

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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>Employee Invention Reports (EIRs) and Patent Applications</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>Disposition Instruction</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>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>License Agreement, CRADA, and Other Technology Transfer Agreement Records</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

| | | |
|-------------------------------|---|--|
| 2.3 | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off at the date of resolution of the appeal. |
| | Retention Period | Destroy 7 year(s) after cutoff |
| | Additional Information | |
| | GAO Approval | Not Required |
| | 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 |
| | 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 |
| | Disposition Instruction | |
| 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 | |
| Additional Information | | |
| GAO Approval | Not Required | |
| 2.4 | Associated Records | |

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

2.5

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

| | |
|------------------------|--------------------------------|
| 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 |