

## Request for Records Disposition Authority

Records Schedule Number      DAA-0442-2018-0003  
Schedule Status                      Approved  
  
Agency or Establishment          Centers for Disease Control and Prevention  
Record Group / Scheduling Group   Records of the Centers for Disease Control and Prevention  
Records Schedule applies to      Agency-wide  
Schedule Subject                      Technology Transfer and Intellectual Property  
Internal agency concurrences will be provided      Yes

Background Information              Technology Transfer Records include: Employee Invention Reports, Patent Applications, Cooperative Research and Development Agreements, and other records developed by the Centers for Disease Control and Prevention (CDC) and/or supported by the National Institute of Health (NIH) for the implementation of the Federal Technology Transfer Act, the Bayh-Dole Act, the Stevenson-Wydler Act and other statutes and regulations that may govern technology transfer.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0442-2018-0003

Sequence Number	
1	Employee Invention Reports (EIRs) and Patent Applications Disposition Authority Number: DAA-0442-2018-0003-0001
2	License Agreement, CRADA, and Other Technology Transfer Agreement Records
2.1	Executed Agreements and Amendments with Financial Terms Disposition Authority Number: DAA-0442-2018-0003-0002
2.2	Denied License Applications That Are Under Appeal Disposition Authority Number: DAA-0442-2018-0003-0003
2.3	All Other Agreements and Amendments without Financial Terms, No Term, and All Other Cancelled or Non-executed Agreement Applications Disposition Authority Number: DAA-0442-2018-0003-0004
2.4	Associated Records Disposition Authority Number: DAA-0442-2018-0003-0005
2.5	Memorandum of Understanding Disposition Authority Number: DAA-0442-2018-0003-0006

## Records Schedule Items

Sequence Number	
1	<p><b>Employee Invention Reports (EIRs) and Patent Applications</b></p> <p>Disposition Authority Number      DAA-0442-2018-0003-0001</p> <p>These records consist of invention descriptions and associated documents submitted by scientists to the CDC Technology Transfer Office (TTO) for review of patentability or transfer by other means; and U.S., Patent Cooperation Treaty (PCT) and foreign patent applications and related documents including evaluations, law firm correspondence, patentability correspondence (from the USPTO or foreign counterparts), and work orders.</p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off following expiration, withdrawal or abandonment of issued patents or associated patent family</p> <p>Retention Period                      Destroy 10 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>
2	<p><b>License Agreement, CRADA, and Other Technology Transfer Agreement Records</b></p> <p>These records include license agreements, Cooperative Research and Development Agreements (CRADAs), and other Technology Transfer Agreements. License Agreements: Includes domestic and foreign, exclusive and non-exclusive, invention and biological material license agreements, Inter-Institutional Agreements (IIAs), and Inter-Agency Agreements (IAAs); Cooperative Research and Development Agreements (CRADAs): Between or among Centers/Institutes/Offices and private industry, nonprofit organizations, academia, or other government agencies; Other Technology Transfer Agreements: Includes Material Transfer Agreements (MTAs) or equivalent, Conditional Gift/Research Grant/Sub-Award, Confidential Disclosure Agreements (CDAs), CRADA Letters of Intent,</p>

2.1

Letters of Interest, Clinical Trial Agreements (CTAs), Data Transfer (or Use) Agreements, and Research Collaboration Agreements. Associated records may include: Amendments, clearance forms, progress reports, sales reports, User Fees paired with a Technology Transfer Agreement record, inventorship determinations, and Royalty Distribution Forms.

**Executed Agreements and Amendments with Financial Terms**

Disposition Authority Number      DAA-0442-2018-0003-0002

Records include CRADAs, MCRADAs, IAAs, MTAs with User Fee or equivalent, Conditional Gift/Research Grant/Sub-Award, and Licenses, Research Collaboration Agreement associated with conditional gifts.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?                      Yes

**Disposition Instruction**

Cutoff Instruction                      Cut off at expiration or termination of the License, CRADA, or other Technology Transfer Agreement.

Retention Period                      Destroy 10 year(s) after cutoff

**Additional Information**

GAO Approval                          Not Required

2.2

**Denied License Applications That Are Under Appeal**

Disposition Authority Number      DAA-0442-2018-0003-0003

Records include non-executed license applications that are under appeal.

Final Disposition                      Temporary

Item Status                              Active

Is this item media neutral?          Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the date of resolution of the appeal.
	Retention Period	Destroy 7 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.3	<b>All Other Agreements and Amendments without Financial Terms, No Term, and All Other Cancelled or Non-executed Agreement Applications</b>	
	Disposition Authority Number	DAA-0442-2018-0003-0004
	Records include all other agreements without financial terms, no term, and all other non-executed Agreement Applications including cancelled or withdraw records.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at 1) expiration, completion, withdrawal of the Agreement or confidentiality term; or 2) when Agreement negotiations are terminated, or the license application is denied and there is no appeal. Confirmation that the activities under the Agreement are no longer continuing; or 3) when the Agreement is withdrawn, the negotiations are terminated, or the license application is denied and there is no appeal.
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.4	<b>Associated Records</b>	

Disposition Authority Number DAA-0442-2018-0003-0005

CDC inventorship determinations for patentable technologies, and like determinations associated with non-patented biological materials subject to a biological material license.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

**Disposition Instruction**

Cutoff Instruction Cutoff when CDC decides a license is not required or until business needs have been met, whichever is later.

Retention Period Destroy 3 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

**Memorandum of Understanding**

Disposition Authority Number DAA-0442-2018-0003-0006

Record includes a document that describes very broad terms the mutual understandings, concepts, goals, and plans shared by parties.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

**Disposition Instruction**

Cutoff Instruction Cutoff after expirations/termination of agreement

2.5

Retention Period	Destroy 7 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
08/24/2018	Certify	Mary Wilson	CDC Records Office r	CDC - Management Analysis and Services Office
09/26/2018	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
11/19/2018	Submit For Certification	Mary Wilson	CDC Records Office r	CDC - Management Analysis and Services Office
12/20/2018	Certify	Mary Wilson	CDC Records Office r	CDC - Management Analysis and Services Office
07/10/2019	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
07/11/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/11/2019	Concur	Laurence Brewer	Chief Records Office r	National Records and Archives Administration - National Records and Archives Administration
07/12/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist