Data Use Agreement Procedure

PI/Department		
HSC Sponsored Projects Office		
Privacy		
IT Security		
Collaborator		
IRB		

PI/Department

- Start Here — PI Completes DUA Questionnaire
- Submits to SPO via Click Agreements & Attaches the DUA Questionnaire
- *Notes:* Responsible for ensuring accuracy and completeness of DUA Questionnaire and obtaining clarifications from collaborator. Responds to Privacy/IT Security Questions/Concerns directly
- PI Reviews final draft DUA
- DUA approved
- Success — PI will initiate IRB protocol (if they have not yet done so) and attach executed DUA. Data CANNOT be shared until the IRB Protocol has been approved.

HSC Sponsored Projects Office

- Will review questionnaire and contact the PI if clarifications are required
- Will determine which DUA template to use based on the information provided in the DUA
- Drafts DUA and sends (via Click Agreements) to Privacy and IT Security for reviews. Notification to IRB via Click - DUA has been initiated
- Modifies per Privacy/IT Security or PI
- Sends to PI for final approval
- Sends to Collaborator for review
- Negotiates changes & will notify PI if necessary
- Sends for Vice President for Research Signature
- Sends fully executed DUA to PI, Collaborator & IRB

Privacy

- *Notes:* Questions re: DUA questionnaire go directly to PI - Questions re: DUA template go to SPO
- Privacy reviews data elements for potential PHI/HIPAA issues, confirms sharing is allowed, confirms DUA template
- Changes to DUA Agreement

IT Security

- *Notes:* Questions re: DUA questionnaire go directly to PI - Questions re: DUA template go to SPO
- IT Security reviews DUA w/questionnaire to determine data flow, data handling, and security safeguards for transfer

Collaborator

- Reviews for acceptability
- Requires Changes

IRB

- Can check if protocol has been initiated
- Contacts PI/Dept to initiate IRB Protocol if one hasn't been created if chooses to do so at this stage
- *Notes:* Questions re: IRB protocol changes go directly to PI
- Ensures IRB Protocol is created, matches protocol to data elements/info in DUA
- If IRB protocol does not match DUA, IRB requests modification (from PI) to protocol

Flow labels: No, Yes (PI Reviews final draft / DUA approved); Yes, No (Changes to DUA Agreement); Yes, No (Requires Changes)