

# **CHIEF ADMINISTRATIVE OFFICER**

**And Reporting Offices:**

**CHIEF ADMINISTRATIVE OFFICER**

**Office of Human Resources**

**Office of Civil Rights**

**Office of Corporate Services**

**Office of Administrative Services**

# USPTO Comprehensive Records Schedule

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# USPTO Comprehensive Records Schedule

## CHIEF ADMINISTRATIVE OFFICER

### Record Series Detail

#### CHIEF ADMINISTRATIVE OFFICER

- |          |  |   |
|----------|--|---|
| <b>1</b> | <b>Administrative Issuances</b><br>Directives and administrative orders developed for USPTO by this office, or by the Director, or the DOC:<br>a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel)<br>b. Case files related to "a" above which document aspects of the development of the issuance.  | <b>GRS 16, 1</b><br>a. Destroy when superseded or obsolete.<br>b. Destroy when issuance is destroyed. |
| <b>2</b> | <b>Administrative User Surveys</b><br>Files contain surveys of users of services provided by subordinate USPTO organizations, other user surveys, and information on, or for, future Administrative Services surveys.  | <b>GRS 23, 1</b><br>Destroy when 2 years old.   |
| <b>3</b> | <b>Deputy Commissioner's Correspondence Day Files</b><br>Copies of outgoing correspondence signed by the Deputy Associate Commissioner filed in chronological order. Replies to incoming correspondence are also filed in the Deputy Associate Commissioner's Subject Files.   | <b>GRS 23, 1</b><br>Destroy when 2 years old.   |
| <b>4</b> | <b>Deputy Commissioner's Subject Files</b><br>Subject files containing correspondence, reports, and directives used as a resource for the Deputy Chief Administrative Officer (Deputy Associate Commissioner) and as documentation of decisions and policy. Subjects include management objectives and both policy and informational items related to responsibilities that fall under Administrative Services, Human Resources, or The Center for Quality Services. | <b>GRS 23, 1</b><br>Destroy when 2 years old.   |

**CHIEF ADMINISTRATIVE OFFICER (Cont.)**

<b>5</b>	<b>E-mail</b> 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.	<b>GRS 20, 14</b> Delete from the e-mail system after copying to a recordkeeping system (Treat as paper records: destroy or file as required for record series).
<b>6</b>	<b>Performance Plans of Office Staff</b> 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.	<b>GRS 1, 23a(4)</b> Destroy 4 years after date of appraisal.
<b>7</b>	<b>Requisitions and Purchase Orders</b> Requisitions, receiving reports, and program office copies of purchases.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>8</b>	<b>Supervisor's Personnel File/Duplicate OPF Documentation</b> 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.	<b>GRS 1, 18</b> 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.
<b>9</b>	<b>Travel Management</b> Noncommercial, Reimbursable Travel Files.  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.	<b>GRS 9, 3(a)</b> Destroy when 6 years old.
<b>10</b>	<b>Travel Orders and Vouchers</b> 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.	<b>GRS 23, 1</b> Destroy when 2 years old.

## Office of Human Resources

- 11 Administrative Files - Office of Human Resources**  
Matters concerning the conduct and operation of the Human Resources Office: budget, contracts, special projects, delegations of authority, information systems, finance, grievances, labor-management relations, and training.
- GRS 23, 1**  
Destroy when 2 years old.
- 12 Administrative Files - Systems and Special Projects Division**  
Files on budget, personnel, procurement, information policy, and other administrative and housekeeping matters. Copies of policies, procedures, guidelines, and memoranda regarding the recording, collecting, and processing of time and attendance data. Also included are reference materials on the office computer systems and databases used in the office. Arranged by numerical subject codes.
- GRS 23, 1**  
Destroy when 2 years old.
- 13 Applicants with Expired Eligibility**  
File register of applications whose eligibility has expired [Required by OPM].
- GRS 1, 33g**  
Break records on individuals with terminated eligibility annually. Destroy 5 years after break.
- 14 Arbitrator Research Files**  
Collection of decisions rendered and used in the arbitrator selection process, sorted by arbitrator name.
- Files created and maintained by individual attorneys in the course of their daily work or to complete assignments. Includes reference materials and duplicated official correspondence located in other files; also includes documentation of review of policies, procedures and activities of USPTO offices. Includes attorney working files and legal advice files.
- GRS 1-241-05-1:2a (Previously N1-241-95-1:13)**  
Temporary: Destroy when no longer needed.
- 15 Budget Documents and Apportionments**  
Reference copies of budget submissions, requests, and approved budgets for most recent five years. Documents and schedules the apportionment of the approved budget throughout the Office. Files are used to establish baselines and report trends.
- GRS 5, 4**  
Destroy 2 years after the close of the fiscal year.
- 16 Certification of Eligible Files (Clerical) Register**  
Files are used to compile lists of eligible candidates to fill vacancies. Eligibilities expire one year from date of rating. Each referral to a hiring manager is recorded in applicant's folder. Eligible candidates not selected are returned to eligible file. Files subject to OPM audit under terms of delegation authority.
- GRS 1, 33g**  
Destroy 2 years after register is terminated.

**Office of Human Resources (Cont.)**

<b>17 Child Support and Alimony Log</b> Log of USPTO employees who, under court order or by voluntary agreement, pay alimony and/or child support by means of salary deduction.	<b>GRS 2, 18</b> Destroy 3 years after garnishment is terminated.
<b>18 Chron Files</b> Copies of all memoranda issued by the Labor Relations Division arranged by date of issue.	<b>Nonrecord</b> Destroy when no longer needed.
<b>19 Clarification of Unit Petition</b> Original record of union request to change bargaining unit status of designated positions. Contains background material concerning identified positions, copies of memoranda issued pursuant to union request, and copies of ultimate resolution.	<b>GRS 1, 28a(1)</b> Destroy 5 years after expiration of agreement.
<b>20 Combined Federal Campaign Materials</b> Administrative files related to the conduct of the annual Combined Federal Campaign. (Note: Authorizations for individual allotments to the CFC are filed in the Individual Pay Files.)	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>21 Completed Audit Files, Chronological by Fiscal Year</b> File of eligibles forwarded to managers for selection. When position is filled, applications of unselected eligibles are noted as having been considered and returned to Certified Eligible Files.	<b>GRS 1, 33g</b> Destroy 2 years after register is terminated.
<b>22 Contracts and Delivery Orders</b> Background, justifications, requisitions, and program office copies of contracts greater than \$25,000. Program office copies of delivery orders for contract administration purposes.	<b>GRS 3, 3c</b> Destroy upon termination or completion.
<b>23 Copies of USPTO Annotated Labor Management Contracts</b> Stock supply of labor management contracts annotated by management to guide supervisors in the administration of the contract.	<b>Nonrecord</b> Destroy when contract expires.
<b>24 Copies of USPTO Labor Management Contracts</b> Stock supplies of labor management contracts arranged by negotiating unit. Copies of the contract are distributed to bargaining unit employees and managers, and are used by Division staff.	<b>Nonrecord</b> Destroy when contract expires.

**Office of Human Resources (Cont.)**

25	<p><b>Course File</b> File maintained by each training specialist containing course material, background, schedules, students, vendors, financial data, etc. on each course managed. This is a convenience file used to respond to inquiries, revise course material, and design new courses.</p>	<p><b>GRS 1, 29a(2)</b> Destroy when 3 years old.</p>
26	<p><b>Daily Log of Rated Application File</b> List of applications which have been rated. At end of week, the accumulation is reported to management as one productivity measure.</p>	<p><b>GRS 1, 33q</b> Cut off annually. Destroy 2 years after cut off.</p>
27	<p><b>Day File</b> Copies of all outgoing correspondence filed by date.</p>	<p><b>Nonrecord</b> Destroy when no longer needed.</p>
28	<p><b>Delegation Agreement WA-CM-0047, OPM and USPTO</b> Authorization for USPTO to establish a Delegated Employment Unit (DEU) "to recruit and examine applicants for the positions indicated, establish competitive inventories (registers) and issue certificates of eligibles." Also contains amendments, updates, and correspondence relative to the basic agreement.</p>	<p><b>GRS 1, 33a</b> Destroy 3 years after termination of agreement.</p>
29	<p><b>Department of Commerce Honorary Awards Processing Files</b> Lists of recipients and records produced to support and coordinate a program of awards which bestow honor and prestige on the recipients. The gold and silver medals are awarded by the Secretary of Commerce, the bronze medal is awarded by the Commissioner of Patents and Trademarks at an annual ceremony.</p>	<p><b>GRS 1, 12d</b> Destroy when superseded or obsolete.</p>
30	<p><b>DEU Applicants (Rated)</b> Applications, including OF612, academic transcripts, and recommendations. Records have been rated and entered into a database at Office of Personnel Management.</p>	<p><b>GRS 1, 33g</b> Destroy 2 years after register is terminated.</p>
31	<p><b>Dues Deduction Forms</b> Copies of all SF 1187s and 1188s submitted by the union and/or employee to affect the commencement or cancellation of union dues deductions. Originals filed in Individual Employee Pay Record.</p>	<p><b>GRS 2, 15b</b> Destroy after GAO audit or when 3 years old, whichever is sooner.</p>

**Office of Human Resources (Cont.)****32 Employee Performance Files**

Performance evaluations issued annually or more frequently if warranted. Employee performance on Form CD-516 is not filed in the OPF until an employee separates or transfers to another agency. Filed by employee name. Files are the joint responsibility of the Classification and Employment Division and Employee Relations Division.

**GRS 1, 23a(4)**

Destroy 4 years after date of appraisal.

**33 Employee Relations Case Files**

Administrative grievance, disciplinary, and adverse action files:

- a. Disciplinary case files include Performance Improvement Appraisal Plan and letter and other evidence of employee behavior documented in supervisor's memos, employee's replies, statements by other parties such as previous employers, health professionals if reasonable accommodation is a factor in the case, or law enforcement agencies, or other documentation related to the employee's case. Disciplinary case files include a letter to the employee describing the proposed personnel action. After a minimum of 30 days, a letter of decision is issued. Files are maintained in red case binders. Copies: Cases referred for decision
  - (1) are reproduced and placed in a green case file. At this time a copy of the file is also made for (2) the employee; (3) the union; or (4) the employee's attorney. If the case is contested by the employee the (1) green case file becomes the litigation file where additional correspondence and exhibits are added to the file. After the case is settled or closed and the appeal period has been exhausted, the green file is returned to Employee Relations where it is disassembled, the additional contents inserted into the red case file, duplications shredded, and the red case file maintained for seven years from the date of the last action.
- b. Disciplinary and adverse actions initiated by supervisors, or requests for medical documentation, or administrative grievances filed by employees.

**GRS 1, 30**

- a. Destroy 7 years after case is closed [Published in accordance with the Privacy Act by the Department of Commerce on behalf of the USPTO].
- b. Destroy 7 years after case is closed. [Published in accordance with the Privacy Act by the Department of Commerce on behalf of the USPTO.]

**34 Employee Relations Database**

Suitability data is stored in this database. Suitability reports are issued by OPM on newly appointed employees. If the background check results in a negative report, the USPTO may elect to terminate the employee instead of granting permanent employment status.

**GRS 20, 3a**

Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later.

**35 Employee Relations Division Files**

Policy subject files containing copies of directives from the DOC, Office of Personnel Management, and USPTO Human Resources. Files are used for administrative reference in meeting the duties and responsibilities of the Employee Relations Division. Includes FYI memos, case law, and related information.

**N1-241-05-1:4a (Previously N1-241-95-1:12)**

Temporary: Close inactive files annually. Destroy 25 years after closure.

**Office of Human Resources (Cont.)**

<b>36 Employee Relations Litigation Files</b>	Files are initially duplicates of Employee Relations Case Files inserted into green case folders and transferred to DOC legal staff. During the process of litigation until settlement, closure documents and related correspondence are added to the files which remain with the attorney assigned to the case. They are moved to employee's place of work if employee is transferred. The files are maintained by the Legal staff until the case is closed and the appeals process has been exhausted. The files are then returned to the Division for integration with the Employee Relations Case Files in red binders. These reintegrated files are maintained for seven years after the date of the latest document in the file.	<b>GRS 1, 30a</b>	Destroy 7 years after case is closed. [Published in accordance with the Privacy Act by the Department of Commerce on behalf of the USPTO.]
<b>37 Employee Training File for OPF</b>	Copies of employee training contained in the OPF file. Filed by employee name, the record contains training requested, approved, and completed. Data is derived from SF 182, Request, Authorization, Agreement, and Certification of Training.	<b>GRS 1, 29b</b>	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
<b>38 Employment Applications for Applicants not hired for Patent Examining Positions</b>	Records associated with special reviews and ratings of federal job applicants not hired to Patent Examination positions.	<b>N1-241-05-1:4d (Previously N1-241-98-2:2d(2))</b>	Temporary: Destroy when 2 years old.
<b>39 External Awards (From Federal or Non-Federal Sources) - Processing Files</b>	Various awards from sources inside and outside the federal government. Files are composed of lists of requestors and interested employees, and lists of recipients or nominees for the last three years.	<b>GRS 1, 12a(2)</b>	Destroy when 2 years old.
<b>40 Federal Personnel Manual (FPM)</b>	Technical reference material required to maintain and administer personnel policies and procedures according to current laws and regulations. FPM is supplemented by the FPM Sunset Document, which must be consulted before determining applicability.	<b>Nonrecord</b>	Destroy when superseded.
<b>41 FFS Data Entry Files</b>	Files relating to office expenditures (acquisitions, training, travel, or other expenses) which have been processed into Momentum.	<b>GRS 3, 3c</b>	Destroy upon termination or completion [of the transaction].

**Office of Human Resources (Cont.)**

<b>42</b>	<b>Financial Disclosure Covered Positions, Form SF 450</b> Annual form submitted by patent examiners and certain other USPTO employees disclosing their financial holdings. Information is used to prevent conflicts of interest and/or any appearances of impropriety. Past practice allowed submission of documentation declaring "no change from previous year."	<b>GRS 25, 2b(2)</b> Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.
<b>43</b>	<b>Focus Reports</b> Biweekly or monthly reports generated from the National Finance Center database which are used by office staff for reference and review. Topics include such issues as union dues status and bargaining unit status.	<b>GRS 2, 22b</b> Destroy when 2 years old.
<b>44</b>	<b>Freedom of Information Act Denial Files</b> Correspondence denying access to part or all of records if not appealed.	<b>GRS 14, 11a(3)(a)</b> Destroy 6 years after date of reply.
<b>45</b>	<b>General Correspondence</b> Records of Labor Relations Division correspondence to the unions and managers. Organized by year, union, and subject.	<b>GRS 1, 28b</b> Destroy when 5 years after resolution of case.
<b>46</b>	<b>Grievance Report Log</b> A paper record of the official receipt of a grievance. Lists date and time of receipt, name of grievant, and labor relations specialist handling the case.	<b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.
<b>47</b>	<b>Grievances</b> Original record of employee complaint and management responses. Organized by year, union, and grievant name.	<b>GRS 1, 28a(1)</b> Destroy 5 years after expiration of agreement.
<b>48</b>	<b>Health Benefits Registration, Form SF-2809</b> Copy of form used for new enrollments or changes to current enrollments of health benefits. Original is filed in OPF. Copy mailed to employee. 'Payroll' copy maintained in office for convenience in answering employee and staff questions.	<b>GRS 1, 18b</b> Destroy when 6 months old.

**Office of Human Resources (Cont.)**

<b>49</b>	<b>Incomplete Applications (HR)</b> Applications which are lacking in some requirement needed to obtain a rating. Applicants have been notified that additional material is required.	<b>GRS 1, 33m</b> Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and cancelled applications 90 days after date of action or when register is terminated, whichever is sooner.
<b>50</b>	<b>Individual Pay Files</b> Payroll-related financial, W-2, insurance, and check deposit information on all employees. Maintained separate from the OPF.	<b>GRS 2, 1b</b> Transfer to National Personnel Records Center. Destroy when 56 years old.
<b>51</b>	<b>Information Requests</b> Original requests submitted by the union in accordance with the contract and the labor relations statute, for information needed by the union to pursue representational activities. Maintained in database form in "Grievance/Information Request" database. Arranged by year, union, and requestor name.	<b>GRS 1, 28a(1)</b> Destroy 5 years after expiration of agreement.
<b>52</b>	<b>Interagency Placement Program (IPP) Application and Registration Sheet</b> List of qualified employees provided by OPM (Macon, GA), used when filling certain positions. The list replaces Displaced Employee and Inter-Agency Placement Assistance programs.	<b>GRS 1, 33r</b> Destroy upon expiration of employee's DEP eligibility.2 c33
<b>53</b>	<b>Intern Program Records</b> Materials concerning recruitment, selection, training and evaluation of interns. Includes application forms (SF 171), outline of training program, copies of notable work assignments or reports, and evaluations of interns.	<b>GRS 1, 29b</b> Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
<b>54</b>	<b>Job Applicant Reports</b> Reference reports run on applicants to USPTO jobs.	<b>N1-241-05-1:4e (Previously N1-241-98-2:2g)</b> Temporary: Delete when no longer needed for reference.
<b>55</b>	<b>Key Inventory</b> Register of individuals to whom key access cards have been issued.	<b>GRS 18, 16b</b> Destroy 6 months after turn in of key.

**Office of Human Resources (Cont.)**

<b>56</b>	<b>Labor Management Relations Internal Meetings</b> Agendas and minutes of the Labor Relations Coordinating Committee, Friday morning meeting, and other equivalent established groups that allow coordination and provide guidance on labor relations matters.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>57</b>	<b>Labor Relations Subject/Activity Files</b> Copies of correspondence and related printed reference material arranged by general subjects of interest to labor relations specialists.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>58</b>	<b>Leave Audits</b> Actions requested by the USDA National Finance Center to resolve discrepancies between time and attendance data transmitted and time and attendance data already on file. Contains corrective actions taken: a. Copies subject to GAO audit.	<b>GRS 2, 23a</b> Destroy after GAO audit or when 3 years old, whichever is sooner.
<b>59</b>	<b>Leave Transfer Program</b> Employee leave donations. Records of donations made to USPTO employees who have exhausted their leave by other federal employees. Each file contains the recipients request and medical information and donor forms. Filed by leave recipient name except for donors to other agencies whose forms are filed together in one folder.	<b>GRS 1, 37</b> Beginning in January 1994, destroy one year after the end of the year in which the file is closed.
<b>60</b>	<b>Leave Without Pay Records</b> Documentation of employee's request for leave without pay. File includes a copy of SF 52 and the employee's written request and medical certificate. Original record is sent to Payroll for data entry, then forwarded to OPM: a. If employee initials time card or equivalent b. If employee has not initialed time card or equivalent.	<b>GRS 2, 6</b> a. Destroy at end of the following pay period. b. Destroy after GAO audit or when 3 years old, whichever is sooner.
<b>61</b>	<b>Levy or Garnishment Files</b> List of court directed salary levies and garnishments on USPTO employees.	<b>GRS 2, 18</b> Destroy 3 years after garnishment is terminated.

**Office of Human Resources (Cont.)**

<p><b>62 Manual Tracking Registers of National Finance Center (NFC) Automated Input/Output</b></p> <p>Requests by employees for information on separations, clearances, payroll actions, records of leave, indebtedness, NFC procedures, payroll error reports, and various other types of actions which were satisfied by the office.</p>	<p><b>GRS 23, 7a</b></p> <p>Destroy when 3 months old, or when no longer needed, whichever is sooner.</p>
<p><b>63 MAP Case File/Checklist</b></p> <p>Master file of each merit appointment which documents the procedure followed and includes MAP case number, position, location, area of consideration, and names of persons considered. File includes a list of 26 items to be reviewed for completeness, with certifying signatures of personnel management specialist, personnel assistant, and supervisor. Documentation of situations not encountered in the routine processing of MAP cases are also included. These include inter-agency placement matters, extension of merit promotion certificates, veteran's appointments, and congressional correspondence.</p>	<p><b>GRS 1, 32</b></p> <p>Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.</p>
<p><b>64 Negotiation Files</b></p> <p>Memoranda and minutes of negotiation sessions, strategy sessions, copies of draft proposals, and resultant signed agreements. Files organized by union and topic under negotiation. Records include basic negotiations and a variety of impact and implementation negotiations on automation, reorganization, relocation, signatory authority, and similar topics.</p>	<p><b>GRS 1, 28a(1)</b></p> <p>Destroy 5 years after expiration of agreement.</p>
<p><b>65 New Employee Orientation Material Files</b></p> <p>Information for new USPTO employees: to include work schedules, parking/transportation, dress code, ethical standards and behavior, procurement integrity rules, EEO program and abuse of position. Attendees are required to read certain documents, sign tax forms and a Department of Commerce responsibilities/conduct form, and provide proof of citizenship. This file material is affected by requirements originated from external sources: IRS, DOC, OPM.</p>	<p><b>GRS 1, 29a(1)</b></p> <p>Destroy when 5 years old or 5 years after completion of a specific training program.</p>
<p><b>66 NFC User ID Request Log</b></p> <p>Log of letter requests for computer password access by authorized Systems and Special Projects staff members to the National Finance Center database. The log allows password control, which is necessary for database security.</p>	<p><b>GRS 23, 8</b></p> <p>Destroy or delete when 2 years old, or 2 years after the date of the last entry, whichever is applicable.</p>

**Office of Human Resources (Cont.)****67 Non-Qualified Applicants**

Applications rated unqualified on the basis of information submitted by the applicant.

**GRS 1, 33h**

Ineligible applications may be returned to the applicant with the notice of ineligibility. Destroy ineligible applications not returned and cancelled applications 90 days after date of action or when register is terminated, whichever is sooner.

**68 Official Personnel Files (OPF)**

Comprehensive folder containing history of employee status:

- a. Transferred employees
- b. Separated employees.

**GRS 1, 1**

- a. See Chapter 7 of the Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.
- b. Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service.

[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

**69 Open Vacancy Announcement Log**

List of USPTO vacancy announcements indicating whether job is union or non-union. Used as a convenience tool for personnel assistants in answering inquiries by eliminating database or file search. (MAP Automated Form JOBLOG.XLS.)

**GRS 23, 8**

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

**70 Partnership Working Groups**

Research materials, agendas, minutes, recommendations, and resulting documents generated as a part of alternative dispute resolution process. Organized by year, union, and subject. Topics include: garnishment, bargaining unit status code review, family medical leave act, essential personnel, and financial disclosure.

**GRS 1, 28a(1)**

Destroy 5 years after expiration of agreement.

**71 Performance Appraisals of SES Appointees**

Performance plan describing and/or evaluating each Senior Executive Service (SES) appointee's job performance. Files are consulted by managers in the hiring, rewarding, promoting, and counseling of SES appointees.

**GRS 1, 23b(3)**

Destroy 5 years after date of appraisal.

**Office of Human Resources (Cont.)**

<b>72</b>	<b>Performance Awards Processing Files</b> List of performance awards containing the name and dollar amount of each award. Data comes from computer printouts. The list is used to check payroll listings on the terminal to determine when the checks have been cut.	<b>GRS 1, 12d</b> Destroy when superseded or obsolete.
<b>73</b>	<b>Performance Plans of Office Staff</b> 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.	<b>GRS 1, 23a(4)</b> Destroy 4 years after date of appraisal.
<b>74</b>	<b>Personnel Policy and Procedures Course Update</b> Curriculum for USPTO personnel policy and procedures course. training program.	<b>GRS 1, 29a(1)</b> Destroy when 5 years old or 5 years after completion of a specific
<b>75</b>	<b>Personnel Statistical Reports</b> Reports containing statistical analyses of personnel actions derived from data on SF 52s. Ad hoc reports requested infrequently. Classification and Employment Division retains paper copies of reports which are of direct and immediate interest to them.	<b>GRS 1, 16</b> Destroy when 2 years old.
<b>76</b>	<b>PFTS Personnel Folder Tracking System</b> 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.	<b>GRS 23, 8</b> Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.
<b>77</b>	<b>Position Description Number Log and Index</b> Index to both standard position descriptions (e.g., typist, clerk, messenger), and position descriptions which satisfy specific USPTO requirements (e.g., specialized patent examiner). Updating is done when new position descriptions are written or as new employees are assigned to standard positions. (MAP Automated Form: PDLOG.WB1.)	<b>GRS 23, 9</b> Destroy or delete with the related records.
<b>78</b>	<b>Procurement Spreadsheets</b> Cost and transaction accounting overview of office procurements including contracts, purchase orders, and credit card accounts. Spreadsheets are in Excel. Paper source copies of actions contained in spreadsheets are in same work area (see Requisitions and Purchase Orders.)	<b>GRS 20, 15b</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 agency software does not readily permit selective deletion, delete after the longest retention period has expired.

**Office of Human Resources (Cont.)**

<b>79</b>	<b>Report for Supervisors (Newsletter)</b> Materials associated with the production and content of the Supervisors' Newsletter. Includes source notes, copies of articles in progress, and edited proof copies of final copy.	<b>GRS 23, 7</b> Destroy when 3 months old.
<b>80</b>	<b>Requests for FOCUS Reports</b> Requests from USPTO administrators for one-time or scheduled reports generated from the US Department of Agriculture National Finance Center Payroll database through the FOCUS programming language. Files may contain the FOCUS source code which generated reports. Reports analyze employee payroll statistics by various socioeconomic and education categories, supervisory or nonsupervisory status, use of various types of leave including AWOL and LWOP, length of service, workforce breakdowns by age, grade, and cost center, the incidence of adverse actions, individual and government contribution to TSP accounts, and performance appraisals. Actual reports are delivered to requestor. Copy is not maintained in this office.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>81</b>	<b>Requisitions and Purchase Orders</b> Requisitions, receiving reports, and program office copies of purchases under \$25,000. Organized by object class number and by requisition number within object class.	<b>GRS 3, 3c</b> Destroy upon termination or completion.
<b>82</b>	<b>Restored Leave Processing Files</b> Lost leave may be restored if the loss is: 1) because of a refused leave request due to unusual exigencies, 2) because donated leave was not taken by the recipient, or 3) due to a payroll leave computation error: a. Copies subject to GAO audit b. All other copies.	<b>GRS 2, 23a</b> a. Destroy after GAO audit or when 3 years old, whichever is sooner. b. Destroy 1 month after end of related pay period.
<b>83</b>	<b>Retirement Database</b> Source for retirement estimates provided to prospective retirees and for the Employee Retirement Files.	<b>GRS 20, 3b(1)</b> Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

**Office of Human Resources (Cont.)****84 Retirement Files**

Employee's earned retirement, eligibility and selection of benefits. Each file includes a transmittal letter to the National Finance Center (NFC) and retirement estimate obtained from the Retirement Database. Other forms included in the file: SF 2801; SF 2801-1; SF 2801 Sched. D; SF 52; all SF 2809's, SF 2810's, SF 2817's, SF 2818's, and SF 176's; SF 2819; SF 2823; SF 2821; TSP-18; TSP-3; Separation clearance form. If Civil Service Retirement System: SF 2800. If disability: SF 2824; SF 2824A; SF 2824B; SF 2824C; SF 2824D; SF 2824E. If Federal Employee Retirement System: SF 2807; SF 3107-1; SF 3107-2; SF 3109 Sched B. If FERS disability: SF 3105A; SF 3105B; SF 3105C; SF 3105D; SF 3105E; application for Social Security Benefits.

**85 Salary Offset Files**

Investigation file compiled by Payroll including other information for decision regarding requests for waiver of repayment of overpayments to payroll errors. Decision document sent to Payroll for processing:

- a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount.)
- b. Denied waivers.

**86 Salary Offset Program**

Waiver request investigation files compiled by Payroll. Includes other information supporting the decision regarding requests for waiver of repayment due to payroll errors. Decision document is sent to Payroll for processing:

- a. Approved waivers
- b. Denied waivers.

**87 Separations: Health Insurance Forms, SF 2810**

Copies of health insurance forms documenting employee's separation from USPTO. Original filed in OPF but routed through Payroll where data is entered into Momentum. Copies maintained by staff to answer retiree questions.

**88 Separations: Thrift Savings Plan Form, TSP 18**

Copy of form used to notify the Thrift Savings Plan (TSP) of employee separation from USPTO. Original copy of TSP 18 is sent to TSP at the National Finance Center in New Orleans.

**GRS 2, 28**

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.

**GRS 6, 11**

- a. Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.
- b. Destroy with related claims files in accordance with items 10.b. and 10.c. of this schedule.

**GRS 6, 11**

- a. Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.
- b. Destroy with related claims files in accordance with items 10.b. and 10.c. of this schedule.

**GRS 1, 18b**

Destroy when 6 months old.

**GRS 1, 18b**

Destroy when 6 months old.

**Office of Human Resources (Cont.)**

<b>89</b>	<b>Service Pin Awards Processing Files</b> Computer report of USPTO service anniversaries. Employees receive a service pin for each five year segment of employment from 5 years to 50 years. Computer reports are generated listing eligible employees. A letter is then generated and sent to each director for signature and transmission to employees. Only the printout is retained as a record in the office.	<b>GRS 1, 12b</b> Destroy when 1 year old.
<b>90</b>	<b>Settlement Information</b> Convenience copy of the settlement including the results of disputes or legal actions and the actions required by the terms of the agreement. Used by Office to insure terms are satisfied in timely manner. Originals in Employee Relations Division: a. A note or other reminder to take action b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.	<b>GRS 23, 6a</b> a. Destroy after action is taken. b. Withdraw documents when reply is received. 1) If suspense copy is an extra copy, destroy immediately. 2) If suspense copy is the file copy, incorporate it into the official files.
<b>91</b>	<b>SF 52 (Processing copy)</b> Processing copy of SF 52 retained by personnel specialist for reference and workload measurement.	<b>GRS 2, 22b</b> Destroy when 2 years old.
<b>92</b>	<b>SINQ Reports</b> Audit record of transactions processed by the National Finance Center (NFC) which are recorded on PACT and PRES input screens. Includes reports produced by NFC which identify transactions that do not pass NFC's audit checks, and which must be corrected within 3 days.	<b>GRS 2, 22a</b> Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
<b>93</b>	<b>Special Act Awards Processing File</b> Awards given to employees who perform a special act not normally considered part of their job requirement. Supervisors nominate the employee and document their performance. If the award is approved, documentation is filed in the employee's OPF.	<b>GRS 1, 12a(1)</b> Destroy 2 years after approval or disapproval.
<b>94</b>	<b>Studies and Research Articles</b> Record copies of special research projects undertaken at the request of the Director and/or the Commissioner. Includes background resource materials and notes.	<b>N1-241-95-1:7</b> Cut off closed files annually and transfer to Certified Records Center 10 years after closure. Destroy 15 years after closure.

**Office of Human Resources (Cont.)**

<b>95</b>	<b>Subject Files - Human Resources</b> Integrated files of Classification and Employment Divisions I and II. Contains correspondence, background, and research for correspondence, background for intra-divisional projects, and general unsolicited material, all filed under subject.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>96</b>	<b>Suggestion Program Processing Files</b> Employee ideas that could benefit the USPTO by decreasing waste, fraud, or increase efficiency. Suggestions are evaluated by appropriate specialty area. The specialty area sends the suggestion back with the evaluation and certificate. Monetary awards based on a percentage of the value of the successful suggestions may also be granted to the employee. Files consist of suggestions submitted by employee with corresponding evaluations.	<b>GRS 1, 12a(1)</b> Destroy 2 years after approval or disapproval.
<b>97</b>	<b>Support Staff Awards Processing Records</b> Performance awards to support staff based on quarterly performance rather than annual performance. Files consist of nominations and related processing documents. Approximately twenty employees receive the award each year, and one among them may be named the "Support Staff Person of the Year." This person receives 10% of their salary as an award.	<b>GRS 1, 12a(1)</b> Destroy 2 years after approval or disapproval.
<b>98</b>	<b>Temporary Individual Employee Records</b> Applications and supporting material used to justify the selection of a candidate for a work detail assignment. Includes a copy of the SF 52 which effects the detail:  a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.  b. Immigration and Naturalization Service Form I-9.	<b>GRS 1, 10</b> a. Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records. b. Destroy 3 years after employee separates from service or transfers to another agency.
<b>99</b>	<b>Time and Attendance Case Files</b> Documentation of the circumstances causing time and attendance discrepancies, and the corrective actions taken to resolve the discrepancies: a. Copies subject to GAO audit. b. All other copies.	<b>GRS 2, 23</b> a. Destroy after GAO audit or when 3 years old, whichever is sooner. b. Destroy 1 month after end of related pay period.
<b>100</b>	<b>Time and Attendance Input Records</b> Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	<b>GRS 2, 8</b> Destroy after GAO audit or when 6 years old, whichever is sooner.

**Office of Human Resources (Cont.)**

<b>101 Time and Attendance Source Records</b> A temporary electronic copy of employee Time & Attendance data (in MS DOS) on diskette. The diskette is recycled each pay period, and thus only the current pay period exists. The paper time and attendance data is the original record copy.	<b>GRS 20, 2b</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 back-up to, a master file or database, whichever is later.
<b>102 Time and Attendance Status Tracking Logs</b> Reports generated by the NFC each pay period regarding error reports, error trend reports, notices of salary offsets, notifications of change in leave category, leave transfer program logs, and collection reports. Some logs are for reference only, and some require follow-up action with program offices.	<b>GRS 2, 22a</b> Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
<b>103 Time and Attendance Transmission Audit Trail Files</b> Records constituting the audit trail for the electronic transmission of time and attendance information each pay period from USPTO to the National Finance Center in New Orleans. Arranged by pay period, materials identify transmissions by date, time, batch, and time and attendance contact point number.	<b>GRS 2, 22a</b> Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
<b>104 Training Catalog for Fiscal Year Processing Files</b> List of courses available to USPTO employees: policies and enrollment instructions; training plan for management and supervisor competencies; list of professional, technical, clerical, and administrative courses; ancillary courses; TQM courses; office automation courses; video training; and course calendar. Background and working files for the development of the catalog.	<b>GRS 1, 29a(2)</b> Destroy when 3 years old.
<b>105 Training Catalog for Fiscal Year Record Copy</b> Record copy of annual catalog listing courses available to USPTO employees. Catalog includes policies and enrollment instructions; training plan for management and supervisor competencies; list of professional, technical, clerical, and administrative courses; ancillary courses; total quality management courses; office automation courses; video training; and course calendar. Printed catalog.	<b>N1-241-95-1:9</b> Destroy when 3 years old.
<b>106 Training Detail Announcement</b> Announcements posted at visible locations that identify qualifications, duration and application procedure for temporary work details. Work Detail Interest Form may be attached if particular qualifications are required.	<b>GRS 23, 1</b> Destroy when 2 years old.

**Office of Human Resources (Cont.)**

<b>107 Training Manual and Curriculum Update File</b> Central files of training opportunities available. Development specialists maintain duplicate/similar information relative to their area of training specialization: a. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. b. Background and working files.	<b>GRS 1, 29a</b> a. Destroy when 5 years old or 5 years after completion of a specific training program. b. Destroy when 3 years old.
<b>108 Training Materials for Managers</b> Handouts, visual aids, lecture notes, and reference materials used in the training of managers. Training topics include: contract administration, administration of official time procedures, and grievance handling.	<b>GRS 1, 29a(1)</b> Destroy when 5 years old or 5 years after completion of a specific training program.
<b>109 Training Needs Assessment Files</b> Correspondence, meeting notes, and needs assessments maintained by each personnel development specialist, used in the design and initiation of new training courses.	<b>GRS 1, 29a(2)</b> Destroy when 3 years old.
<b>110 Training Profile Database (TRAI)</b> Online database of courses taken by any employee. Alphabetic listing by employee name identifying courses taken, dates, request number, vendor code, and start/finish date. Input sources: SF 182. Outputs: Training reports.	<b>GRS 1, 29b</b> Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
<b>111 Travel Files</b> 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.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>112 Travel Orders and Vouchers</b> 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.	<b>GRS 23, 1</b> Destroy when 2 years old.

**Office of Human Resources (Cont.)**

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| <p><b>113 Unfair Labor Practices (ULP)</b><br/>Original record of the alleged unfair labor practice filed by the union, the USPTO, or the employee. Contains record of final resolution of the claim, and all memoranda generated pursuant to the claim.</p>                                  | <p><b>GRS 1, 28b</b><br/>Destroy 5 years after final resolution of case.</p>  |
| <p><b>114 Union Officials Time Reports</b><br/>Original statements detailing the number of hours used by union members in the conduct of official union business.</p>   | <p><b>N1-241-05-1:4b (Previously N1-241-95-1:14)</b><br/>Temporary: Destroy after GAO audit or when 6 years old, whichever is sooner.</p>         |
| <p><b>115 Vacancy Announcement</b><br/>Master copy of announcement of position vacancy: contains duties, qualifications, location, title, series, grade. Upon completion of MAP selection a copy of this announcement becomes part of the MAP case file (MAP Automated Form:VACANCY.DOC).</p> | <p><b>GRS 23, 1</b><br/>Destroy when 2 years old.</p>   |
| <p><b>116 Weekly Reports File</b><br/>Weekly reports of the Delegated Employment Unit (DEU) to the Division Director.</p>   | <p><b>GRS 23, 1</b><br/>Destroy when 2 years old.</p>   |
| <p><b>117 Workers Compensation Files</b><br/>Forms, reports, correspondence, and related medical and investigator records relating to on-the-job injuries. Beginning with Jan 1994, cases are handled by the DOC.</p>   | <p><b>GRS 1, 31</b><br/>Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.</p> |

**Enterprise Training Division**

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| <p><b>118 Academy Lecture Files (Training Materials)</b><br/>Lectures prepared by the staff for presentation at the Academy. Lecture material covers all four educational phases of the Academy. Examples of presentations include: Categories of Invention and Claim Construction, Types of Applications, Application Requirements, Nonobviousness, Special Patent Topics, Allowance and Issue, Classification and Search, Double Patenting, Quality Review, Interference, etc. Lectures are updated as needed to reflect the changing procedures of the Patent and Trademark Office:<br/>a. Record copy (all published lectures and accompanying materials)<br/>b. Electronic Files.</p> | <p><b>N1-241-96-7:26</b><br/>a. Permanent. Close files at the end of each fiscal year and transfer to the FRC. Transfer to the National Archives when 10 years old (Supersedes NC1-241-76-1:34a).<br/>b. Update or delete as needed for current agency business.</p> |
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**Enterprise Training Division (Cont.)****119 Academy Training Sessions Files**

Background materials relating to each academy training session. Files include: teacher/student evaluations, examiner's grades, examinations, schedules and dates of classes, class rosters, class attendance sheets:

- a. Paper copy.
- b. Electronic copy.

**N1-241-96-7:27**

- a. Destroy when 3 years old.
- b. Delete when 10 years old.

**120 Commercial Database Training Files**

Files related to the training of "commercial databases" used by examiners and academy students for searching purposes. The files include updated training manuals and copies of memos sent to students regarding information on classes and class schedules. The academy provides training for the following commercial databases: Lexis, Dialog, and STN.

**N1-241-96-7:29**

Destroy when superseded or obsolete.

**121 Law School Tuition Assistance Program Files**

Files relating to USPTO's law school tuition assistance program for examiners. The file includes a folder for every participant, documents of courses completed, grades from the university, and various memos concerning fees.

**N1-241-96-7:30**

Transfer to Certified Records Center when 5 years old. Destroy when 15 years old.

**Office of Civil Rights****122 Administrative Files**

Materials concerning administrative housekeeping including procurement, travel, reports, budget, staff training, and development.

**GRS 23, 1**

Destroy when 2 years old.

**123 Affirmative Employment Program Files**

Includes correspondence, reports, work plans, conference papers, announcements of events, brochures, and working papers. Used to document assignments, progress, costs, and completion of projects related to USPTO affirmative employment programs.

**GRS 16, 5**

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

**124 Chron Files**

Duplicate copies of all correspondence issued by the Office of Civil Rights. Arranged by date.

**Nonrecord**

Destroy when no longer needed.

**Office of Civil Rights (Cont.)**

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| <b>125 Credit Card Transactions</b><br>Copies of statements of authorized credit cards purchases by authorized Office staff.  | <b>GRS 23, 1</b><br>Destroy when 2 years old.   |
| <b>126 EEO Affirmative Action Annual Report/Plan</b><br>In response to Executive Order 11478, the description of EEO accomplishments during the past fiscal year and planned EEO objectives for ensuing fiscal year. Required reports are: Federal Equal Opportunity Recruitment Report, Affirmative Action Employment Report for Women and Minorities, Affirmative Action Report for Individuals with Disabilities, and Affirmative Action Report for Disabled Veterans. Material contributes to and supports EEO Director's report to DOC Office of Civil Rights, US Office of EEO. Includes documentation generated in-house, narrative reports from USPTO cost centers, and reports from National Finance Center (NFC) and EEO Monitoring and Analysis System (EEOMAS). | <b>GRS 1, 25h(4)</b><br>Destroy 5 years from date of report.                                |
| <b>127 E-mail</b><br>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.<br>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.  | <b>GRS 20, 14</b><br>Delete from the e-mail system after copying to a recordkeeping system. |
| <b>128 Employee Performance Plan/Rating File</b><br>Documentation relative to the actual performance of office employees over the rating period, judged against a scheduled plan, mutually agreed to by supervisor and employee.  | <b>GRS 1, 23a(4)</b><br>Destroy 3 years after date of appraisal.                            |

**Office of Civil Rights (Cont.)****129 Equal Employment Opportunity Case Management Retrieval System (EEOCMRS)**

The USPTO Office of Civil Rights receives and processes complaints of civil rights discrimination, and requests for reasonable accommodation. The Equal Employment Opportunity Case Management Retrieval System (EEOCMRS) provides, among other functions, the use of electronic images of EEO request applications to support the Office of Civil Rights processing of these actions. The system affords a streamlined, electronic document method within the Office of Civil Rights for entering, processing, preserving, and retrieving documents, and issuing reports. After a prospective complainant is interviewed by an EEO Specialist, the specialist completes a Counseling Contact Form, in electronic format, that articulates the claims of the discrimination. A hard copy of the form is printed for signature by the intake specialist. The signed paper copy is scanned into the system. During the complainant process various standard forms are created, signed and scanned into the system. The forms reflect those contained in case files common to Civil Rights Offices through out the federal government. The aggrieved employee may either settle the matter (informal complaint case file) or file a formal discrimination complaint (formal complaint case file). Information is entered into the system by USPTO Office of Civil Rights personnel who scan the original copies of documents that are generated during reasonable accommodation process and the employment discrimination process. The stored information resides on magnetic mass storage disk. The system is accessible to all personnel in the USPTO Office of Civil Rights. Limited access may be afforded to collateral-duty EEO Counselors:

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

**130 Formal EEO Complaints**

Documentation of employees' complaints to the USPTO Office of Civil Rights which have not been resolved by internal USPTO procedures. Documentation includes all material covered in Informal Complaint File and all documentation generated from outset of formal procedure.

**GRS 1, 25 (et al.)**

- a. See GRS 24, 11b
- b. See GRS 24, 3b(1)
- c. Inputs: Complaints, paper copy:
  - 1) Formal complaints - Destroy 4 years after resolution of case (Reference GRS 1, 25a).
  - 2) Informal complaints - Destroy when 2 years old (Reference GRS 1, 25c. (2)).
- d. Outputs: Complaints, scanned electronic copy
  - 1) Formal complaints - move case file documents to "electronic archives" when case is resolved, delete from system 4 years after resolution of case (Reference GRS 1, 25a).
  - 2) Informal complaints - Delete from system when 2 years old (Reference GRS 1, 25c. (2)).
- e. Electronic Mail and Word Processing Copies:
  - 1) See GRS 24, 12
  - 2) See GRS 24, 12

**GRS 1, 25a**

Destroy 4 years after resolution of case.

**Office of Civil Rights (Cont.)**

<p><b>131 Informal Complaints</b>  Records of receipt and processing of complaints of civil rights discrimination and requests for reasonable accomodation from USPTO employees.</p> <p>Records documenting complaints that do not develop into Official Discrimination Complaint Cases.</p>	<p><b>GRS 1, 25c(2)</b>  Destroy when 2 years old.</p>
<p><b>132 Informal EEO Complaint File</b>  Documentation of employees' initial contacts with Office of Civil Rights through resolution of complaint by means of internal USPTO procedures. Documentation includes EEO and USPTO forms, memos, correspondence, notes of meetings, etc. Acceptance of USPTO resolution is the final stage of this file.</p>	<p><b>GRS 1, 25c(2)</b>  Destroy when 2 years old.</p>
<p><b>133 Key Authorization File</b>  Log of keys for office doors and file cabinets issued to staff members.</p>	<p><b>GRS 18, 16b</b>  Destroy 6 months after turn in of key.</p>
<p><b>134 Procurement File</b>  Office copies of requisitions and orders for acquisition of supplies and services, including Imprest fund withdrawals, GSA Federal Supply Schedule, and small purchase requests.</p>	<p><b>GRS 3, 3a(2)b</b>  Destroy 3 years after final payment.</p>
<p><b>135 Reasonable Accomodation Requests</b>  Records of receipt and processing of complaints of civil rights discrimination and requests for reasonable accomodation from USPTO employees. Includes Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.</p>	<p><b>GRS 1, 24a</b>  Destroy three years after supercession or when no longer needed for reference, whichever is later.</p>
<p><b>136 Suspense Log</b>  List of correspondence, forms, memos, etc. requiring some response from members of Civil Rights staff.</p>	<p><b>GRS 23, 6a</b>  Destroy after action is taken.</p>

**Office of Civil Rights (Cont.)**

- 137 Tracking of Compliance Under E.O.13164 + EEO**  
Records of receipt and processing of complaints of civil rights discrimination and requests for reasonable accomodation from USPTO employees.
- GRS 1, 24d**  
Destroy when no longer needed for reference.
- 138 Travel Orders and Vouchers**  
Orders, itineraries, and completed vouchers for official travel of Office staff.
- GRS 23, 1**  
Destroy when 2 years old.

**Office of Administrative Services**

- 139 Actual Man-hours (Report 1814)**  
Reports from GSA containing the cost (actual labor hours plus cost of materials) required to perform building remedial service or maintenance tasks. Each report documents the actual depletion of USPTO's building maintenance funds on account at GSA and contains two types of charges: "F" numbers which represent repairs and alterations, and "R" numbers which represent service calls. Related records: Monthly Man-hours Required (Report 1738).
- GRS 6, 1b**  
Destroy when 1 year old.
- 140 Administrative Files**  
Originating office copy of correspondence, reports, studies, and analyses relating to administrative or housekeeping matters of the office: position planning, employee suggestions, budget matters, labor relations, telecommunications, space planning, and total quality management. Also included are copies of office monthly, quarterly, and annual reports. Arranged by subject.
- GRS 23, 1**  
Destroy when 2 years old.
- 141 Administrative Files In/Out Mail Branch**  
Originating office copies of supervisor's personnel evaluations, key assignments, credit card assignments, copies of credit card statements, and other matters of an administrative or housekeeping nature. Arranged by subject.
- GRS 23, 1**  
Destroy when 2 years old.
- 142 Administrative Issuances**  
All USPTO issuances of policy directives. Primary source for replacement copies. Maintained in chronological order by date of distribution through the mail system. Related records under In/Out Mail Branch as Distribution Sign-off Sheets.
- GRS 16, 1a**  
Destroy when superseded or obsolete.

**Office of Administrative Services (Cont.)**

<p><b>143 Administrative Services Correspondence</b>          Primary file copy of all incoming or outgoing correspondence, annotated with suspense dates and including records of the action taken. Documentation of program actions.</p>	<p><b>N1-241-05-1:7a (Previously N1-241-95-1:16)</b>          Temporary: Destroy when 5 years old.</p>
<p><b>144 Airway Bills Outgoing Mail</b>          Sender's copy of shipping label for material sent via Federal Express, UPS Air, or other express delivery service. Documents establish that material was picked up by the delivery service personnel.</p>	<p><b>GRS 12, 5a</b>          Destroy when 1 year old.</p>
<p><b>145 Bank Card Statements</b>          Copies of Credit Card Request form, requisition, receipt, and bank card statement. Arranged chronologically.</p>	<p><b>GRS 23, 1</b>          Destroy when 2 years old.</p>
<p><b>146 Building Evacuation Plans</b>          Evacuation plans for each building occupied by the USPTO. Plans include names of floor team leaders and information on handicapped staff. Plans are updated every six months and are used to conduct and evaluate emergency drills to ensure staff awareness. Files arranged by building street number.</p>	<p><b>GRS 18, 27</b>          Destroy 3 years after issuance of a new plan or directive.</p>
<p><b>147 Building Inspection Reports (Safety)</b>          Reports of semiannual inspections of buildings leased to USPTO and related documents. Inspections are conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. Filed by building street and number.</p>	<p><b>GRS 18, 9</b>          Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.</p>
<p><b>148 Classified Document Container Information</b>          Data maintained on safes and containers: their location, responsible official, and security container classification. Information is used to notify responsible officials to change locks or combinations and to prepare reports on container security as required by federal laws and regulations.</p>	<p><b>GRS 18, 7a</b>          Destroy when superseded by a new form or list, or upon turn in of containers.</p>
<p><b>149 Complaint Log Book</b>          Record of USPTO staff complaints regarding building conditions which can be corrected under the lease or maintenance services contracts monitored in this office. Complaints are logged from phone calls, e-mail, or from personal requests.</p>	<p><b>GRS 11, 5</b>          Destroy 3 months after work is performed or requisition is cancelled.</p>

**Office of Administrative Services (Cont.)**

<p><b>150 Contractor Passes Registration Book</b> Clothbound logbook lists name, company, contract, expiration date, and COTR.</p>	<p><b>GRS 11, 4b</b> Destroy after all listed credentials are accounted for.</p>
<p><b>151 Contractor Passes Request Memos</b> Memos from USPTO contract monitors requesting contractor passes. Filed by date, latest on top.</p>	<p><b>GRS 11, 4a</b> Destroy credentials 3 months after return to issuing office.</p>
<p><b>152 Contractor Time Sheets and Invoices</b> Originals of daily sign-in sheets and invoices for contractor personnel who provide material moving services to USPTO personnel and offices. Sheets are maintained to verify invoices. Original copy of certified invoice forwarded to Finance for payment. Arranged chronologically.</p>	<p><b>GRS 3, 11</b> Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.</p>
<p><b>153 Contracts and Reimbursable Work Authorizations</b> Issuing office copies of orders for services to USPTO buildings not included or covered under overall leases, such as heating oil, air conditioning, cleaning, and fire extinguisher servicing. Also includes interagency Reimbursable Work Authorization (RWA's). Contracts are issued by OAS, and monitored by the lease manager: a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000. b. Transactions of \$25,000 or less and construction contracts under \$2,000.</p>	<p><b>GRS 3, 3a</b> a. Destroy 6 years and 3 months after final payment. b. Destroy 3 years after final payment.</p>
<p><b>154 Controlled Correspondence Files - Duplicate Copies</b> 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.</p>	<p><b>N1-241-05-1:8d (Previously N1-241-95-1:17)</b> Temporary: Destroy when 2 years old.</p>
<p><b>155 Crime Database (IRIMS)</b> Reports of crimes in USPTO space. Data includes the type of crime, location, details for investigation purposes, and names of individuals involved. Data is entered into a stand-alone, commercial software system (IRIMS) which produces incident reports and compiles crime statistics.</p>	<p><b>GRS 18, 14b</b> Destroy when 2 years old.</p>

**Office of Administrative Services (Cont.)**

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| <p><b>156 Customer Satisfaction Surveys</b><br/>Questionnaires designed to elicit from office clients the extent and quality of the service rendered. Includes periodic summary reports which consolidate and tabulate responses in order to identify trends.</p>   | <p><b>GRS 23, 1</b><br/>Destroy when 2 years old.</p>  |
| <p><b>157 Daily Scheduled Runs and Shuttle Logs</b><br/>Files contain daily logs for each USPTO vehicle showing destination and mileage of each trip. Shuttle logs contain names of passengers traveling to and from the DOC. Delivery logs indicate location of deliveries and pickups. Arranged chronologically.</p>  | <p><b>GRS 23, 5b</b><br/>Destroy or delete when no longer needed for convenience of reference.</p>   |
| <p><b>158 Delivery Requests</b><br/>Records relating to coordination of delivery of newly acquired materials to program offices and removal of surplus materials from program offices to Newington Property Management Center for ultimate processing to GSA. Files include copies of requisitions, purchase orders, Inventory Control Sheets, and Excess Equipment Reports as appropriate. Arranged chronologically.</p>   | <p><b>GRS 3, 7</b><br/>Destroy when 1 year old.</p>  |
| <p><b>159 E-mail</b><br/>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.<br/>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><b>GRS 20, 14</b><br/>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><b>160 Employee Sign-in Sheets (Guard Records)</b><br/>Sign-in sheets maintained by guards listing the names and work locations of employees entering or leaving USPTO buildings after normal working hours. Records used to track employee access to USPTO buildings for security purposes.</p>   | <p><b>GRS 18, 17b</b><br/>Destroy 2 years after final entry or 2 years after date of document, as appropriate.</p>   |
| <p><b>161 Facilities Management Division Files</b><br/>Subject files by branch: Space and Telecommunications, Records and Property Management. Includes monthly reports and topics related to, or covered by each branch.</p>   | <p><b>N1-241-05-1:8b (Previously N1-241-95-1:22)</b><br/>Temporary: Destroy when 5 years old.</p>  |

**Office of Administrative Services (Cont.)****162 FEDSTRIP Orders Suspense Copy**

Copy of screen image of all materials ordered under the GSA FEDSTRIP program maintained as a suspense copy until materials are received at the Newington Property Management Center. After receipt, a copy of certification is supplied to FEDSTRIP order specialist in Records and Property Management. The office coordinates delivery of goods to customer, and materials are logged in the Property Center Tracking System.

**GRS 23, 6b**

Withdraw documents when reply is received:

- a. If suspense copy is an extra copy, destroy immediately.
- b. If suspense copy is the file copy, incorporate it into the official files.

**163 Fire Safety Files**

Reports on incidents of false alarms, fire reports, inoperative fire detection and fire suppression equipment, and other items related to fire safety. Includes surveys and investigation of incidents. Copies of Fire and Safety Reports issued when loss of time or property exceeds \$500.

**GRS 18, 9**

Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.

**164 Gasoline Receipts**

Receipt tickets for gasoline purchased with credit cards. GSA vehicles are serviced through Fleet Credit Cards. USPTO leased vehicles are serviced through U.S. Government National Credit Card.

**GRS 6, 7**

Destroy after GAO audit or when 3 years, whichever is sooner.

**165 Health Program Records**

Monthly memorandum to all employees providing advice on staying healthy; monthly bloodmobile memorandum giving location and USPTO policy on allowances for time away from work; work orders for room setup; Red Cross sign up and registration sheets.

**GRS 23, 1**

Destroy when 2 years old.

**166 Information Security Files**

Investigations of security breaches or possible compromises of National Security records. Most of the investigations concern unauthorized opening and delivery of classified mail directed to group 2200:

- a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.
- b. All other files, exclusive of documents placed in official personnel folders.

**GRS 18, 24**

- a. Destroy 5 years after close of case.
- b. Destroy 2 years after completion of final action.

**167 Invoices for Leased Property**

Copies of certified invoices for services provided under building lease or maintenance contracts. Original invoices forwarded to Finance for payment. Arranged by contractor.

**GRS 3, 3b**

Destroy when funds are obligated.

**Office of Administrative Services (Cont.)**

<b>168 Key and Locksmith Services</b> Requests for Service for key duplication or locksmith services to be performed on USPTO leased property by contractor. Includes notation of completion and copy of invoice. Work is performed under a Blanket Purchase Agreement, and paid by OAS from general funds. Arranged chronologically.	<b>GRS 11, 5</b> Destroy 3 months after work is performed or requisition is cancelled.
<b>169 Late Night Visitor Log</b> Records on Form USPTO 165 of late night visits for building or equipment maintenance.	<b>GRS 18, 17b</b> Destroy 2 years after final entry or 2 years after date of document, as appropriate.
<b>170 Leases</b> Technical monitor's copies of leases for USPTO rental space. Leases are issued by GSA, and either managed by USPTO (delegated) or managed by GSA (nondelegated). The original copy of the lease is at GSA.	<b>GRS 3, 3c</b> Destroy upon termination or completion.
<b>171 Mail Volume Reports</b> Daily reports of the quantity of mail processed into USPTO. Reports cumulated into weekly and monthly summaries.	<b>GRS 12, 6d</b> Destroy when 1 year old.
<b>172 Mobile Phone Records</b> Original of monthly statements from mobile phone service vendor. Invoices are screened prior to forwarding to Finance for payment. Arranged chronologically.	<b>GRS 3, 10</b> Destroy 3 years after period covered by related account.
<b>173 Monthly Man-hours Required (Report 1738)</b> Report from GSA containing estimated effort necessary to perform remedial building service or maintenance tasks. Related record: Actual Man-hours Required (Report 1814).	<b>GRS 6, 1b</b> Destroy when 1 year old.
<b>174 Monthly Reports Files Information Activity</b> Monthly reports to management on the operation of the unit.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>175 Monthly Reports Forms Activity</b> Reports listing activities of forms supply and forms management.	<b>GRS 23, 1</b> Destroy when 2 years old.

**Office of Administrative Services (Cont.)**

<p><b>176 Motor Pool Files</b> Records relating to the rental, repair, or preventive maintenance of USPTO vehicles. Also includes copies of guidelines and regulations applicable to official government transportation.</p>	<p><b>GRS 10, 2b</b> Destroy when 1 year old.</p>
<p><b>177 Move Request Files</b> Records include USPTO Form 1464 "Request for Service" for movement of USPTO materials to effect office relocations, surplus actions, or procurements. Moves are scheduled by Support Services Branch and performed by contractor personnel. Branch coordinates about 300 moves per month, including setup and breakdown of regularly scheduled meetings. Arranged chronologically.</p>	<p><b>GRS 11, 2a</b> Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.</p>
<p><b>178 OAS Services Resources</b> Guides to the USPTO's administrative services. Contents include lost and found, security and safety, phone services, mail delivery, signage, transportation and travel, building repairs and maintenance, and key contacts by name and phone number. Record copy maintained in Administrative Files.</p>	<p><b>N1-241-05-1:8e (Previously N1-241-95-1:15a)</b> Temporary: Destroy record copy 3 years after superseded.</p>
<p><b>179 OAS Services Resources - Other copies</b> Copies of Guides to the USPTO's administrative services.</p>	<p><b>Nonrecord</b> Destroy when no longer needed.</p>
<p><b>180 Official Search Requests, Terminated Patent and Trademark Searches</b> 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.</p>	<p><b>N1-241-05-1:7c (Previously N1-241-95-1:24, N1-241-95-1:26)</b> Temporary: Destroy when 2 years old.</p>
<p><b>181 Parking Waiting List</b> Database maintained containing names of employees on the waiting list for parking space rental. Includes phone number and date of request. List is maintained in chronological order and is searchable by name.</p>	<p><b>GRS 20, 3b(2)</b> Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.</p>
<p><b>182 Personnel Identification Photographs</b> Duplicate copies of photograph used in DOC/USPTO identification card. Badges are replaced every 5 years except when lost or when employee noticeably changes appearance or changes name.</p>	<p><b>GRS 21, 2</b> Destroy when 5 years old or when superseded or obsolete, whichever is later.</p>

**Office of Administrative Services (Cont.)**

<b>183 Postal Expense Reports</b> Usage statistics, periodic charge-back reports which break costs down by sending office, and Month End Summary Reports which summarize overall USPTO postal expenses. PC-generated reports from mail meters linked to computer.	<b>GRS 12, 6b</b> Destroy when 6 months old.
<b>184 Postal Manifests</b> Daily logs of the receipt and dispatch of Certified and Registered mail. Entries list name and address of the sender. Maintained in chronological order. There are no indexes to the logs.	<b>GRS 12, 5a</b> Destroy when 1 year old.
<b>185 Preventive Maintenance and Repair Records</b> Service records and receipts documenting repair or preventive maintenance on USPTO vehicles. Records for preventive maintenance on GSA vehicles consists of notification letter from GSA. Work is performed using GSA vendors. Preventive maintenance on commercially leased vehicles is performed by the lessor. Arranged by vehicle and date.	<b>GRS 10, 2b</b> Destroy when 1 year old.
<b>186 Property Passes</b> Passes issued to allow the egress of government, contractor, and personal property from work locations.	<b>GRS 18, 12</b> Destroy 3 months after expiration or revocation.
<b>187 Purchase Orders Suspense Copy</b> Suspense copy of purchase order for materials shipped to USPTO Newington Property Management Center filed by date of order. When materials are received, receipt is certified and copy of certification is supplied to Records and Property Management. Office coordinates delivery of material to customer. Materials are logged in Property Center Tracking System.	<b>GRS 23, 6b</b> Withdraw documents when reply is received: a. If suspense copy is an extra copy, destroy immediately. b. If suspense copy is the file copy, incorporate it into the official files.
<b>188 Quarterly Mileage Reports</b> Copy of report summarizing transportation services in terms of total miles provided per vehicle.	<b>GRS 10, 4</b> Destroy 3 years after date of report.
<b>189 Report of Personal Property for Sale (&lt;\$1,000)</b> List of surplus, obsolete, or damaged material and equipment being held at the Newington Property Management Center whose value is less than \$1,000 that must be offered on an SF126 to GSA's resale program prior to disposal. GSA either accepts material for the resale program, or allows USPTO to dispose of it under the authority of a "surplus release letter."	<b>GRS 4, 3b</b> Destroy 3 years after final payment.

**Office of Administrative Services (Cont.)**

<b>190</b>	<b>Reports of Excess Personal Property (&gt;\$1,000)</b> List of surplus, damaged, or obsolete material being held at Newington Property Management Center whose value is greater than \$1,000 that must be offered on an SF 120 to GSA's resale program prior to disposal. GSA either accepts material for the resale program, or allows USPTO to dispose of it under the authority of a "surplus release letter."	<b>GRS 4, 3a</b> Destroy 6 years after final payment.
<b>191</b>	<b>Request for Purchase of Rehabilitated Personal Property</b> Copies of lists of furniture which program offices desire to be obtained at no charge from GSA's Excess Personal Property program. Office screens GSA's stock several times monthly in search of furnishings. When found, they are transferred from GSA to USPTO. Later, GSA sends confirmation of acquisition to inventory and disposal specialist in Records and Property Management.	<b>GRS 3, 3c</b> Destroy upon termination or completion.
<b>192</b>	<b>Requests for Excess Personal Property</b> Copies of lists of refurbished furniture available from GSA which has been examined by program offices and found to be worth acquiring. Requisitions are routed through the Momentum to the FEDSTRIP specialist, who in turn routes the order to the Newington center. When requisitions are approved, material is transferred from GSA to USPTO, and delivered to the USPTO requesting office.	<b>GRS 4, 2</b> Destroy when 3 years old.
<b>193</b>	<b>Requisitions Pending and Received</b> Copies of requisitions and purchase orders for products or services required by the office. Includes both pending and received.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>194</b>	<b>Security and Protective Services Correspondence Files</b> Records relating to measures taken for the protection of government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss. Included are ban and bar letters, memos notifying departments of pending security checks and other correspondence that does not fit into specific categories in the schedule. Filed by subject and closed annually by fiscal year.	<b>GRS 18, 8</b> Destroy when 2 years old.
<b>195</b>	<b>Security and Safety Training Materials</b> Awareness training materials for security and safety programs for all USPTO employees. Material includes pamphlets, brochures, and classroom handouts.	<b>N1-241-05-1:7b (Previously N1-241-95-1:21)</b> Temporary: Destroy when 5 years old.

**Office of Administrative Services (Cont.)**

<b>196 Security Subject Files</b> Files on general security matters arranged by subject. Contents include environmental safety, union safety issues, security office evacuation plans, USPTO security and safety issues, drug free workplace and other government initiatives.	<b>GRS 18, 8</b> Destroy when 2 years old.
<b>197 Services Resources Guides for Agency Personnel</b> Guides to the USPTO's administrative services. Contents include lost and found, security and safety, phone services, mail delivery, signage, transportation and travel, building repairs and maintenance, and key contacts by name and phone number. Record copy maintained in Administrative Files.	<b>N1-241-05-1:8e (Previously N1-241-95-1:15a)</b> Temporary: Destroy record copy 3 years after superseded.
<b>198 Space Alteration Database</b> An electronic Access database (Protrack) used to track space alteration projects.	<b>GRS 11, 2a</b> Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
<b>199 Space Alteration Logs</b> Manual logs for each fiscal year which list all projects involving alteration of leased space. Office coordinates approximately 200 projects per year.	<b>GRS 11, 2a</b> Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
<b>200 Space Alteration Project Files</b> Files include requisitions, POD printouts, estimator notations, and copies of delivery orders with specific unit priced items drawn from the supplemental lease agreement. Completed projects also include copies of the invoice certified for payment by the estimator. Projects are initiated for the installation of electric or phone outlets, overhead lighting, painting, carpet, modifications of walls or doors, and tile work in any of the USPTO leased properties. Arranged by fiscal year and control number.	<b>GRS 11, 5</b> Destroy 3 years after work is performed or requisition is cancelled.
<b>201 Suitability Database</b> Database containing current employee name and related employment information. Security office enters suitability data including type of clearance. Includes dates of clearance request and receipt. Database is replaced each pay period by current NFC (National Finance Center) data. Database maintained in Clipper software.	<b>GRS 18, 23</b> Destroy when superseded or obsolete.

**Office of Administrative Services (Cont.)****202 Suitability History File**

OPM investigation records on SES, executives, and other employees staffing sensitive positions who undergo suitability and/or security re-investigations every five years. Contractor suitability records are included in these files. Records are maintained in a security vault. Data from these records are also entered into the Suitability Database:

- Case files of employees, applicants for employment, and contractors
- Investigative reports furnished to agencies by investigative organizations for use in making security/suitability determinations
- Index to the Personal Security Case Files.

**GRS 18, 22**

- Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.
- Destroy in accordance with the investigating agency instructions.
- Destroy with related case files.

**203 Technical Reference - MICROFILM**

Cartridge microfilm used as a supplemental backup to the PALM system to locate patent records. Microfilmed copies of the Application Locator System Listing Books are used most frequently. The others are seldom used and are also available in the microfilm section of the Public Search Room. Application Locator System Listing Books 1-6; Application Index, Jan., 1935 - Dec., 1954; Inventors Index, Dec., 1955 - December 1970.

**Nonrecord**

Destroy when no longer needed for reference.

**204 Telecommunications Invoices**

Copies of WITS 2001 and Verizon telephone service invoices. The WITS 2001 invoices cover line and feature changes accomplished the previous month; the Verizon invoices contain charges for long distance service. Both are certified by office staff: WITS 2001 after verification that the billed change occurred; Verizon after examination for patterns of phone abuse. Arranged chronologically.

**GRS 12, 2d(2)**

Destroy 1 year after audit or when 3 years old, whichever is sooner.

**205 Telecommunications Log Sheet**

Logs listing all projects involving changes in telephone number assignments or line or station features. Logs by fiscal year with entries listed by internal control number. Branch performs 500-600 telephone projects per year.

**GRS 12, 2b**

Destroy when 3 years old.

**206 Telecommunications Project Files**

Project file which contains requisition, estimator notations, and a copy of the online order to the Washington Interagency Telecommunications Service 2001 (WITS 2001) or changes to telephone line or station equipment. Arranged by fiscal year and control number.

**GRS 12, 2b**

Destroy when 3 years old.

**Office of Administrative Services (Cont.)****207 Telecommunications Spreadsheets**

Electronic version of the Telecommunications Log Sheet listing all projects involving changes in telephone number assignments or line or station features and the scheduled action date. A copy is sent to each requestor so that the requestor knows the schedule date.

**GRS 23, 8**

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

**208 Trouble Call Logs**

Logs of phone calls from USPTO building tenants which report situations which must be corrected under the terms of the building leases or other office maintenance contracts. Calls are transferred to appropriate building manager for action and logs are used to assure problems have been corrected.

**GRS 23, 8**

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

**209 User I.D. Badges**

Documentation allowing for security oversight of non-USPTO employee access to federal property; includes information on persons approved to access USPTO offices including - but not limited to - search facilities.

**N1-241-05-1:7d (Previously N1-241-98-2:3)**

Destroy when no longer needed for identification and reporting.

**210 Vehicle Accident Reports**

Copies of reports on motor vehicle accidents that may be internal, informal, or as required by Department of Motor Vehicles of the jurisdiction in which the accident occurred.

**GRS 10, 5**

Destroy 6 years after case is closed.

**211 Workplace Hazard File**

Investigations of personal injuries reported by the health unit on accidents incurred at the workplace. Used to determine cause and to eliminate office hazards. Copies of accident reports (CD 137) are maintained in chronological order. Filed by building street and number. Hazard conditions are transferred to a Quattro Pro spreadsheet.

**GRS 1, 31**

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off.

**Property Management Branch****212 Credit Card Statements**

Statements of credit card expenditures.

**GRS 23, 1**

Destroy when 2 years old.

**Property Management Branch (Cont.)**

<b>213</b>	<b>Customer Supply Center (CSC) Program Management Files</b> Contains lists of office coordinators authorized to purchase from GSA's CSC phone-in system, ID issuance documents, training materials, and other records used to ensure that use is limited to authorized personnel.	<b>GRS 3, 4a</b> Destroy when 2 years old.
<b>214</b>	<b>Excess Property Records</b> Excess property listed on SF 120 or SF 126. Forms are submitted by offices to effect the removal of furniture and equipment from office space. Only bar coded items are removed from office inventory on the USPTO Inventory Database. Discarded items without bar codes remain listed on the inventory. Filed by Julian date.	<b>GRS 4, 2</b> Destroy when 3 years old.
<b>215</b>	<b>Inventory of USPTO Property</b> Lists of furniture and equipment held by each USPTO unit valued above \$5,000 or other property valued at \$2,500 or more, or property of lesser value but "sensitive to pilferage." Records are maintained on National Finance Center system and printed for file.	<b>GRS 3, 9a</b> Destroy 2 years from date of list.
<b>216</b>	<b>Monthly FEDSTRIP and CSC Activity</b> Monthly report to management providing statistics on monthly orders and timeliness.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>217</b>	<b>Monthly Reports Copier Activity</b> Reports to management on copy service center, copier usage, and copy maintenance activities for month.	<b>GRS 23, 1</b> Destroy when 2 years old.
<b>218</b>	<b>Photocopier Maintenance Contracts</b> Contracts with vendors for equipment maintenance for purchase of photocopy equipment. Filed by fiscal year and vendor.	<b>GRS 3, 3c</b> Destroy upon termination or completion.
<b>219</b>	<b>Photocopier Meter Readings</b> Monthly meter readings for each copier. Records used to calculate rental fee due to vendors. Data is also maintained on computer.	<b>GRS 3, 3c</b> Destroy upon termination or completion.

**Property Management Branch (Cont.)****220 Printing Database**

Database used both for tracking purposes and to cross-reference DOC and USPTO forms. Database is stand-alone application in Filemaker Pro:

- 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 for administrative, legal, audit, or other operational purposes.

**GRS 20, 3b**

- 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 they are no longer needed

**221 Printing Files**

Copy of requisitions, invoices, specifications, and related papers. Requests for Printing (Form USPTO 83) are transferred through Momentum to Records and Property Management staff. Staff create either an SF 1 for items to be printed at the Government Printing Office. One copy of the form is forwarded to Finance and one copy is attached to the job. Record is made in the Printing Database.

**GRS 3, 6a**

Destroy 3 years after completion or cancellation of requisition.

**222 Purchase Orders**

Requisitions, Purchase Orders, Blanket Purchase Orders, FEDSTRIPS on SF 344, and DOC orders on form CD-50:

- a. Transactions of more than \$25,000.
- b. Transactions of \$25,000 or less.

**GRS 3, 3c**

Destroy upon termination or completion.

**223 Purchase Orders Processing Copies**

Copies of purchase orders for furniture. Used to track delivery or to maintain supply.

**GRS 3, 3c**

Destroy upon termination or completion.

**224 Records and Property Management Subject Files**

Correspondence, procedures, and monthly staff reports for the Records and Property Management Branch.

**GRS 23, 1**

Destroy when 2 years old.

**225 Requests for Photocopy Services**

Requests for services at staffed copy center.

**GRS 13, 2a**

Destroy 1 year after completion of job.

**Property Management Branch (Cont.)****226 Supervisor's Personnel Files and 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. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

**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.

**227 Technical Reference**

Administrative manuals, software manuals, environmental safety manuals, GSA regulations, Code of Federal Regulations, telephone books, and related reference records.

**Nonrecord**

Destroy when superseded or when no longer needed.

**228 USPTO Form Negatives**

Negatives maintained for reprinting forms. Filed by form number.

**GRS 16, 3b**

Destroy when related form is discontinued, superseded, or cancelled.

**229 USPTO Forms History Files**

- a. One record copy of each form created for use by USPTO 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 cancelled.
- b. Destroy when related form is discontinued, superseded, or cancelled.

**230 USPTO Forms Order Files**

Requisitions, specifications, processing data, control records, and background materials. Includes Request for Printing and Graphics Service (USPTO 83) and Requests for New or Revised Form (CD 58).

**GRS 16, 3b**

Destroy when related form is discontinued, superseded, or cancelled.

**231 USPTO Inventory Database**

Inventory database of furniture and equipment valued above \$5,000 or equipment considered 'sensitive' by the USPTO owner-office. System produces inventory reports for each USPTO unit. Database system is part of the National Finance Center (NFC) in New Orleans. All data entry is done by Records and Property staff.

**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.

**Administrator of Space Acquisition**

## ***Administrator of Space Acquisition (Cont.)***

**232 Agency Space Files**

Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

**GRS 11, 2a**

Destroy 2 years after termination of assignment, or when Lease is cancelled, or when plans are superseded or obsolete.