**MTA Compliance 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. All protocols and 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 Principal Investigator*** | | | | |
| PI Name: |  | | Department: |  |
| Email: |  | | Phone: |  |
| ***Outside Institution*** | | | | |
| *Scientific/Technical Contact* | | | | |
| 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 extramural funding (e.g., grant, contract)?  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: Research 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 human subjects, or will it be used for research involving human subjects?  Yes (complete 1b & c)  No (proceed to 2) | b. IRB of record: |  |
| c. IRB date of approval: | Click or tap to enter a date. |
| d. Protocol ID #: |  |
| 2.a. Will the material be used for research involving vertebrate animals at UWL?  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. Is the material recombinant and/or a biological material that entails a potential risk to humans, animals, or the environment?  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. Material may meet criteria for (check all that apply): | Category 1 Research  Category 2 Research  Dual Use Research of Concern (DURC)  Select Agents or Toxins  Pathogen with Enhanced Pandemic Potential (PEPP)  None of the above |
| 4.a. The material (check all that apply):  Constitutes radioactive or radiation producing material(s) (complete 4b) | b. Material has EHS review and approval:  Yes  No | |
| Constitutes human-derived material(s) (complete 4c) | c. PI has completed required Bloodborne Pathogens training with EHS:  Yes  No | |
| Constitutes a biohazardous chemical (complete 4d) | d. Material is covered by an existing Chemical Hygiene Plan:  Yes  No | |
| Is a carcinogen, reproductive toxin, hazardous chemical with high degree of acute toxicity, explosive, self-water reactive, or pyrophoric chemical (complete 4e) | e. Material is covered by a Particularly Hazardous Substance Prior Approval Form:  Yes  No | |
| None of the above (proceed to 5) |  | |
| 5.a. Is the material associated with intellectual property and/or technology transfer (actual or potential)?  Yes (complete 5b & c)  No (proceed to 6) | b. Is the material/information/data 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. 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. Further screening, licensing, permits, 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, sharing, exchange, transport, and/or storage of items, data/information, and/or electronic communication across international borders  None of the above  *If any of the boxes above are checked, complete B below and fill out an* [*Export Controls Screening Survey*](https://uwlax.ca1.qualtrics.com/jfe/form/SV_77jstuNJ9s3mhhQ)*. 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  Publication restrictions or prior review requirements  Restrictions on who may access or work with the material or related project data (e.g., only US citizens and US organizations)  Partner(s)/collaborator(s) from a for-profit organization(s)/company(ies)  None of the above | |

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

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| **Section VI: ORSP Review** |
| A. Compliance ID(s):  Not applicable |
| B. Current, required protocols on file in ORSP:  IRB  IACUC  IRB  Not applicable |
| C. Congruency check(s) completed: *(required for some federal sponsored projects)*  IRB  IACUC  Not applicable |
| D. Subaward(s) Risk Assessment & Monitoring *(required for federal sponsored projects with outgoing subawards)*  Assessment completed  Monitoring in compliance  Not applicable |
| E. Intellectual Property/Technology Transfer *(required for all sponsored projects)*  Current IP agreement on file Not applicable |
| F. MTA Compliance Terms  1. *For material sent from UWL to an outside institution:* MTA contains term(s) 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.  Export control compliance review by Business Services is needed.  Renegotiation is required to address the following 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)