

**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.

Records	Disposition
1. System software and updates.	1. [N1-241-96-5 #71]. Transfer to the configuration management tool prior to unit testing.
2. Life Cycle Management Documentation.	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.
3. Inputs: Complaint forms and responses received by mail (paper).	3. [Pending authorization]. Temporary. Destroy 2 ³ years after online publication.
4. Outputs (paper and electronic):	4. Outputs (paper and electronic):
a. Complaint logs, registers, indexes (paper).	a. [Pending authorization]. Temporary. Destroy 2 ³ years after online publication.
b. Online complaint (electronic) and response converted from paper received in item 3.	b. [Pending authorization]. Temporary. Delete 2 ³ years after online publication.
5. Backups.	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.

Previously approved authority still applies. JNB 6/8/01.

Changes made per e-mail from the agency dated 7/19/01. JNB 7/19