

 ANGELO STATE UNIVERSITY NON-FINANCIAL RESEARCH AGREEMENT REVIEW FORM

INITIATOR DATA

Principal Investigator (PI):

PI's Department:

Co-PI(s) (List all names):

AGREEMENT INFORMATION

- 1) Company or Organization issuing the Agreement:
- 2) Agreement Type:
  - a) If other, enter the agreement type here:
- 3) Type of Company/Organization Issuing Agreement:
  - a) If other, enter the company/organization type here:
- 4) Agreement Effective Dates:
  - a) Start Date:
  - b) End Date:
  - c) Retention Period:
- 5) Standard template being used:
  - a) If other, enter the template name here:
- 6) Purpose of the Agreement:

COMPLIANCE AND MONITORING REQUIREMENTS

- 1) Does this agreement/project involve research on **human research subjects** subject to IRB approval?
  - a) If yes, select pending committee review or enter protocol number and approval date:  
OR
  
- 2) Does this agreement/project involve **research on animal subjects** subject to IACUC approval?
  - a) If yes, select pending committee review or enter protocol number and approval date:  
OR
  
- 3) Does this agreement/project involve the transfer or use of **biohazardous materials** and/or **recombinant DNA** subject to IBC approval?
  - a) If Yes, select pending committee review or enter protocol number and approval date:  
OR
  
- 4) Does this agreement/project involve the transfer or use of **protected health information** protected under HIPAA?
  
- 5) Does this agreement/project involve the transfer or use of **personally identifiable information (PII)** protected under FERPA?
  
- 6) Does the PI or any co-PIs have any **significant financial interests** associated with the agreement/project?
  
- 7) Will **students** be involved in the transfer or use of materials/data associated with this agreement?
  
- 8) Does this agreement/project include any **confidentiality requirements** or **publication restrictions**?
  
- 9) Could this agreement/project result in the creation of any **intellectual property** (e.g. copyrights or patents)?

PRINCIPAL INVESTIGATOR (PI) AND CO-PI(S) CERTIFICATION AND SIGNATURE

As the PI and Co-PIs of the project associated with this agreement, I/we confirm that I/we have read the agreement and will comply with all of the terms and conditions contained therein, including but not limited to the stated allowable uses of the materials/data, the material/data retention and disposition requirements, and reporting and confidentiality requirements.

**Principal Investigator (PI):**

**PI Signature:**

**Co-PI 1:**

**Co-PI 1 Signature:**

**Co-PI 2:**

**Co-PI 2 Signature:**

**Co-PI 3:**

**Co-PI 3 Signature:**

ADMINISTRATIVE APPROVALS

These signatures certify that the individual has reviewed the agreement and confirmed it is consistent with unit and/or institutional policies and objectives.

**Director of Sponsored Projects:**

**Department Chair:**

**Dean of College:**

**Dean, College of Graduate Studies & Research:**

Other Signatory 1 (if applicable):

**Title:**

**Signature:**

Other Signatory 2 (if applicable):

**Title:**

**Signature:**

Other Signatory 3 (if applicable):

**Title:**

**Signature:**

NON-FINANCIAL RESEARCH AGREEMENT REVIEW FORM INSTRUCTIONS

## Initiator Data

Enter the full name of the individual with primary responsibility—the principal investigator (PI)—for the project associated with this agreement, along with the name of the PI’s home department and all co-PIs on the project.

## Agreement Information

- 1) Enter the name of the company or other organization entering into the agreement with Angelo State University.
- 2) From the drop-down menu, select the type of agreement to be reviewed:
  - a. Data Transfer and Use Agreement (**DTUA**), also called a Data Sharing Agreement (DSA), which governs the sharing and use of non-publicly available data sets between two agencies.
  - b. Material Transfer Agreement (**MTA**), which governs the sharing and use of tangible materials, including biological materials, chemical materials, and/or human tissues.
  - c. Non-Disclosure Agreement (**NDA**), sometimes called a Confidentially Agreement (CA), which limits information and/or materials sharing. An NDA is designed to allow research activities to proceed while protecting all or portions of an organization’s intellectual property, such as an invention or trade secret, from public disclosure.
  - d. Other non-financial research agreements that might be entered into include Memoranda of Understanding/Agreement (**MOUs/MOAs**), license agreements, and/or copyright transfers.
- 3) Indicate the type of company/organization issuing the agreement.
- 4) Enter the agreement effective dates, including the:
  - a. Start Date – the date upon which the agreement becomes effective,
  - b. End Date – the date upon which the agreement ends, and
  - c. Retention Period – the length of time or date through which records about the agreement must be maintained, if specified. If no date is specified, leave this item blank.
- 5) If one of the listed standard or template agreements is being used, please check beside that box. If an unaltered standard agreement is being used, the review and approval processes will be quicker because those standard agreements have already been reviewed. Standard templates may include the following:
  - a. Association of University Technology Managers (AUTM) MTA Templates (there are several)
  - b. Angelo State University DTUA
  - c. Federal Demonstration Partnership (FDP) DTUA
  - d. Texas Tech University System (TTUS) Non-Disclosure Agreement (1-way or 2-way)
  - e. Uniform Biological Material Transfer Agreement (UBMTA)
- 6) Provide a brief description of the agreement’s purpose, including the type(s) and planned use(s) of the materials/data being transferred, if applicable. **This must be written in layperson’s terms; do not use technical jargon or abbreviations.**

## Compliance and Monitoring Requirements

Select yes or no from the drop-down menu for each of the following items:

- 1) Research involving human subjects: If the [research involves human subjects](#), you must have Institutional Review Board (**IRB**) approval prior to beginning research.
- 2) Research involving animal subjects: If the [research involves animal subjects](#), you must have Animal Care and Use Committee (**IACUC**) approval prior to beginning research.
- 3) Research involving [biohazardous materials and/or recombinant DNA](#): If the research involves one of these types of materials, you must have Institutional Biosafety Committee (**IBC**) approval prior to beginning research.
- 4) Protected Health Information (PHI) is identifiable health information protected under the federal Health Insurance Portability and Accountability Act (**HIPAA**). Additional security measures must be in place to ensure the secure storage and use of PHI.
- 5) Personally Identifiable Information (PII) is any information that identifies an individual and may be deemed confidential by law or university policy, such as student information covered by the Family Educational Rights and Privacy Act (**FERPA**).
- 6) Significant financial interests, as defined in [OP 56.08](#), must be disclosed prior to executing any research agreement.
- 7) Will students be involved in the project? If so, additional reviews may be necessary to assess the level of risk and to mitigate or eliminate significant risks associated with students handling protected information or potentially hazardous materials.
- 8) Does the agreement include any confidentiality requirements or publication restrictions? Such requirements/restrictions must be reviewed for congruence with the university's mission and for managing compliance.
- 9) Could this agreement/project result in the creation of any intellectual property, however remote the possibility? If so, additional reviews by the Texas Tech University Office of Research Commercialization may be necessary.

By completing and signing this form, the PI and all co-PIs confirm that they agree to the terms and conditions of the agreement as indicated and that they will take responsibility for compliance with all agreement requirements.

### Approvals

After completing and signing this review form, the PI must attach a copy of the full agreement and send it to the following individuals for approval before it is executed: 1) Director of Sponsored Projects, 2) the Department Chair of the PI and any co-PIs, 3) the Dean of the PI's college, and 4) the Dean of the College of Graduate Studies and Research. Based on the type of agreement and/or specific terms and conditions, other reviews may be deemed necessary. This may include reviews by the Provost, staff in Information Technology (to assess information security risks), the TTUS General Counsel's Office, or other individuals/departments that might be impacted by the agreement. The Office of Sponsored Projects will provide guidance for including other offices in the review and approval process.

**Final Note: Use of Adobe Sign**

Unless otherwise arranged with the Director of Sponsored Projects, please use Adobe Sign for signing, routing, and processing this form. Additional information on the Adobe Sign process is available from the Director of Sponsored Projects, Porter Henderson Library Room 203, Phone: 942-2350.