

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>71-443-01-1</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>8-30-00</i>	
1. FROM (Agency or establishment) Department of Health and Human Services		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 National Institutes of Health			
3. MINOR SUBDIVISION Technology Development and Commercialization Branch, NCI			
4. NAME OF PERSON WITH WHOM TO CONFER Leslie Watson <i>Leslie Watson</i>	5. TELEPHONE 301-496-2832	DATE <i>12-18-01</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Cal</i>
6. 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 on the attached <u>2</u> page(s) are not now needed for the business of 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE AUG 8 2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.		TITLE HHS Records Manager

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Approval is requested to revise/modify/update the 1743 NIH Records Control Schedule, to include a new item covering technology transfer agreements. These changes were necessitated by regulatory, procedural and/or operational considerations.</p> <p>These items will appear in the NIH Records Control Schedule as follows:</p> <p><i>cc: nwmd, nwmw</i></p>		

1100-L-11

Technology Transfer Agreements Technology transfer agreements not covered in another section. The agreements include, but are not limited to, Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), and Memoranda of Understanding (MOU).

NOTE: Disposition schedules for technology transfer agreements negotiated on behalf of contractors are covered in Section 2600-A.

A. Executed Agreements:

1. The request letter, initial boiler plate PHS and/or NIH version, outside party's agreement (if used), marked-up versions of the agreement documenting substantive changes, telephone logs documenting negotiated points, correspondence, and any NIH or company papers documenting STRONG controversy between the two versions, maintained prior to the approval of the Agreement.

Disposition: Destroy 1 year after the date of execution.

2. The final executed Agreement and post execution correspondence and documents.

Disposition:

- a) For Agreements with a fixed expiration date: destroy 1 year after expiration or termination of the agreement.
 - b) For Agreements *without* a fixed expiration date: destroy 1 year after notification by either party of termination OR 8 years after execution.
3. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Disposition: Destroy when the Agreement is signed.

B. Non-executed Agreements:

1. The request letter and all other related record material including correspondence, documents, drafts and logs created.

Disposition: Destroy 1 year after it is determined the Agreement will not be executed and the file is closed.

2. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Disposition: Destroy when the Agreement is closed.

- C. Electronic copies created on electronic mail or word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed, whichever is latest.

NIH Clearances:

Leslie Watson: _____
NIH Records Officer

Date

Agency concurrence granted in email dated
3/21/2001.

[Handwritten signature]

Technology Transfer Agreements Technology transfer agreements not covered in another section. The agreements include, but are not limited to, Material Transfer Agreements (MTAs), Simple Letter Agreements (SLAs), Confidential Disclosure Agreements (CDAs), Clinical Trial Agreements (CTAs), Letters of Collection (LOCs), and Memoranda of Understanding (MOU).

NOTE: Disposition schedules for technology transfer agreements negotiated on behalf of contractors are covered in Section 2600-A.

I. RECORD MATERIAL

A. Executed Agreements:

1. The request letter, initial boiler plate PHS and/or NIH version, outside party's agreement (if used), marked-up versions of the agreement documenting substantive changes, telephone logs documenting negotiated points, correspondence, and any NIH or company papers documenting STRONG controversy between the two versions, maintained prior to the approval of the Agreement.

Located in IC Technology Transfer Office

Disposition: Destroy 1 year after the date of execution.

2. The final executed Agreement and post execution correspondence and documents.

Located in IC Technology Transfer Office

Disposition:

- a) For Agreements with a fixed expiration date: destroy 1 year after expiration or termination of the agreement.
- b) For Agreements *without* a fixed expiration date: destroy 1 year after notification by either party of termination OR 8 years after execution.

B. Non-executed Agreements:

1. The request letter and all other related record material including correspondence, documents, drafts and logs created.

Located in IC Technology Transfer Office

Disposition: Destroy 1 year after it is determined the Agreement will not be executed and the file is closed.

II. NON-RECORD MATERIAL

A. Executed Agreements:

1. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Located in IC Technology Transfer Office

Disposition: Destroy when the Agreement is signed.

B. Non-executed Agreements:

1. Copies of documents used for convenience of reference, working drafts and correspondence requesting pen and ink type (e.g., grammatical, style, etc) changes, duplicate copies of documents.

Located in IC Technology Transfer Office

Disposition: Destroy when the Agreement is closed.

(NOTE: The electronic version is scheduled under NARA job N9-443-00-01 item 1100-L-¹⁰~~9~~)

NIH Clearances:

Kathleen Sybert: Karen Mearns for KS 7/27/00
Chief, TDCB, NCI Date

Leslie Watson: Leslie Watson 7/31/2000
NIH Records Officer Date