

## Record Retention: Technology Transfer Records

**Effective Date:** March 22, 2022

**Function:** Office of Industry and External Affairs

**Contact:** [innovationandpartnerships@rfsuny.org](mailto:innovationandpartnerships@rfsuny.org)

### Basis for Schedule

The purpose of this schedule is to ensure an efficient and uniform systematic control of record keeping and destruction related to technology transfer records and Intellectual Property (as defined in the [SUNY Patents and Inventions Policy](#)) consistent with the RF [Records Management Policy](#).

### Schedule Summary<sup>1</sup>

The table below identifies the minimum legal and corporate requirements for paper and/or data records applicable to Intellectual Property and technology transfer business area.

Record Type	Office of Record	Retention Period	Justification
Intellectual Property and technology transfer including: <ul style="list-style-type: none"> <li>• Patent applications and applications both foreign and domestic;</li> <li>• Agreements<sup>2</sup> (e.g. licenses, options, materials transfer, non-disclosure, confidentiality, inter-institutional, MOUs, sponsorship, sponsored research agreements);</li> <li>• New Technology Disclosures (NTDs); and,</li> <li>• Records related to royalty receivables including reports from</li> </ul>	All technology transfer records are stored in Inteum. The specific Office of Record is either the Central Office's Office of Industry and External Affairs or the campus-based technology transfer office, if one exists.	The latter of: <ul style="list-style-type: none"> <li>• 10 years after the expiration of Intellectual Property rights connected to a case file,</li> <li>• 10 years after expiration of an agreement, or</li> <li>• 10 years after the case file is closed</li> </ul>	RF Corporate Business Practice

<sup>1</sup> For questions regarding the appropriate retention for any record type not included in the schedule above please contact the Office of Compliance Services at [RFCompliance@rfsuny.org](mailto:RFCompliance@rfsuny.org).

<sup>2</sup> This includes any industry sponsored agreements related to the development or commercialization of intellectual property, including the ownership, transfer, or assignment thereof. Any questions regarding the applicability of an agreement type to this schedule should be directed to RF's Office of Industry and External Affairs at [innovationandpartnerships@rfsuny.org](mailto:innovationandpartnerships@rfsuny.org).

licensees or other commercialization partners			
External Invention Disclosures (as defined in (d)(2) of SUNY's Patents & Inventions Policy)	SUNY Chief Academic Officer (or delegate) of each institution with a copy to the respective institution's technology transfer office or the Central Office of Industry and External Affairs, whichever applicable. External Invention Disclosures are stored in Inteum.	20 years from date of disclosure	SUNY Patents and Inventions Policy United States Patent and Trademark Office

**Definitions**

*Record(s)*- any information kept, held, filed, produced, or reproduced in any form whatsoever, including electronic, by or on behalf of the Research Foundation or Research Foundation employees, in their capacity as employees of the Research Foundation. Records include, but not limited to: reports; statements; examinations; memoranda; opinions; folders; files; books; manuals; pamphlets; forms; papers; designs; drawings; maps; photos; letters; microfilms; computer tapes or discs; rules; and regulations or codes, in connection with the transaction of Research Foundation business.

*Intellectual Property*- Patentable Inventions, tangible research materials, computer software, and any unique or novel innovation in the technical arts or any new and useful improvements thereof, including methods or processes for creating an object or result (a way of doing or making things), machines, devices, products of manufacture, product designs, or composition, mask works or layout designs for printed circuit boards or integrated circuits, compositions of matter, materials, any variety of plant, and any know-how essential to the practice or enablement of such innovations and improvements, whether or not patentable.

*Inteum (also known as Minuet)*- The electronic tool that stores all of SUNY's Intellectual Property and supports the management of SUNY's Intellectual Property portfolio and the workflow of the various business function of the offices responsible for technology transfer.

*Patentable Invention*- Any art or process (way of doing or making things), machine, manufacture, design, or composition of matter, or any new and useful improvement thereof, or any variety of plant which is or may be patentable under the patent laws of the United States or other relevant jurisdiction, and the patent applications or patents that embody them.

## Related Information

[Records Management Policy](#)

[Record Retention: Project Administration Records](#)

[Record Retention: Destruction of Records Guideline](#)

## Change History

Date	Summary of Change
March 22, 2022	New Document. Moved from Record Retention: Project Administration Records

## Feedback

Was this document clear and easy to follow? Please send your feedback to [webfeedback@rfsuny.org](mailto:webfeedback@rfsuny.org).