

IRB and Data Sharing Agreements – Cheat Sheet

Types of agreements

- IAA – IRB Authorization Agreement
- IIA – Individual Investigator Agreement
- DUA – Data Use Agreement
- BAA – Business Associate Agreement
- MTA – Materials Transfer Agreement
- CTA – Clinical Trials Agreement.

When to obtain each type of agreement

- Limited Data Set is being sent to or from an outside entity – obtain a DUA
- PHI (not included on a LDS) is being sent to or from an outside entity – obtain a BAA
- De-identified data is being sent to or from an outside entity – DUA/BAA not required. Legal may have additional requirements (data ownership, etc)
- Data is being shared locally – no additional agreement needed
- A local investigator is collaborating on research taking place at another institution – obtain an IAA
- An outside investigator is collaborating on research taking place locally – obtain an IAA or IIA.
- Proprietary materials are being sent to or from an outside entity – obtain a MTA

Exceptions

- If there is another agreement (e.g. funding agreement) that already covers or addresses the terms and conditions involved with the transfer of data/materials between two entities then usually an additional DUA, BAA, or MTA would not be needed. IAA or IIA may still be needed

PHI allowed to be shared in a Limited Data Set with a Data Use Agreement

- Geographic data – but no full mailing addresses. Zip codes permitted.
- Dates
- Other unique identifiers

BAA is required if the remaining 16 elements of PHI will be shared

- Names
- Address
- Telephone numbers
- Fax numbers
- Email address
- Social Security Number
- Medical Record Numbers
- Health plan beneficiary numbers
- Account numbers
- License numbers
- Vehicle identifiers and serial numbers including license plates
- Device identifiers and serial numbers
- URLs
- IP address
- Biometric identifiers
- Full-face photos

Contact Information

- SCRIHS: 217-545-7602 for IAAs and IIAs
- Gary Fifer: 217-545-7823 for DUAs and BAAs
- Office of Technology Transfer for MTAs