

Request for Records Disposition Authority

Records Schedule Number DAA-0443-2016-0002
Schedule Status Approved

Agency or Establishment National Institutes of Health
Record Group / Scheduling Group Records of the National Institutes of Health
Records Schedule applies to Agency-wide
Schedule Subject NIH Technology Transfer Records
Internal agency concurrences will be provided No

Background Information Technology Transfer Records include: Employee Invention Reports, Patent Applications, Cooperative Research and Development Agreements, and other records developed and/or supported by 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0443-2016-0002

Sequence Number	
1	Employee Invention Reports (EIRs) and Patent Applications Disposition Authority Number: DAA-0443-2016-0002-0001
2	License Agreement, CRADA and Other Technology Transfer Agreement Records
2.1	Executed Agreements with Financial Terms Disposition Authority Number: DAA-0443-2016-0002-0002
2.2	Denied License Applications That Are Under Appeal Disposition Authority Number: DAA-0443-2016-0002-0003
2.3	All Other Agreements without Financial Terms and All Other Non-executed Agreement Applications Disposition Authority Number: DAA-0443-2016-0002-0004

Records Schedule Items

Sequence Number	
1	<p>Employee Invention Reports (EIRs) and Patent Applications</p> <p>Disposition Authority Number DAA-0443-2016-0002-0001</p> <p>These records consist of invention descriptions and associated documents submitted by scientists to technology development coordinators 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, work orders, and Cooperative Research and Development Agreements (CRADA) with a reported CRADA Subject Invention.</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? No</p> <p>GRS or Superseded Authority Citation N1-443-10-1; Items 1100-L-2-b, 1100-L-2-c, and 1100-L-3</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off following expiration, lapsing, withdrawal or abandonment of all issued patents, and patent applications within an associated patent family; or unpatented inventions when not associated with licensable or available licensed research material.</p> <p>Retention Period Destroy 6 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later</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 ICs and private</p>

industry, nonprofit organizations, academia, or other government agencies; Other Technology Transfer Agreements: Includes Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), Data Transfer Agreements, and Research Collaboration Agreements. Associated records may include: Original agreements and amendments, clearance forms, progress reports, sales reports, and Royalty Distribution Forms.

2.1

Executed Agreements with Financial Terms

Disposition Authority Number DAA-0443-2016-0002-0002

Records includes CRADAs with common account numbers (CANs) and Licenses.

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? No

GRS or Superseded Authority
Citation N1-443-10-1, Item 1100-L-4-a

Disposition Instruction

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

Retention Period Destroy 6 year(s) after cutoff or when no longer
needed for business purposes occurs, whichever is
later

Additional Information

GAO Approval Not Required

2.2

Denied License Applications That Are Under Appeal

Disposition Authority Number DAA-0443-2016-0002-0003

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? No

2.3

GRS or Superseded Authority Citation	N1-443-10-1, Item 1100-L-4-b2
Disposition Instruction	
Cutoff Instruction	Cut off at the date of resolution of the appeal.
Retention Period	Destroy 7 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later
Additional Information	
GAO Approval	Not Required
All Other Agreements without Financial Terms and All Other Non-executed Agreement Applications	
Disposition Authority Number	DAA-0443-2016-0002-0004
Records include all other agreements without financial terms and all other non-executed Agreement Applications.	
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?	No
GRS or Superseded Authority Citation	N1-443-10-1, Item 1100-L-4-a and 1100-L-4-b-1
Disposition Instruction	
Cutoff Instruction	Cut off at: 1) termination of the Agreement or at the expiration of the Agreement term or the Confidentiality term, whichever is longer; or 2) Confirmation that the activities under the Agreement are no longer continuing; or 3) When the Application/ Agreement is withdrawn, the negotiations are terminated, or the license application is denied and there is no appeal.
Retention Period	Destroy 3 year(s) after cutoff or when no longer needed for business purposes occurs, whichever is later
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
10/04/2016	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
11/15/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
11/22/2016	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
11/22/2016	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
12/15/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
12/15/2016	Submit For Certification	Amanda Pomicter	NIH Records Officer	NIH - NIH
12/15/2016	Certify	Amanda Pomicter	NIH Records Officer	NIH - NIH
04/12/2017	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
04/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/19/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/20/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist