 5, 4 Destroy 2 years after the close of the fiscal year.
54	New Fees Calculation File Documentation received from cost centers which describe assumptions and calculations used in recommending new fees.	GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.
55	Obligations and Expenditure Documents Common Distributable Funds Copies of requisitions, Momentum requisitions, invoices, and credit card statements required as a part of the budget execution process to maintain spending accountability.	GRS 7, 4b Destroy when 2 years old.
56	Obligations and Expenditure Invoices OCS Program Office Funds Copies of invoices representing payments for products or services obtained for USPTO. Invoices divided between overall OCS expenses and OCS personnel. Original copy of invoice forwarded to Finance for payment. Records also serve as source documents for entries posted in the Expenditure and Obligation Database.	GRS 7, 4b Destroy when 2 years old.

Office of Corporate Planning (Cont.)

57	Obligations and Expenditures Database Common Distributables Running ledger of specific expenditures recorded during the progress of the fiscal year. Source data input from invoices in the Obligations and Expenditures Files. Arranged by organization code. Database maintained in the CCI system.	GRS 7, 4a Destroy when 3 years old.
58	Obligations and Expenditures Database OCS Program Office Funds Running ledger of specific expenditures during the progress of the fiscal year. Source data input from the Obligations and Expenditures document Files. Arranged by organization code. Database maintained in the CCI system.	GRS 7, 4a Destroy when 3 years old.
59	Office Calendars Office calendars used for scheduling and to establish dates of meetings and conferences held in previous years.	GRS 23, 5a Destroy or delete when 2 years old.
60	Overtime Authorization Files Requests, justifications, and authorizations for the conduct of overtime work throughout the Office of Administrative Services. Arranged by office.	GRS 2, 7 Destroy after GAO audit, or when 6 years old, whichever is sooner.
61	Passport Files a. Applications and related correspondence regarding passports required for official USPTO business b. Annual reports concerning official passports c. Passport registers. NOTE: Official passports should be returned to the Department of State upon expiration or upon separation of the employee.	GRS 9, 5 a. Destroy when 3 years old or upon separation of the bearer, whichever is sooner. b. Destroy when 1 year old. c. Destroy when superseded or obsolete.
62	Patent Fee Program Promulgation of rules, hearing records and responses, fee correspondence, fee implementation, mailings to attorneys, and other records related to inflationary and other fee increases.	N1-241-95-1:42 Break files by fiscal year. Destroy in office when 20 years old.
63	Patent Fee Program Address Database Address lists of individuals who have contacted the office for information. When fees are published, copies are mailed to addressees from database.	GRS 14, 1 Destroy when 3 months old.

Office of Corporate Planning (Cont.)

64	Personnel Actions (SF 52 and SF 50) Copy of pending personnel action requests and actions affecting OAS personnel. Filed by employee name.	GRS 1, 14b Destroy when 1 year old.
65	Planning Resource Library USPTO reports and publications; DOC directives; publications, texts and reports from the World Intellectual Property Organization; publications and reports from international patent organizations; and other qualitative and quantitative data collected by staff for use as a shared resource. Index to material is maintained on an EXCEL spreadsheet.	Nonrecord Destroy outdated publications and reports.
66	Presentation Files Text, graphics, and photographs prepared to clarify speeches presented by the Associate Commissioner and executive staff. Filed by name of presentation. Slides maintained in notebook by subject as resource for new presentations.	GRS 21, 5 Destroy 1 year after use.
67	Production/Workload Files Monthly accumulation of performance, personnel, and output data from USPTO program offices. This data is used in appropriation and apportionment reports to Congress and OMB.	GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.
68	Program Office Fund Spreadsheets Collection of spreadsheets for purposes of analyzing and reporting budget, personnel, or general statistical matters. Maintained in EXCEL: a. When used to produce hard copy that is maintained in organized files b. When maintained only in electronic form. agency software does not readily permit selective deletion, delete after the longest retention period has expired.	GRS 20, 15 a. Delete when no longer needed to update or produce hard copy. b. Delete after the expiration of the retention period authorized 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
69	Program Project Plans Performance goals collected from USPTO offices, then updated and issued quarterly to the Director, Commissioners, and USPTO executives. Prior to 1994 reports were called "Management by Objective Reports."	GRS 5, 3b Destroy 3 years after the end of the fiscal year.
70	Projected Results of Adjusted Fee Schedules Documentation supporting reports to DOC and Congress describing how appropriations (based on USPTO fee income) are to be used in executed budget.	GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.

Office of Corporate Planning (Cont.)**71 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.

N1-241-05-1:1b (Previously N1-241-95-1:2, N1-241-95-1:3, N1-241-95-1:4, N1-241-95-1:43)

Temporary: Destroy when 5 years old.

72 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.

N1-241-05-1:1b (Previously N1-241-95-1:1)

Temporary: Destroy when 5 years old.

73 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 (Previously N1-241-95-1:5)

Temporary: Destroy when 15 years old.

74 Reading File

Chronological copies of outgoing correspondence.

Nonrecord

Destroy when no longer needed.

75 Records of System Administrator Requests

Record of requests to the system administrator for Procurement Data System changes. As a result of the full system control levels enjoyed by the System Operator, internal procedures require that all system changes be documented in paper.

GRS 6, 5b

Destroy when 3 years old.

76 Reengineering Team Working Papers

Studies, flowcharts, and related analyses accompanying proposed organizational, information technology, or workflow realignments which are a part of the continuing USPTO business process reengineering program.

N1-241-95-1:45

Break files by fiscal year. Destroy when 5 years old.

77 Resource Library

Collection of publications, articles, and reports on benchmarking, quality services, and subjects related to improving performance. The library also includes videos and access to a commercial database containing benchmarking information.

Nonrecord

Destroy when superseded or obsolete.

Office of Corporate Planning (Cont.)**78 Spreadsheet Files**

Spreadsheets of economic and/or patent data used as sources for analysis and to produce tables and charts for reports and publications:

- a. When used to produce hard copy that is maintained in organized files
- b. When maintained only in electronic form.
agency software does not readily permit selective deletion, delete after the longest retention period has expired.

79 Statistical Models Summaries

Summaries of statistical models that were run but not selected for use. Maintained for reconsideration at a later time.

80 Strategic Plans and Operational Plans Working Papers

Strategic plans mandated by the Government Performance and Results Act (GPRA). Produced at intervals of four years or less. Distributed USPTO-wide, to Congress, and interested members of the public. Strategic plans present general future directions for the USPTO. The operational plans are the in-house version contain specific implementation details. New plans incorporate previous data. Files include working wrappers.

81 Subject Files - Office of Budget Planning and Evaluation

Subject files maintained for the office that contain routine correspondence used for administrative purposes.

82 Supervisor's Personnel Files/Duplicate OPF Documentation

Actions, evaluations, samples of work, counseling activity, and records related to supervising staff:

- a. Supervisor's 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.
- b. Duplicate Documentation: All other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

GRS 20, 15

- a. Delete when no longer needed to update or produce hard copy.
- b. Delete after the expiration of the retention period authorized 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

Nonrecord

Destroy when no longer needed.

N1-241-95-1:44

Close files at the end of the plan or when superseded by a new plan. Transfer to the Certified Records Center 10 years after closure. Destroy 25 years after closure.

GRS 23, 1

Destroy when 2 years old.

GRS 1, 18

- a. Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.
- b. Destroy when 6 months old.

Office of Corporate Planning (Cont.)**83 Technical Reference Material**

Material related to budget formulation and execution: Budgets of U.S. Government; Management of the U.S. Budget; Statistical Abstract of the United States; Training Plan Booklet; Annual Reports of the Commissioner; U.S. Government Organization Manual; Salary Tables; Zero Base Analyses; Conference and Meeting Reports; Program and Analysis Handbooks; and Collective Bargaining Agreements.

Nonrecord

Destroy when superseded or when no longer needed.

84 Tracking Sheets

Spreadsheets maintained through the formulation phase of the fiscal year (FY) to record the status of three budget categories (positions, full-time equivalents, and funds) as they are to be presented to DOC, OMB, and the Congress.

GRS 20, 15b

Delete after the expiration of the retention period authorized 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.

85 Trademark Financial Report File

Documentation showing distribution of appropriated funds to Trademark operations based on fee income generated by those operations.

GRS 5, 4

Destroy 2 years after the close of the fiscal year.

86 Training Information and Completed Forms

Records of staff training.

GRS 23, 1

Destroy when 2 years old.

87 Travel Files - (Federally Funded)

Copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A and transportation requests (SF 1169), travel authorizations, and supporting documents.

GRS 9, 1c

Destroy 6 years after the period of the account.

88 Travel Orders and Vouchers

Copies of travel requests, orders, and vouchers and associated files, accounting for office travel for USPTO representation at meetings, conferences, etc. Original travel vouchers are located in Finance.

GRS 23, 1

Destroy when 2 years old.

Office of Corporate Planning (Cont.)**89 Trilateral Patent Data Exchange Program**

Data exchange program between European Patent Office, Japanese Patent Office and the USPTO. Data is published annually on a revolving basis by the three members:

- a. USPTO data reviewed and formatted for submission under the program
- b. Office copies of feeder reports and data for submission under the program.

N1-241-95-1:48

- a. Break files by calendar year. Destroy 5 years after publication of data.
- b. Break files by calendar year. Destroy when 3 years old.

90 Trilateral Statistical File

Documentation supporting text, tables, charts, and graphs provided by the USPTO for inclusion in the Trilateral Statistical Report. USPTO data is combined with similar data provided by the European Patent Organization (EPO) and the Japanese Patent Office (JPO). Responsibility for the report's compilation rotates annually among the three patent offices:

- a. Published report
- b. All other files

N1-241-95-1:31

- a. Permanent. Close files annually and transfer to the Certified Records Center with the Final Budget Submissions at the end of each fiscal year. Transfer to the National Archives when 10 years old.
- b. Break files at the end of each calendar year. Destroy when 5 years old.

91 Unit Cost Analyses

Analyses, investigations, and research material used to compile ad hoc reports to Chief Financial Officer and Chief Administrative Officer concerning patent issuances.

GRS 5, 3b

Destroy 3 years after the end of the fiscal year.

92 USPTO Organizational Records

Background records detailing reorganization of the USPTO after a change in administration or when directed by the Commissioner. Reorganization order is released under DOC Administrative Order. For related records, see Administrative Issuances.

N1-241-95-1:41

Permanent. Close files annually after each update and transfer to the Certified Records Center 3 years after closure. Transfer to NARA 10 years after closure.

93 USPTO Program Performance Files

Documentation satisfying requirements of the Chief Financial Officers Act (CFOA) of 1990 and the Government Performance and Results Act (GPRA) of 1993. GPRA requires a 5 Year Strategic Plan with triennial updates. CFOA requires an annual financial report. This data is submitted in varying formats to DOC, OMB, and the Executive Office of the President.

N1-241-95-1:30

Close files at the end of the plan. Destroy when 20 years old.

Office of Finance

Office of Financial Management Systems

<p>94 Consolidated Instructions to Financial Systems End Users Presentations during informal meetings that are used to inform, instruct and provide specific sub-system instructions and overview to the Financial Systems Division and contracting staff.</p>	<p>GRS 24, 10a Destroy/delete 1 year after record is superseded or obsolete.</p>
<p>95 Daily Core Financial Job Summaries Summary of reports run from Core Financial System that are posted to the nightly reports web page. Momentum reports are used throughout the USPTO.</p>	<p>GRS 20, 1c Delete/destroy when no longer needed in accordance with sound business practice and agency standard operating procedures.</p>
<p>96 Financial Accounting and Financial Transactions (General Accounting Ledgers) General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.</p>	<p>GRS 7, 2 Destroy 6 years and 3 months after the close of the fiscal year involved.</p>
<p>97 Financial Systems Security Registration Forms Registration forms submitted by Financial System users annually requesting authority and profiles for Office of Finance's automated financial systems. These forms annotate users information, workstation and office data, and roles approved by their program offices.</p>	<p>GRS 24, 6a 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.</p>

Office of Financial Management Systems (Cont.)**98 FSD Files and Reports**

Momentum is a client/server, web-enabled integrated system that permits full integration of the processing of financial transactions with other normal USPTO business processes. Momentum replaced (as of November 2002) the USPTO use of the Department of Interior's Federal Financial System (FFS) and interfaces with Procurement Desktop (PD), Travel Manager, the Revenue Accounting Management System, as well as Department of Agriculture's National Finance Center (NFC) payroll system and the Department of Treasury's disbursement transaction system. Momentum enables USPTO program offices at the manager's desktop to tie all functions of financial accounting together through monitoring of budgets and plans, common posting to the general ledger, funds control, payroll, purchasing, fixed assets, travel, accounts receivable, accounts payable, automated disbursements, operating plan execution, external reports, security and workflow processes through an integrated relational database. Momentum generates output files and external reports by online inquiry through report generation and document tracking capabilities. Momentum provides financial information at both detailed and summary levels in a multitude of easily understood formats to enable the user to evaluate and analyze the cost of operations. Momentum records payable amounts from liquidated obligations and scheduled payments, and supports operating plans with periodic tracking of actual versus planned spending. Data is entered directly into Momentum, and Procurement Desktop, Travel Manager, and RAM data is transmitted to Momentum - (i.e., financial aspects of requisitions, obligations, payments, receivables, fixed assets, travel documents, revenue transactions, disbursements, payroll transactions, budgets, scanned invoices, and vendor and employee information necessary for financial transactions.

GRS 20, 3b(2)

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later (Reference GRS 6, 1.a.) [Disposition administered by the Office of Finance].

99 Help Desk Tracking Logs

Momentum and Travel Manager Help Desk logs and reports and other files related to financial system customer query and problem response; nature of problem, date, time, duration and resolution are recorded; query monitoring 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.

100 IT Infrastructure Design and Implementation File Copies Maintained in e-mail or Word Processing Systems

Signed technical documentation as required for the Technical Review Board for Momentum, Travel Manager or Procurement Desktop are housed with the Office of Chief Information Officer. Financial System Division maintains recordkeeping copies only.

GRS 24, 8a

NOTE: Disposition citation might be 24, 11.b. Destroy/delete within 180 days after the recordkeeping copy has been produced.

101 IT Infrastructure Design and Implementation Files

Installation and testing records from the latest version of Momentum, Travel Manager, or Procurement Desktop implemented into production.

GRS 24, 11c

Destroy/delete 3 years after final decision on acceptance is made.

Office of Financial Management Systems (Cont.)**102 NFC Biweekly Payroll Dump**

Paper record of detailed USPTO payroll data, received each pay period. Because of the size of this report, only most recent two pay periods are retained for reference. Older data is retrievable from backup electronic files maintained at NFC and from microfiche reports received from the Dept. of the Treasury. Contains data protected by the Financial Privacy Act:

- a. Error reports, ticklers, system operation reports
- b. Reports and data used for agency workload and or personnel management purposes - Microfiche, titled "Payroll Detail Report".
- c. Reports providing fiscal information on agency payroll - Paper copy.

GRS 2, 22

- a. Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
- b. Destroy when 2 years old.
- c. Destroy after GAO audit or when 3 years old, whichever is sooner.

103 NFC Biweekly Payroll Dump - Updates to system

NFC payroll detail files are electronically transmitted to a USPTO server. The file is copied, renamed and moved to a new location to be stored. The original is uploaded into Momentum.

GRS 20, 8b

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

104 RAM Interface Daily Transfers

Records of transactions that have been transferred from the RAM System to Momentum that were posted on the previous day. Transfer is accomplished electronically through transmission of data file to USPTO server and upload of documents into Momentum.

GRS 20, 2b

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

105 Security and Registration Forms for the Electronic Certification System Access Files User IDs

Summary of reports that are run from Momentum. Used to document Momentum system use and charges. Momentum Reports are used throughout the USPTO. Certify Officer (CO) and Security Administrator (SA) profiles are updated every other year. Head of Agency's and data entry operator's profiles are effective until revoked. We maintain a carbon copy of signed original. The signed original goes to FMS.

GRS 24, 6a

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.

106 Super User ID Report - Paper

Momentum daily generated report that tracks transactions processed by system administrators for the previous day. Report is printed and justification for transaction is attached or noted.

GRS 6, 5b

Destroy when 3 years old.

Financial Accounting Division

<p>107 Bank Deposits Copy of the daily bank deposit slips (SF 215) which account for transactions processed into the RAM system on the previous day. Details supporting the deposits are contained in Daily Control Sheets and RAM Daily Transaction Listings located in the Receipts Accounting Division.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>108 Contracts A copy of USPTO contracts. Contains terms and conditions, and itemized deliverables and prices. Contains invoices for specific deliverables: a(1)a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000 a(1)b. Transactions of \$25,000 or less and construction contracts under \$2,000.</p>	<p>GRS 3, 3 a. Destroy 6 years and 3 months after final payment. b. Destroy 3 years after final payment.</p>
<p>109 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</p>	<p>N1-241-05-1:5d (Previously N1-241-95-1:33, N1-241-95-1:34) Temporary: Destroy when 2 years old.</p>
<p>110 Express Checks System A standalone database system which maintains inventory of controlled stock of American Express travelers checks.</p>	<p>GRS 6, 1a Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.</p>
<p>111 Fund Transfer Verification Files Electronic record of daily payment authorizations through printed Treasury checks or electronic funds transfer (Fedline or ACH). Transactions are stored on a PC.</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>112 Gifts and Bequests CD Form 210's which document receipts by USPTO for other than sale of products or services-predominantly payments by outside organizations to defray travel expenses associated with USPTO representation at conferences or meetings.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>

Financial Accounting Division (Cont.)

<p>113 Intragovernmental Charges (IPAC Reports) Monthly reports from the Department of Treasury which identify interagency transfers of funds. Reports are also called IPAC Reports. Invoices which support these transfers are located in the invoice files. Information is available on-line through the Government On-line Accounting Link (GOALS) system. Note: This Item applies to paper.</p>	<p>GRS 6, 1 Destroy 6 years and 3 months after period covered by account.</p>
<p>114 Invoice Logs Report generated from Momentum daily, which lists invoices in process including those being approved by program offices. When paid, invoices drop from the invoice log and appear on a transaction register. Information available online.</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>115 Invoices and Vouchers for Supplies and Services Original record copy of paper vouchers, invoices and related documents, certified by appropriate personnel, which document outlays paid by the Treasury on behalf of the USPTO. Arranged by year, vendor (or type of service), and month. Payees include governments and international organizations as well as commercial sources of supplies or services.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>116 Monthly Closing "Trial Balances" Consists of copy of appropriation warrant together with "Trial Balances" printout and copies of SF 133 and SF 224, with backup cash reconciliation reports and payroll reports and bank balances through Cash Link.</p>	<p>GRS 7, 3 Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.</p>
<p>117 Monthly Report on Obligations (SF 225) Statement of obligations by object class submitted to Department of Treasury Financial Management Service.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>118 Monthly Statement of Budget Execution (SF 133) Copy of report submitted to the DOC by the 21st of each month of expenditures in: a. Salaries and expenses b. Delegated building fund c. Gifts and bequests.</p>	<p>GRS 5, 3b Destroy 3 years after the end of the fiscal year.</p>

Financial Accounting Division (Cont.)

<p>119 Monthly Statement of Transactions (SF 224) and Back-up Documentation Report of dollar value of receipts and payments by appropriation fund or receipt account code. Includes spreadsheets which substantiate the report.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>120 NFC Biweekly Payroll Dump Paper record of detailed USPTO payroll data, received each pay period. Because of the size of this report, only most recent two pay periods are retained for reference. Older data is retrievable from backup electronic files maintained at NFC and from microfiche reports received from the Dept. of the Treasury. Contains data protected by the Financial Privacy Act: a. Error reports, ticklers, system operation reports b. Reports and data used for agency workload and or personnel management purposes - Microfiche, titled "Payroll Detail Report" c. Reports providing fiscal information on agency payroll - Paper copy.</p>	<p>GRS 2, 22 a. Destroy when related actions are completed or when no longer needed, not to exceed 2 years. b. Destroy when 2 years old. c. Destroy after GAO audit or when 3 years old, whichever is sooner.</p>
<p>121 Rejected Invoices A copy of the form letter sent to vendors whose invoices are found to be improper. Filed chronologically.</p>	<p>GRS 6, 5b Destroy when 3 years old.</p>
<p>122 Returned Check Collection Letters Copy of letter sent to individual indicating that the check, used for payment of services, was returned by the financial institution due to insufficient funds.</p>	<p>GRS 6, 4 Destroy when 3 years old.</p>
<p>123 Schedule of Payments (SF 1166 and FFS) A copy of the daily authorization to the Dept. of the Treasury for the disbursement of funds as payment of proper invoices. The schedule is supported by the Voucher Selection Detail Report (004 Report) which lists payee, amount, and transaction reference number of each payment. SF 1166 is used for foreign transactions, and the Momentum equivalent is used for domestic payments.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>124 Statement of Differences (TFS 6652) Monthly register of transactions under IPAC through the Online Payment and Collection System (IPAC) portion of Government Online Accounting Link System (GOALS) billing agency listing by customer. (Report TFS 6652):</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>

Financial Accounting Division (Cont.)

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|---|---|
| <p>125 Treasury Deposits Reported by National Bank Card Corp. (NABANCO)
Daily reports from the credit card service bureau which identify deposits in USPTO accounts at the Dept. of Treasury. Receipts are result of sale of USPTO goods or services through credit cards. Arranged chronologically.</p> | <p>GRS 6, 1a
Destroy 6 years and 3 months after period covered by account.</p> |
| <p>126 Unpaid Checks
File of original checks that have been returned by the financial institution, due to lack of funds:
Paper</p> | <p>GRS 6, 1a
Destroy 6 years and 3 months after period covered by account.</p> |
| <p>127 Unpaid Checks Database
A standalone database which contains an entry for each outstanding unpaid check. Database is used to generate collection correspondence, and to generate statistics. Transactions are searchable by serial number and applicant name.</p> | <p>GRS 20, 3b
Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.</p> |

Status and Entity Division

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|--|---|
| <p>128 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</p> | <p>N1-241-05-1:5d (Previously N1-241-95-1:36)
Temporary: Destroy when 2 years old.</p> |
| <p>129 Official Gazette Notices
Official listing of expiration dates for patents that have expired. This listing is a technical reference file.</p> | <p>Nonrecord
Destroy when superseded or no longer needed.</p> |
| <p>130 Report of Requests
Report that tabulates information requests answered for the month (Report AR 86).</p> | <p>GRS 23, 1
Destroy when 2 years old.</p> |

Status and Entity Division (Cont.)**131 Requests for Maintenance Fee Status**

Office answers up to five serial or patent number questions over the phone, and requires a written request for more than five. Because of the time-sensitive nature of the information, requests are sent via facsimile. Requests are annotated with the answers and returned via facsimile.

GRS 14, 1

Destroy when 3 months old.

Receipts Accounting Division**132 Armored Courier Receipt Log**

Log that is signed when custody of bank deposits transfers from office to armored courier en route to bank.

GRS 6, 1a

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

133 Cash Receipts Daily Transactions

Computer listing of all the batches that were processed by the previous day's shifts into yesterday's bank deposit. Report contains serial number only, and lists each employee's daily processing numbers. The report is generated through the RAM system.

GRS 20, 1c

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

134 Cashier Reconciliation Files

Daily reconcile envelope that holds receipts from both cashier windows including cash and credit card receipts. The envelope consists of one day's worth of transactions. At the end of the day, the envelope is sealed and boxed.

GRS 6, 1a

Keep in office for 1-2 months, and then transferred to the Certified Records Center. Destroy 6 years and 3 months after period covered by account.

135 Checks Deposited - MICROFILM

A 16mm microfilm image of the check rendered in payment for application fee as submitted with the patent. Contains serial number of the patent. One reel for each day's transactions. Required for audits.

GRS 6, 1a

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

136 Daily Control Sheets

Contains a copy of the SF 215 Deposit Ticket, spreadsheets which list the batches that make up the day's deposit, and a copy of the verifying adding machine tape. Copies of the deposit ticket are sent with checks to the bank with a copy of the adding machine tape. Copies of the deposit ticket are also sent to Finance Division. If there problems are found by the bank, reports are sent to Finance Division. Filed daily.

GRS 6, 1a

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

Receipts Accounting Division (Cont.)

<p>137 Deposit Account Authorization Processing Files Authorization for USPTO to withdraw funds from a customer's deposit account for fees in support of new or amended patent or trademark action. This letter is stamped, processed, entered into the RAM system, and microfilmed. Original forms are destroyed. Related records under Deposit Account Transactions.</p>	<p>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.</p>
<p>138 Deposit Account Transactions - MICROFILM A 16 mm image of the deposit account authorization letter used in payment for the requested action. One reel for each day's transactions. When the film passes quality assurance, the authorization letters are destroyed. Film required for audit.</p>	<p>GRS 6, 5b Destroy when 3 years old.</p>
<p>139 Deposit Ticket (SF 215) Deposit ticket with copies retained in the office, filed daily.</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>140 Phone Request Log Log of incoming telephone inquiries regarding payment status, deposit account balance, or related information. Contains: date of request, account number, brief description of information supplied. Filed chronologically.</p>	<p>GRS 23, 7 Destroy when 3 months old.</p>
<p>141 RAM Audit Trails for Cashier Windows The daily transaction listings of all cashier window receipts which were processed into the RAM system.</p>	<p>GRS 6, 1a Keep in office for 1-2 months, and then transferred to the Certified Records Center. Destroy 6 years and 3 months after period covered by account.</p>
<p>142 RAM Interface Daily Report Paper record copy of transactions that have been transferred from the RAM system, where they were posted on the previous day, to the Momentum system. For related records, see Cash Deposit Daily Transactions under Receipt Accounting Division.</p>	<p>GRS 6, 1b Destroy when 1 year old.</p>
<p>143 Refund Request Letters Request for refund letter sent in by individual as a result of overpayment. The refund is issued by check or ACH; or posted to the individual's deposit account through the system. A copy of the letter is retained in the Office of Finance Imaging System (OFIS); the signed copy is filed with the Patent or Trademark Case File once action is complete.</p>	<p>GRS 6, 10a Destroy when 6 years 3 months old.</p>

Receipts Accounting Division (Cont.)**144 Revenue Accounting Management Files**

Revenue Accounting and Management (RAM) files represent the processing of receipts and deposit account transactions throughout USPTO. The purpose of RAM is to record accurately the revenue receipts (cash, credit cards, EFT, and checks) that accompany applications, purchase of copies, and deposit account activity (deposits and refunds). RAM processes fee accounting transactions and updates Momentum daily. The system also provides features to allow the Receipt Accounting Division to quickly respond to customer inquiries about fees processed and deposit account activity:

N1-241-05-1:5a (Previously N1-241-98-2:5)

Temporary: Destroy 6 years, 3 months after last activity on an assignment.

Office of Procurement**145 Blanket Purchase Agreement (BPA)**

Agreements with vendors for materials or services required on a recurring but unscheduled basis. Agreements are limited to amounts below \$25,000 unless material/service is on GSA schedule.

GRS 3, 3a(2)(b)

Destroy 3 years after final payment.

146 Branch Actions

Copies of correspondence, memos, completed forms, etc., attached to CD 409 data input sheets which cover contractual actions reported to Commerce Procurement Data System (CPDS). Retained for potential error correction after data is transmitted to CPDS. Record copies of reports are filed in individual contract folders.

GRS 3, 3c

Destroy upon termination or completion.

147 CD ROM Vendor File

Database used to research and verify information required to process purchase orders in the Small Purchases Division. It contains GSA schedules, product descriptions, prices, and availability. The data is provided by subscription on a CD-ROM and updated monthly. Nonrecord technical reference material.

Nonrecord

Destroy when superseded.

148 Contract Files

History of each contract from solicitation through close-out. Specific documents required for each contract are listed on Contract File Content Form under 6 major categories: Pre-Solicitation; Solicitation; Pre-Award; Post Award; Contract Administration; and Modification/Closeout.

GRS 3, 3a(1)(a)

Destroy 6 years and 3 months after final payment.

Office of Procurement (Cont.)

<p>149 Contract Files Filed Separately Routine procurement files from solicited and unsolicited bids and proposals. Files. Including contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.</p>	<p>GRS 3, 3a(1)(a) Destroy when related contract completed.</p>
<p>150 Contract Files Filed Together Routine procurement files from solicited and unsolicited bids and proposals files. Including contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.</p>	<p>GRS 3, 3a(1)(a) Destroy with related contract case file.</p>
<p>151 Credit Card Transactions Bank statements of credit card transactions with program office receiving reports completed by authorized personnel. Official accountable officer's file. (NOTE: See GRS 23, 1 for copies of credit card statements.)</p>	<p>GRS 6, 1a Destroy 6 years and 3 months after period covered by account.</p>
<p>152 E-mail Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microfilm for recordkeeping purposes. NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.</p>	<p>GRS 20, 14 Delete from the e-mail system after copying to a recordkeeping system (treat as paper records: destroy or file as required for record series).</p>
<p>153 General Correspondence Files Chronological file containing correspondence on operations not related to contracts, purchase orders and the primary functions of the Office of Procurement. No companion subject file exists for these records.</p>	<p>GRS 3, 2 Destroy when 2 years old.</p>
<p>154 Imprest Fund Log/Form Documentation on cash outlays for services and material purchases under \$500.</p>	<p>GRS 6, 5b Destroy when 3 years old.</p>

Office of Procurement (Cont.)**155 Procurement Desktop System**

Electronic system handling transactions in the Office of Procurement, operating concurrent with Momentum. Momentum currently handles the majority of transactions. The system helps manage acquisitions during requisitioning, contract placement, and contract management. System also accumulates data for a quarterly reports to DOC (Summary Contract Action Report, SF 281).

GRS 20, 3b

Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.

156 Purchase Orders

Computer-generated purchase order forms (OF Form 347 or USPTO Form 1593) containing data required for acquisition of services and material not covered by procurement contracts. Includes copy of program office requisition (USPTO Form 1593). Copies distributed to vendor, USPTO program office, and the Finance Office.

GRS 3, 3a(2)(b)

Destroy 3 years after final payment.

157 Purchase Orders - Transactions dated on or after July 3, 1995

Routine procurement files from solicited and unsolicited bids and proposals files. Includes contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration receipt, inspection and payment. Does not include Real Property Files or Tax Exemption Files. Does include transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.

GRS 3, 3a(1)(b)

Destroy 3 years after final payment.

158 Records Disposition File

Copies of SF 135 used to transfer records from the Office of Procurement to the Federal Records Center. Each form contains accession number, disposal authority, date of transfer, description of material, and disposal date. Copies are also maintained in Records Management, Data Administration Branch.

GRS 16, 2a

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

159 Small, Disadvantaged or Women Owned/Operated Businesses

Capability and interest statements, solicited and unsolicited, from vendors qualifying as small, 8A, disadvantaged, women operated, and minority businesses.

GRS 3, 17

Destroy when 3 years old.

160 Summary Contract Action Report (SF 281)

Quarterly summary reports to DOC produced by Momentum Financials and the Small Purchases Desk Top Procurement System.

GRS 3, 3c

Destroy upon termination or completion.

Office of Procurement (Cont.)

161 Technical Reference/Research Material for Contract Specialists

Information 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; CFR; DOC Accounting Circulars; DOC Administrative Orders; DOC Memos to
Heads of Contracting Offices; OMB Circulars.

Nonrecord

Destroy when superseded or when no longer needed.