

Procedures for the Approval of Research Agreements Effective, Fall 2016

CUNY Central must approve and exercise signing authority for some categories of research agreements. If a research agreement is necessary, execution of those agreements is required for unfunded research, sponsored programs submitted through the Baruch College Sponsored Programs and Research Office (SPAR), and studies involving human subjects that require approval from the Baruch College Human Research Protection Program Office (HRPP). The Baruch College campus contacts for all research agreements will be the director of SPAR and the coordinator of HRPP. They will be responsible for mediating all CUNY Central review and approval of required research agreements. The categories and descriptions of research agreements are:

1. Data Transfer Agreements

A Data Transfer Agreement (DTA) is formal contractual document that permits the transfer of research data from one institution to another so that the recipient institution can use the data for the continuation of research. DTAs are required when data owned by CUNY is being transferred to another institution for the continuation of research efforts. This most commonly occurs when a CUNY affiliate leaves CUNY for employment at another institution, and wishes to take research data to the new institution in order to continue his/her research efforts.

Baruch College contact: Dominic Esposito, Director, SPAR.

The Vice Chancellor for Research and the University Director for Research Compliance are the institutional authorities for DTAs.

2. Unrestricted Data Use Agreements

Unrestricted Data Use Agreements (DUA) are formal contractual documents that clearly set out what data can be shared and how the data can be used. Unrestricted data is defined as datasets that do not contain personally identifiable participant information or other confidential or private information, do not raise national security concerns, and may otherwise be distributed to the general public. Unrestricted DUAs serve to address any limitations on the use of the data, obligations to safeguard the data, liability for harm arising from the use of the data, publication, and privacy rights associated with the data.

Baruch College contact: Dominic Esposito, Director, SPAR.

The Vice Chancellor for Research and the University Director for Research Compliance are the signatory authorities for Unrestricted DUAs.

3. Restricted Data Use Agreements

Like DUAs, Restricted Data Use Agreements (RDUA) are formal contractual documents that clearly set out what data can be shared and how the data can be used. Restricted data is defined as datasets that cannot be distributed to the general public because of, for example, participant and other confidentiality and privacy concerns, third party licensing or use agreements, or national security considerations. RDUAs serve to address any limitations on the use of the data, obligations to safeguard the data, liability for harm arising from the use of the data, publication, and privacy rights associated with the data.

Baruch College contact: Dominic Esposito, Director, SPAR, and/or Keisha Peterson, Coordinator, HRPP, as appropriate.

CUNY General Counsel is the signatory authority for Restricted Data Use Agreements.

4. Institutional Review Board Authorization Agreements

An Institutional Review Board (IRB) Authorization Agreement (IAA) is a formal document that provides a mechanism for an institution, which has an investigator engaged in human subject research, to designate the IRB of another institution as the IRB of record for one or more human subject research protocols. An IAA is an agreement between the institutions that 1. Specifies which institution's IRB will be the IRB of record for some or all components of a study; and 2. defines the responsibilities for the IRB and for each institution.

Baruch College contact: Keisha Peterson, Coordinator, HRPP.

The Vice Chancellor for Research and the University Director for Research Compliance are the official authorities for IAAs.

5. Individual Investigator Agreements

An Individual Investigator Agreement (IIA) is a formal binding agreement that provides a mechanism for an individual to collaborate on a research project using human subjects when that individual is neither affiliated with an institution nor acting as an employee or agent of an institution. At CUNY an IIA is required for all federally funded human subject research for which an investigator is not affiliated with any institution but is engaged in CUNY research. The IIA defines the responsibilities of the IRB and the individual investigator.

Baruch College contact: Keisha Peterson, Coordinator, HRPP.

The Vice Chancellor for Research and the University Director for Research Compliance are the official authorities for IIAs.

Additional information on all of these research agreements is available at <http://www.cuny.edu/research/compliance/Research-Agreements.html>