

## DUA Intake Form v2

Please complete all fields within this DUA Intake Form. Incomplete information may result in delays.

Upon submission, you will receive a pdf of the completed form sent to the email address you enter below.

In the PEER [Contract Request](#), submit the DUA Intake Form as an attachment with any other supporting documents you may have.

Thank you!

Record ID

### Data Use Agreement (DUA)\* Intake Form

A Data Use Agreement may be needed when there is a transfer of certain types of information to Vanderbilt University from an outside entity. Data types that may need a DUA might include human or animal subject research, data protected under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) [including Protected Health Information (PHI)], education records as defined by the Family Educational Rights Act (FERPA), or Personally Identifiable Information (PII). This list of examples is not exhaustive.

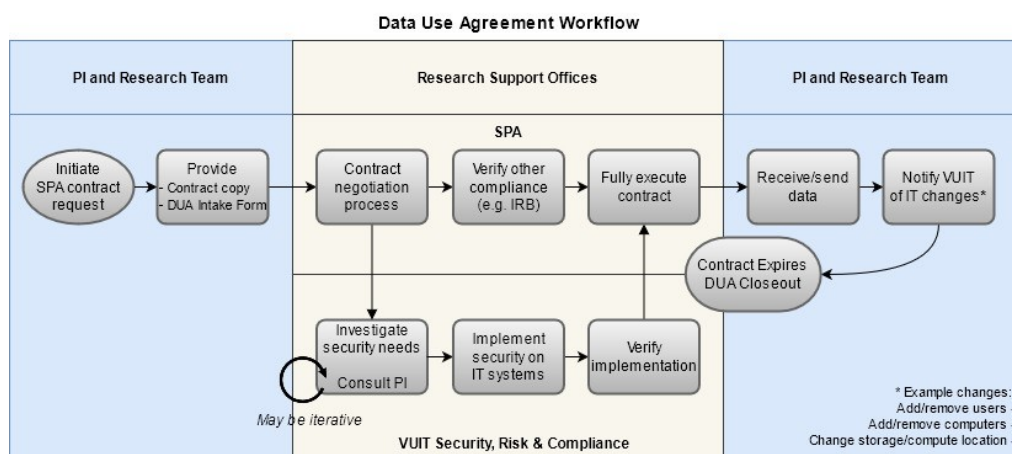
Completion of this form will assist in assessing information security needs in order to receive data in a manner according to regulations and University compliance requirements. Please include a pdf of this form (which will be emailed to you upon completion) in a new PEER Contract Request along with a copy of the draft Data Use Agreement.

For questions about this form, the contract/agreement, or general DUA processes contact:

[abby.regan@vanderbilt.edu](mailto:abby.regan@vanderbilt.edu).

For questions about information security requirements contact: [it.risk@vanderbilt.edu](mailto:it.risk@vanderbilt.edu).

*\*May also be called "Data Transfer Agreement," "Data Transfer and Use Agreement," or other similar title. This form may also be required for any research-related agreement containing data security requirements (e.g., Nondisclosure Agreement, Sponsored Research Agreement).*



Date Submitted:

10-19-2021

M-D-Y

Date Needed By:

10-22-2021

M-D-Y

**Contact Information**

	First name	Last Name	VU Email
<b>PI</b>	<input type="text" value="Brian"/>	<input type="text" value="Beach"/>	<input type="text" value="brian.beach@vanderbilt."/>
<b>Submittor</b> <i>(if different than the PI)</i>	<input type="text" value="James"/>	<input type="text" value="Tang"/>	<input type="text" value="james.y.tang@vanderbilt"/>

**Requesting School:**

- ☐ Blair School of Music  
☒ College of Arts and Science  
☐ Divinity School  
☐ Graduate School  
☐ Law School  
☐ Owen Graduate School of Management  
☐ Peabody College  
☐ School of Engineering  
☐ School of Medicine  
☐ School of Nursing  
☐ Basic Sciences: POD 2  
☐ Basic Sciences: POD 3  
☐ Office of the Vice Provost  
☐ Other

**Data type involved:**

- ☐ FERPA  
☐ Human Subjects | PHI  
☐ Human Subjects | Limited data set  
☐ Human Subjects | Fully identified data set  
☐ Human Subjects | De-identified data set  
☐ Personally Identifiable Information (PII)  
☐ Proprietary or Confidential  
☐ Export Controlled  
☐ NIH database of Genotypes & Phenotypes (dbGaP)  
☐ Other

**Collaborating Organization Name:***(for incoming DUA: name of the data provider)**(for outgoing DUA: name of the data recipient)***Requesting Dept:****DUA details:**

- ☒ Incoming data (External data being shared with VU)  
☐ Outgoing data (VU data being shared with an external party)

**IT environment details:**

- ☒ New DUA environment setup  
☐ Changes to an existing environment  
☐ Unsure  
☐ Outgoing DUA, environment not needed

*change examples: new project in an existing environment, new/departing users, change in computers, new security needs*

**Brief description of the research:**

I will be exploiting variations in county level trade policy exposure to see how Trump's trade war impacted the opioid epidemic. Past research has documented a significant link between trade liberalization and opioid mortality, so my research seeks to see if trade restrictions lead to a reverse effect.

**Any IT system that stores or processes data may need security measures implemented on it to ensure data protection throughout the workflow. For example, where the data is stored, where it is computed, and the computer used to access these locations.**

**Please respond below to help determine where security needs to be implemented.**

**Providing complete and detailed responses will minimize follow-ups and delays.**

#### Data transfer

##### How will data be transferred to or from VU?

- ☐ Data will not be received at VU and will stay on sponsor IT resources
- ☐ Hard Copy (paper)
- ☐ Web Portal Download
- ☐ CD/DVD/USB
- ☐ Electronic Transfer (SFTP)
- ☐ Other
- ☒ Unsure

##### Provide more detail about the transfer

NCHS emailed me these details about data transfer:

"The files are now placed on a FTP site. You must have FileZilla installed on your computer. The instructions are below:

How to connect and how to download FileZilla:

<https://filezilla-project.org/>

<https://itservices.usc.edu/sftp/filezilla/>

Please inform me once you have downloaded FileZilla. In general, it will take one month for us to gather the data and place your requested files in a folder on a FTP site. Once completed you will receive an email with instructions on how to access your data.

#### Data Storage and Computation

Select ALL options that apply

##### Where will data be stored?

- ☐ Data will stay on sponsor IT resources and not be at VU
- ☐ VU server (on campus)
- ☐ ACCRE
- ☐ Cloud server (e.g. AWS, OneDrive)
- ☐ External device (e.g. external hard drive, USB)
- ☐ User computer (use of a personal computer is highly discouraged)
- ☒ Virtual Machine
- ☐ Other
- ☐ I would like assistance in determining a storage solution

##### Where will computational analysis be performed?

- ☐ Data will stay on sponsor IT resources and not be at VU
- ☐ VU server (on campus)
- ☐ ACCRE
- ☐ Cloud server (e.g. AWS, OneDrive)
- ☐ External device (e.g. external hard drive, USB)
- ☐ User computer (use of a personal computer is highly discouraged)
- ☒ Virtual Machine
- ☐ Other
- ☐ I would like assistance in determining a storage solution

When connecting to on-campus servers or systems from an off-campus location, use the Pulse VPN. This provides a secure, tunneled connection to the VU network.

To connect to the VPN you must login using Duo multi-factor authentication. Enroll in Duo here:

[https://it.vanderbilt.edu/services/catalog/security/identity\\_and\\_access\\_management/Multi\\_Factor\\_Authentication.php](https://it.vanderbilt.edu/services/catalog/security/identity_and_access_management/Multi_Factor_Authentication.php)

**Authorized data users**

Provide a list of ALL users that will access the data:

*If more space is needed, copy this table to an excel file and attach separately with the submission.*

	First Name	Last Name	VUnetID	VU email
1	<input type="text" value="James"/>	<input type="text" value="Tang"/>	<input type="text" value="tangjy"/>	<input type="text" value="james.y.tang@vanderbilt.edu"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Data access details**

Provide details about the computers used to access data. If there is more than 1 computer per user, please list ALL.

*If more space is needed, copy this table to an excel file and attach separately with your submission.*

	User	Computer hostname*	Computer Ownership (funding source)	IT support & management (who is responsible for maintenance and upkeep?)
1	Tang	<input type="text" value="james macbool"/>	<input type="text" value="purchased using personal funding"/> ▼	<input type="text" value="VUIT"/> ▼
2	_____	<input type="text"/>	<input type="text"/> ▼	<input type="text"/> ▼
3	_____	<input type="text"/>	<input type="text"/> ▼	<input type="text"/> ▼
4	_____	<input type="text"/>	<input type="text"/> ▼	<input type="text"/> ▼
5	_____	<input type="text"/>	<input type="text"/> ▼	<input type="text"/> ▼

\* Computer hostname:

*For PC, click the Windows icon - type "device name" - view "device name"*

*For Mac, Apple menu - System Preferences - Sharing - view "computer name"*

**Provide the name of your workstation IT administrator(s)**

If known, providing their name can help speed conversations and security implementation.

Admin Name

Admin email



*(someone you may normally work with when you need help with your computer/server/etc.)*

**Any other relevant details that might be helpful for this DUA?**


If you have any attachments that may be helpful, please upload here.

*(Attachments are not required)*

Submit

Save & Return Later