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| *For ORSP Use Only* |
| *Date received in ORSP:* | *Received by:* |

**MTA Screening Form**

*Instructions:* Material Transfer Agreements (MTAs) must follow the university’s [contract review and approval process](https://www.uwlax.edu/grants/assistance-with-contracts/). Prior to review by the Contract Administrator, the UWL faculty/staff member initiating the MTA must complete this form, route it for signatures, and submit it to ORSP for review. **A copy of the MTA and all accompanying materials must be included with this form.** Allow sufficient time for routing, review, and approval. Please note that all protocols and other compliance requirements must be finalized before an MTA can be approved.

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| **UWL will:** (Check one.) |
| [ ]  Provide material to an outside institution. |
| [ ]  Receive material from an outside institution. |

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| **Section I: Contact Information** |
| ***UWL Personnel*** |
| PI/PD:       | Department:  |       |
| Co-PI/PD:       | Department:  |       |
| Co-PI/PD:       | Department:  |       |
| Co-PI/PD:       | Department:  |       |
| ***Outside Institution*** |
| *Recipient or Provider of Material* |
| Name: |       | Institution: |       |
| Address Line 1: |       | Address Line 2: |       |
| City: |       | State/Province: |       |
| ZIP/Postal Code: |       | Country: |       |
| Phone: |       | Email: |       |
| *Administrative Contact* |
| Name: |       | Institution: |       |
| Address Line 1: |       | Address Line 2: |       |
| City: |       | State/Province: |       |
| ZIP/Postal Code: |       | Country: |       |
| Phone: |       | Email: |       |

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| **Section II: Material Overview** |
| *Please answer all of the following questions.* |
| 1. Briefly describe the material and its intended use.  |
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| 2.a. Are there any restrictions on the use or transfer/transport of the material?[ ]  Yes (complete 2b)[ ]  No (proceed to 3) | b. Describe the restrictions: |       |
| 3.a. Is any portion of the project involving the material sponsored by an extramural grant(s) or contract(s)?[ ]  Yes (complete 3b & c)[ ]  No (proceed to 4) | b. Primary Sponsor Type:  | Choose an item. |
| c. Specify primary sponsor(s):  |       |
| 4.a. Is there a requested date for the transfer of the material[[1]](#footnote-1)?[ ]  Yes (complete 4b)[ ]  No (proceed to Section III) | b. Requested transfer date: | Click or tap to enter a date. |

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| **Section III: Compliance** |
| *Please answer all of the following questions. Complete and supply information for all that apply to the material. For compliance reviewed/approved by outside institutions, attach a copy of the approval letter(s) to this form.* |
| 1.a. Does the material originate from or involve the use of human subjects?[ ]  Yes (complete 1b & c)[ ]  No (proceed to 2) | b. IRB date of approval: | Click or tap to enter a date. |
| c. Protocol ID #: |       |
| 2.a. Does the material originate from or involve the use of vertebrate animals? [ ]  Yes (complete 2b & c)[ ]  No (proceed to 3) | b. IACUC date of approval:  | Click or tap to enter a date. |
| c. Protocol ID #:  |       |
| 3.a. Does the material constitute recombinant DNA and/or biohazardous materials? [ ]  Yes (complete 3b, c, & d)[ ]  No (proceed to 4) | b. IBC date of approval: | Click or tap to enter a date. |
| c. Protocol ID #: |       |
| d. Is the material one of the 15 agents/toxins identified in [federal DURC regulations](http://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf)? | [ ]  Yes[ ]  No |
| 4.a. Does the material constitute radioactive or radiation producing materials, and/or is it subject to other [Chemical & Physical Safety requirements](https://www.uwlax.edu/grants/chemical--physical-safety/)?[ ]  Yes (complete 4b & c)[ ]  No (proceed to 5) | c. Chemical/Physical Safety date of approval: | Click or tap to enter a date. |
| d. Protocol ID #: |       |
| 5.a. Does the material involve intellectual property/technology transfer (actual or potential)?[ ]  Yes (complete 5b & c)[ ]  No (proceed to 6) | b. Does it involve material/information/data that is confidential or proprietary to UWL or another party? | [ ]  Yes[ ]  No |
| c. Is there an associated non-disclosure agreement or similar contract? | [ ]  Yes[ ]  No |
| 6.a. Is the material associated with subaward(s) made to or received from another institution?[ ]  Yes (complete 6b)[ ]  No (proceed to Section IV) | b. Specify the lead institution issuing the subaward: |       |

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| **Section IV: Export Controls** |
| *Check all that apply to any portion of the material and/or related activities. If any items below are affirmative, further screening, licensing, and/or project modifications may be required prior to MTA approval.* |
| A. The material and/or related activities are associated with:[ ]  International travel[ ]  International collaborator(s)[ ]  International sponsor(s)[ ]  Transfer, shipment, and/or storage of items, data/information, and/or electronic communication across international borders*If any of the boxes above are checked, complete B. Otherwise, proceed to Section V.* |
| B.1. Specify disciplinary area(s) associated with the material: |       |
| B.2. The material constitutes and/or is associated with: (Check all that apply.)[ ]  [Dual use](https://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=15:2.1.3.4.20#se15.2.730_13) (i.e., has both civil and military applications) components, items, and/or data/information[ ]  Chemical and/or biological materials/agents[ ]  Publication restrictions or prior review requirements[ ]  Corporate partners |

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| **Section V: PI/PD Signature** |
| In signing, I certify that, to the best of my knowledge, (1) that the above and attached information is true, complete, and accurate; and (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties. |
|       |  | Click or tap to enter a date. |
| *Printed Name* | *Signature* | *Date* |

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| **Section VI: For ORSP Completion** |
| A. Congruency Check(s)1. IRBRequired? [ ]  Yes [ ]  NoCompleted? [ ]  Yes [ ]  No | 2. IACUCRequired? [ ]  Yes [ ]  NoCompleted? [ ]  Yes [ ]  No |
| B. Subaward(s) Risk Assessment & Monitoring *(federal sponsored projects only as applicable)*Required? [ ]  Yes [ ]  NoAssessment completed? [ ]  Yes [ ]  NoMonitoring in compliance? [ ]  Yes [ ]  No |
| C. Intellectual Property/Technology Transfer *(required for all sponsored projects)*Required? [ ]  Yes [ ]  NoIP form completed? [ ]  Yes [ ]  No |
| D. MTA Compliance Terms1. For material sent from UWL to an outside institution: MTA contains terms that the recipient will be responsible for oversight of and adherence to all mandated compliance regulations to which the recipient is subject regarding the transferred material?[ ]  Yes [ ]  No[ ]  Not applicable |
| 2. MTA addresses who retains ownership of materials?[ ]  Yes [ ]  No |
| 3. MTA addresses whether material can be redistributed to a third party?[ ]  Yes [ ]  No |

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| **Section VII: ORSP Representative Signature & Recommendation** |
| I have reviewed the reported information and recommend the following action:[ ]  Material meets compliance requirements, and MTA review by Business Services can proceed.[ ]  Further review by Business Services is needed to ensure export control compliance.[ ]  Renegotiation is required to address the following compliance concern(s):       |
|       |  | Click or tap to enter a date. |
| *Printed Name* | *Signature* | *Date* |

1. Transfer by the requested date is not guaranteed. Please allow sufficient time for completion of institutional review and approval, as well as completion of applicable compliance requirements. [↑](#footnote-ref-1)