

**STAR LIST
(SHORT-TERM ADMINISTRATIVE RECORDS)**

And Reporting Offices:

**STAR LIST
(SHORT-TERM ADMINISTRATIVE RECORDS)**

USPTO Comprehensive Records Schedule
Appendix - STAR LIST
(SHORT-TERM ADMINISTRATIVE RECORDS)

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USPTO Comprehensive Records Schedule

STAR LIST

(SHORT-TERM ADMINISTRATIVE RECORDS)

Record Series Detail

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS)

1 Administrative Files

Records relating to the internal administration or housekeeping activities of an individual office or branch. In general, these records relate to:

- Office organization, staffing, procedures, and communications (including correspondence and memos)
- Expenditure of funds, including budget records
- Day-to-day administration of office personnel
- Training
- Travel
- Invoices
- Supplies
- Office services
- Equipment requests and receipts
- Office space and utilities
- Office copies of records disposition files

May also include workload reports including progress, statistical, and narrative reports forwarded to higher levels, and other materials that do not serve as unique documentation of the programs of the office.

Note: These records are grouped together, but if separated, still possess the same disposition authority. This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF 115 to NARA. For information regarding the scheduling of these records, please contact the USPTO Records Officer.

GRS 23, 1

Destroy when 2 years old.

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)

<p>2 Administrative Issuances a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel). b. Case files related to (a) above that document aspects of the development of the issuance.</p>	<p>GRS 16, 1 a. Destroy when superseded or obsolete. b. Destroy when issuance is destroyed. [NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA.]</p>
<p>3 Bond Drive Records Records relating to USPTO's effort to encourage employees to purchase government bonds.</p>	<p>GRS 23, 7 Destroy when 3 months old.</p>
<p>4 Budget Records Program office copies of materials which constitute program office input during the annual budget formulation cycle, and materials which constitute the office portion of the budget during the budget execution phase.</p>	<p>GRS 5, 2 Destroy 1 year after the close of the fiscal year covered by the budget.</p>
<p>5 Budget Tracking Files Electronic spreadsheets used to track office expenditures for budgetary control.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>6 Chron, Day, or Reading Files Duplicate copies of official correspondence arranged by date and used as an extra, convenience copy of records maintained in organized agency files. NOTE: In order to dispose of these records according to this schedule, there must be a record copy filed elsewhere.</p>	<p>Nonrecord Destroy when no longer needed.</p>
<p>7 Combined Federal Campaign 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.</p>	<p>GRS 23, 7 Destroy when 3 months old.</p>
<p>8 Credit/Bank Card Transactions Copies of bank statements of credit card transactions with receiving reports and related documentation.</p>	<p>GRS 23, 1 Destroy when 2 years old (NOTE: Original Copies - Destroy 6 years and 3 months after period covered by account).</p>

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)**9 Databases**

Databases that support administrative or housekeeping functions in an office:

- a. When hard copy records are maintained in order to meet recordkeeping requirements
- b. When the database takes the place of hard copy records
- c. Hard copy printouts created for short-term administrative purposes.

10 Electronic Mail and Word Processing System Copies

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this GRS 24 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

11 E-mail Messages

Electronic mail sent and received which is determined to have record value, and therefore saved in electronic or paper form. In electronic form, may include additional electronic attachments.

(NOTE: MS Outlook is not a recordkeeping system)

GRS 20, 3a,b,c

- a. Destroy when the agency determines that they are 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 for administrative, legal, audit, or other operational purposes.

GRS 24, 12

- a. Destroy/delete within 180 days after the recordkeeping copy has been produced.
- b. Destroy/delete when dissemination, revision, or updating is completed.

GRS 20, 14

Delete from the e-mail system after copying to a recordkeeping system. 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.

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)

<p>12 Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)</p> <p>Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures. [NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]</p> <p>a. Circular No. A-76 case files/studies maintained by office having primary responsibility.</p> <p>[NOTE: To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]</p> <p>b. Circular No. A-76 records maintained by other offices, including information copies and background material.</p>	<p>GRS 3, 18</p> <p>a. Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 - 10 years after cut off.</p> <p>b. Cut off upon completion of study. Destroy 2 years after cut off.</p>
<p>13 Finding Aids (or Indexes)</p> <p>Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.</p> <p>NOTE: Certain finding aids must be transferred to NARA if the source material is permanent.</p>	<p>GRS 23, 9</p> <p>Destroy or delete with the related records.</p>
<p>14 Input (Into Electronic Systems) Source Records</p> <p>Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.</p>	<p>GRS 20, 2a</p> <p>Destroy after the information has been converted to an electronic medium and verified or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.</p>
<p>15 Key Log</p> <p>Log of office keys and record of key loans.</p>	<p>GRS 18, 16b</p> <p>Destroy 6 months after turn-in of key.</p>

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)

<p>16 Library Materials Material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications.</p>	<p>Nonrecord Discard when superseded or no longer needed.</p>
<p>17 Momentum Data Input Files Files relating to office expenditures such as acquisitions, training, travel, or other expenses which have been processed into the Federal Financial System.</p>	<p>GRS 23, 1 Destroy when 2 years old.</p>
<p>18 Overtime Authorization Files Requests, justifications, and authorizations for the conduct of overtime work throughout the Office of Administrative Services. Arranged by office.</p>	<p>GRS 2, 7 Destroy after GAO audit, or when 6 years old, whichever is sooner.</p>
<p>19 Routine Procurement/Contract Administrative Files Non-contract related requisitions, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (EXCLUDING Real Property Files and Tax Exemption Files). Includes copies of records described above used by component elements of a procurement office for administrative purposes. Original records are maintained in Procurement.</p>	<p>GRS 3, 3c Destroy upon termination or completion.</p>
<p>20 Schedules of Daily Activities Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by federal employees while serving in an official capacity, created, and maintained in hard copy or electronic form. EXCLUDING material determined to be personal: a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials (see note). b. Records documenting routine activities containing no substantive information and records containing substantive information which have been incorporated into organized files. NOTE: Unique substantive records relating to the activities of high agency-level officials must be scheduled by submission of an SF 115 to NARA. For information regarding the scheduling of these records, please contact your program office Records Manager/Coordinator, or the USPTO Records Officer.</p>	<p>GRS 23, 5 a. Destroy or delete when 2 years old. b. Destroy or delete when no longer needed for convenience of reference.</p>

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)**21 Spreadsheets**

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or background materials or feeder reports:

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

22 Supervisors' Personnel Files and Duplicate OPF Documentation

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

- a. Supervisors' Personnel Files: Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.
- b. Duplicate Documentation: Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

23 Suspense Log

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

24 Time and Attendance Source Records

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

25 Tracking and Control Records

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

GRS 20, 15

- a. Delete when no longer needed to update or produce hard copy.
- b. Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and

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.

GRS 23, 6a

Destroy after action is taken.

GRS 2, 7

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

GRS 23, 8

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

STAR LIST (SHORT-TERM ADMINISTRATIVE RECORDS) (Cont.)

26 Word-processing Files

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

GRS 20, 13

Delete from the word processing system when no longer needed for updating or revision.