INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-241-01-007

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

- Item 3 was superseded by N1-241-10-001, item 9
- Item 4a was superseded by N1-241-10-001, item 9
- Item 4b was superseded by N1-241-10-001, item 9
- Item 5 was superseded by GRS 3.2 item 040 (DAA-GRS-2013-0006-0005)

Date Reported: 06/30/2022
**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See instructions on separate page)

| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWM) |
| WASHINGTON, DC 20408 |
| JOB No. 91-241-01-7 |
| DATE RECEIVED 3-9-01 |

1. **FROM (Agency or establishment)**
   U.S. Patent and Trademark Office

2. **MAJOR SUBDIVISION**
   Office of the Chief Information Officer/Office of Data Management

3. **MINOR SUBDIVISION**
   Data Administration Division/Records Management

4. **NAME OF PERSON WITH WHOM TO CONFER**
   Susan K. Brown

5. **TELEPHONE**
   (703) 308-7400

6. **DATE**
   9-5-01

7. **NOTIFICATION TO AGENCY**
   In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

8. **AGENCY CERTIFICATION**
   I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,

   - [x] is not required;  
   - [ ] is attached; or  
   - [ ] has been requested.

9. **SIGNATURE OF AGENCY REPRESENTATIVE**
   Susan K. Brown

10. **TITLE**
    Records Officer

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**8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION**

Please see attached item(s):

1. Invention Promoter Complaints

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115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1228
United States Patent and Trademark Office (USPTO)
Office of Independent Inventor Programs (OIIP)

1. Invention Promoter Complaints

The passage of the American Inventors Protection Act of 1999 as enacted under Public Law (P.L.) 106-113 has a number of significant impacts on the United States Patent and Trademark Office (USPTO). A key provision of P.L. 106-113 is section 4001, codified at 35 U.S.C. 297, in which the USPTO is required to make complaints received by the USPTO involving invention promoters publicly available. The complaints and related responses are captured using a World Wide Web (WWW) based Commercial-off-the-shelf (COTS) application. The form includes but is not limited to the following data fields which allow the OIIP to track the nature of the complaint: the date a complaint was received; the date a letter was sent to the complainant; a file number; the complete name of the complainant; and the date the complaint was published on USPTO WWW page which contains the specific information for the OIIP. The total number of complaints received is estimated to be 20-30 per year.

<table>
<thead>
<tr>
<th>Records</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. System software and updates.</td>
<td>1. [N1-241-96-5 #71]. Transfer to the configuration management tool prior to unit testing.</td>
</tr>
<tr>
<td>2. Life Cycle Management Documentation.</td>
<td>2. [N1-241-96-5 #71]. Transfer electronic copy to the configuration management tool prior to Technical Review Board meeting for each phase as required in the Quality Assurance Plan and the Configuration Management Plan.</td>
</tr>
<tr>
<td>3. Inputs: Complaint forms and responses received by mail (paper).</td>
<td>3. [Pending authorization]. Temporary. Destroy 2 years after online publication.</td>
</tr>
<tr>
<td>a. Complaint logs, registers, indexes (paper).</td>
<td>a. [Pending authorization]. Temporary. Destroy 2 years after online publication.</td>
</tr>
<tr>
<td>b. Online complaint (electronic) and response converted from paper received in item 3.</td>
<td>b. [Pending authorization]. Temporary. Delete 2 years after online publication.</td>
</tr>
<tr>
<td>5. Backups.</td>
<td>5. [Pending authorization]. Back up daily and delete when replaced by a subsequent comprehensive backup. Back up tape will be used as vital record copy.</td>
</tr>
</tbody>
</table>