



## Data Use Agreement (DUA) Information

*These questions are required in ERA with each DUA agreement submission. This form can be used to collect the required information prior to ERA submission. The answers should be transferred to the electronic record. Download this form to your computer prior to completion.*

Principal Investigator	
Princeton ERA Agreements Record Number	

*Please complete these questions as they apply to this DUA submission.*

1. For this agreement, Princeton is:

Answer questions 2-4 if you selected "Receiving data" or "Both" above. Skip to question 5 if you selected "Providing data" above.

2. Will other Princeton individuals, besides the PI, have access to the data?

a. If yes, list other Princeton individuals, besides the PI, who will have access to the data.

	First Name	Last Name	Email	Title	Role in Project	If Other, please specify

3. Will anyone outside of Princeton need access to the data?

*Note: The terms of the DUA may prohibit access to data by individuals outside of Princeton. ORPA will review and work with you to determine options.*

a. If yes, list individuals outside of Princeton who will access the data.

	First and Last Name	Organization	Email	Title	Role in Project	If Other, please specify

b. If yes, please explain why they need access:

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4. Do you intend to merge the data with any other datasets?		
a.	Please explain: <i>Please describe the other dataset(s), such as name, source, data elements, and if there are any data use agreements and/or security requirements associated with the dataset(s).</i>	
Answer questions 5 if you selected "Providing data" or "Both" above.		
5. Did you generate/collect the data to be shared?		
a.	If yes, please explain: <i>Provide any identifying information about the project or IRB protocol the data was collected under.</i>	
b.	If no, what is the source of the data? <i>Please describe how the data was acquired.</i>	
6. Describe data being provided or accessed, including data elements. <i>If this information is in the draft agreement, note in the text box which section in the draft agreement, or copy and paste the relevant information.</i>		
7. Describe the project/permitted use of the data. <i>If this information is in the draft agreement, note in the text box which section in the draft agreement, or copy and paste the relevant information.</i>		

8.	Check all regulations that may apply to the data.
	<p><u>Controlled Unclassified Information ("CUI")</u> – CUI is information the federal government creates or possesses, or that an entity creates or possesses for or on behalf of the federal government, that a law, regulation, or government-wide policy requires or permits an agency to handle using safeguarding or dissemination controls. CUI designations and safeguarding requirements are only applicable when mandated by a federal agency in a contract, grant, or other agreement. Examples of CUI data could include but are not limited to financial documents, invoices, engineering drawings, technical specification, diagrams, and blueprints.</p>
	<p><u>Personal Data as defined by the EU's General Data Protection Regulation ("GDPR")</u> – Regardless of where the data are processed, personal data relating to residents of the European Economic Area ("EEA") are protected by extraterritorial privacy law. Additionally, data which cross international borders may be subject to additional requirements or protections. Data in this category may include any type of PII data that directly or indirectly identify citizens or residents of the EU, or data which are shared with collaborators or entities in another country.</p>
	<p><u>Personal Information as defined by China's Personal Information Protection Law ("PIPL")</u> – Regardless of where the data are processed, personal information relating to residents of the People's Republic of China ("PRC") are protected by extraterritorial privacy law. Additionally, data which cross international borders may be subject to additional requirements or protections. Data in this category may include any type of PII data that directly or indirectly identify citizens or residents of China, or data which are shared with collaborators or entities in another country.</p>
	<p><u>Protected Health Information ("PHI") covered by the Health Insurance Portability and Accountability Act ("HIPAA")</u> – Personally identifiable information (PII) that is used in conjunction with medical records, including payment for medical care becomes Protected Health Information (PHI). Data in this category may include medical or health information from a healthcare provider, health plan, employer, or healthcare clearinghouse and relates to a person's physical/mental health or condition, the provision of health care to a person, or payment for the provision of health care to a person; or was created, received, maintained, or transmitted from a covered entity or business associate subject to HIPAA rules.</p>
	<p><u>Educational Records covered by the Family Educational Rights and Privacy Act ("FERPA")</u> – FERPA defines an education record as any record directly related to a student which contains personally identifiable information and is maintained by the university or a party acting on behalf of the university. Examples of FERPA protected data could include but are not limited to grades, transcripts, enrollment records, advising records, testing and assessment data, correspondence, class lists, student course schedules, and disciplinary records.</p>
	<p><u>Student financial records and other financial records covered by the Gramm-Leach Bliley Act ("GLBA")</u> – GLBA applies to higher education institutions specifically to the collection, storage and use of student financial records containing personally identifiable information, and to financial institutions and entities which receive customer information from other financial institutions. Examples of GLBA protected data could include but are not limited to tuition payment history, bank and credit card information, financial aid information (including FAFSA), parent financial records, credit reports and scores, account balances, payment history, investment information and loan application information.</p>

<p>9. Are you aware of any additional data security requirements, contractual obligations, or other obligations from the data provider; or is the data subject to any law, regulation, or industry best practice? This could include data collected or downloaded from a website which may be protected by terms of use or data which is involved in an international data transfer or accessed by entities in another country.</p>	
<p>a.</p>	<p>If yes, please explain:</p>
<p>10. Do you have a data security plan, data management plan, or similar document if Princeton is receiving data, or data security requirements for outgoing data? If yes, please attach the document in the Supporting Documents section of the Agreement Upload page. <i>This could be the data security plan submitted with the IRB protocol.</i></p>	
<p>a.</p>	<p>If no, describe how the data will be transmitted, stored, and protected, including how the data will be accessed. For example, will Princeton/the receiving party have physical possession of the data, or will it be accessed via a remote portal?</p>
<p>11. Please provide any additional information that may be useful.</p>	