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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER <i>NI-540-07-2</i> | |
| TO NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | | Date received <i>11/17/06</i> | |
| 1 FROM (Agency or establishment) U.S Department of Agriculture | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 2 MAJOR SUBDIVISION Research, Education, and Economics (REE) Mission Area | | | |
| 3 MINOR SUBDIVISION Cooperative State Research, Education, and Extension Service (CSREES) | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Crystal Zeh | 5 TELEPHONE NUMBER 202-401-5924 | DATE <i>3/27/07</i> | ARCHIVIST OF THE UNITED STATES <i>Allen Wentz</i> |
| <p>6. AGENCY CERTIFICATION</p> <p>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 3 pages are not needed now for the business for 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,</p> <p><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p> | | | |
| DATE <i>11/13/06</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Crystal Zeh</i> | | TITLE Records Management Officer |
| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
| | See attached | | |

SA 3/27/07 Copies sent to Agency, NWMD, NWmw, NR

| Item No. | Description of Item and Proposed Disposition | GRS or Superseded Job Citation | Action Taken (NARA Use Only) |
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| 1 | <p><u>Invention Reporting and Patent Records</u></p> <p>Records document the requirements of the Bayh-Dole Act of 1980, 35 USC 200-212. The Act allows recipients of Federal research contracts, grants, or cooperative agreements to retain the rights to resulting inventions as long as the recipient complies with certain conditions and procedures. The Act requires recipients to report to the granting agency the discovery of an invention and various activities regarding the institution's management of the intellectual property rights.</p> <p>Records include, but are not limited to, invention disclosures, notices of transfer of rights, notices of title election or non-election, confirmatory licenses, patent applications, copies of patents, utilization reports, and correspondence.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> <p>Filed by state and invention number.</p> <p>a. Invention Titles Not Elected</p> <p>Disposition: Temporary. Close case file when notice of non-election is received. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center after cutoff. Destroy/delete 8 years after notice of non-filing is received.</p> <p>b. No Further Correspondence After "Invention Disclosure" Received</p> <p>Disposition Temporary. Close case file 5 years after receipt of invention disclosure. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center after cutoff. Destroy/delete 8 years after cutoff.</p> <p>c. Invention Titles Elected.</p> <p>1. No Patent Application Filed.</p> <p>Disposition: Temporary. Close case file when notice of non-filing is received. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center after cutoff. Destroy/delete 8 years after notice of non-filing is received.</p> <p>2. No Further Correspondence After "Notice of Title Election"</p> | | |

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| | <p>Received.</p> <p>Disposition: Temporary. Close case file 5 years after receipt of invention disclosure. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center after cutoff. Destroy/delete 8 years after cutoff.</p> <p>3. Patent Application Filed</p> <p>(a) Patent Abandoned by U.S. Patent and Trademark Office</p> <p>Disposition: Temporary. Close case file when notice of patent denial is received. Cut off all closed files at the end of the fiscal year. Transfer to the Federal Records Center after cutoff. Destroy/delete when 8 years old.</p> <p>(b) Patent Approved by U.S. Patent and Trademark Office</p> <p>Disposition: Temporary. Close case file 25 years after notice of patent issuance is received. Cut off all closed files at the end of the fiscal year. Destroy/delete immediately upon cutoff.</p> <p>(c) No Further Correspondence After "Notice of Patent Application Filed" is Received.</p> <p>Disposition: Temporary. Close case file 30 years after notice of patent application filed is received. Cut off closed files at the end of the fiscal year. Destroy/delete immediately upon cutoff.</p> | | |
| 2 | <p><u>Peer Panel Administration Records.</u></p> <p>Records document administrative and tracking activities associated with peer panel setup, operation, and conclusion. These activities may include selecting demographically balanced groups of panel members, tracking of panel costs and other logistics; and post-panel reporting of the panel managers.</p> <p>Records include but are not limited to the following: panel composition and justification reports; panel cost reports; panel manager reports; correspondence, and other documents related to panel administration.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> | | |

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| | <p>NOTE: Agency working copy personnel records (i.e. letters of appointment and other personnel documents) for the hiring of peer panel managers must be managed in accordance with instructions for the disposition authority entitled "Supervisors' Personnel Files." Similarly, travel, time and attendance, and other administrative records for peer panel managers must be managed in accordance with the disposition authorities for those records.</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year Destroy/delete 3 years after cutoff.</p> | | |
| 3 | <p><u>Staff Meeting Records</u></p> <p>Records document internal unit, branch, program, or other type of staff meetings discussing administrative or program activities. Records include but are not limited to the following: minutes, notes, and other supporting documents.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 3 years after cutoff.</p> | <p>N1-33-90-1, Items 1000-4-1c and 1041-3; 3070-2, Items 1000-4-1c and 1041-3</p> | |