

UNIVERSITY OF ROCHESTER
DATA USE/TRANSFER AGREEMENT CHECKLIST
(Receiving Data)

A Data Use/Transfer Agreement (DUA) is a contractual document used for the transfer of data that has been developed by nonprofit, government or private industry, where the data is nonpublic or is otherwise subject to some restrictions on its use. Often this data is a necessary component of a research project and it may or may not be human subject data from a clinical trial, or limited data set information as defined in HIPAA.

University of Rochester Scientist(s): _____ **Department:** _____

Location: MEDICAL CENTER _____ **RIVER CAMPUS** _____

Date: _____ **Phone Number(s)** _____ **UR BOX #** _____

1) Description of the Data to be received (Please list variables to be received):

2) Does the Data originate from: Humans _____ Non-human Samples _____

3) Will you be receiving de-identified Data?** Yes _____ No _____

**De-identified data is data that does not contain any direct identifiers of the individuals according to HIPAA. (Please see the attached listing for assistance.)

If NO - Select one of the following:

Are you receiving a Limited Data Set (LDS)? Yes _____ No _____

(Please see the attached listing for assistance.)

4) Will Materials be received with the data: Yes _____ No _____

If Yes, please provide a description of the Materials:

5) Please indicate who will be providing the Data: Academia / Nonprofit _____ or Industry _____

Providing Scientist: _____

Institution: _____

Address: _____

Providing Scientist's Email: _____

Providing Scientist's Phone Number: _____

6) Please identify any 3rd party funding source for the research using this Data.

7) How would you like the Data Use/Transfer Agreement to be returned?

(Please check one) 1st Class Mail _____ FedEx _____

If FedEx was selected, please provide:

FEDEX Account # _____

FEDEX Reference # _____

Please direct ONLY RSRB related questions to your RSRB specialist.

Description of Limited Data Set and De-Identified Data Set

De-Identified Data Set:

The De-Identified Data Set must EXCLUDE all of the following direct identifiers of the individual or of the individual's relatives, employers or household members to be considered De-Identified Data:

- a. Names;
- b. All geographic subdivisions smaller than a State, including: street address, city, county, precinct, zip codes and their equivalent geocodes, except for the initial three digits of a zip code if, according to the current publicly-available data from the Bureau of Census:
 - (1) the geographic unit formed by combining all zip codes with the same three initial digits contains more than 20,000; and
 - (2) the initial three digits of the zip code for all such geographic units containing 20,000 or fewer people is changed to 000.
- c. All elements of dates (except year) for dates directly related to an individual, including: birth date, admission date, discharge date, date of death; and all ages over 89 and all elements of dates (including year) indicative of such age, except that such ages and elements may be aggregated into a single category of age 90 or older;
- d. Telephone numbers;
- e. Fax numbers;
- f. E-mail addresses;
- g. Social Security numbers;
- h. Medical record numbers;
- i. Health plan beneficiary numbers;
- j. Account numbers;
- k. Certificate/license numbers;
- l. Vehicle identifiers and serial numbers, including license plate numbers;
- m. Device identifiers and serial numbers;
- n. Web Universal Resource Locators (URLs);
- o. Internet Protocol (IP) address numbers;
- p. Biometric identifiers, including finger and voice prints;
- q. Full face photographic images and any comparable images; and
- r. Any other unique identifying numbers, characteristics or code

Limited Data Set (LDS):

Researcher may use or disclose a LDS without an authorization from a research subject(s) if the following conditions are met:

A LDS is defined as Protected Health Information that must exclude all of the above identifiers with exception of the following identifiers:

- 1) town, city, state and zip code;
- 2) all dates related to an individual, including birth date, admission date, discharge date and date of death; and
- 3) unique codes or identifiers not listed as direct identifier.