A Data Use Agreement (DUA) is a written contract used to govern the transfer of research data between organizations. This job aid walks through how to fill out the DUA-specific questions in order to complete a request for a DUA. For information about initiating and submitting a Non-Funded Negotiation in InfoEd see How To Initiate a Non-Funded Negotiation.

From the Submission Mechanism dropdown, select DUA.

Click Save and Continue.

First complete the Demographic information. Required fields are indicated with a red asterisk.

For Request Creator, click the pen icon to access the Personnel menu.

Click on the letters to search personnel by last name then click Select.

Fill out the Contact Information for Other Party fields.
How to Request a DUA

Inbound Transfers

Complete the questions related to the data you will be receiving:

- Describe the data set you will be receiving (e.g., EEG data from patients with Alzheimer's, Cook County traffic pattern data, etc.):

- How will you be receiving the data?
  - Hard Drive
  - Remote Server Access
  - Secure File Transfer
  - Other

- Will you be receiving any information that may be subject to airport controls?
  - Yes
  - No
  - Don't Know

- Will the receipt of inbound data require particular security capabilities or infrastructure beyond that of data typically housed or received at Northwestern?
  - Yes
  - No
  - Uncertain
**Specification of funding is required for any costs covered by another source.**

If applicable, provide any non-Northwestern third parties who will be sharing the data and why.

Unless departmental funds are the **ONLY funding source** for the data, you will need to describe the funding sources for data. Funding for data refers to costs associated with accessing the data (e.g., paying an access fee to a data repository) or in getting the data to Northwestern (e.g., shipping a drive).

**Funding for research** is different than funding for data. Funding for research refers to how you are paying for the work being performed on the data received/after the data is received. While it is likely that the funding sources for accessing data and the research using the data are the same, the sources may be different.

If applicable, click the **yellow plus icon** to populate Name fields and checkboxes to indicate Student or Foreign National as individuals who may be disclosing/receiving confidential information.

“Data related to people” includes survey and deidentified data; if yes, then complete additional questions (Page 5).

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OUTBOUND TRANSFERS

Describe the data set you will be sending to the other party (e.g., EEG data from patients with Alzheimer’s, Cook County traffic pattern data, etc.):

Please provide a description of recipient’s research involving use of the data:

How will you be providing the data?
- Hard Drive
- Remote Server Access
- Secure File Transfer
- Other

Is any of the information you are providing subject to export controls?
- Yes
- No
- Don’t Know

Will you be providing any confidential information other than the data itself?
- Yes
- No

Was this data generated as a result of research sponsored by the federal government, foundation, or company?
- Yes
- No

Please identify the funding source, project title, and SP# (if known):

Is there a collaborator or organization outside of Northwestern who contributed to the generation of the data who may need to approve the DUA?
- Yes
- No

How did the collaborator contribute to the generation of the data?

Collaborator Institute or Company Name:
Collaborator/Researcher Name:
Collaborator Email:

Was there a DUA in place to govern the original transfer of data?
- Yes
- No

What year was the DUA executed?

DUA from original data transfer:

Do you want the Recipient to provide you with a copy of publication(s) describing their use of data?
- Yes
- No

Do you want the Recipient to notify you of any inventions from their use of the data?
- Yes
- No

Have you already published information related to the data?
- Yes
- No

Is this data related to any Invention Disclosure that you submitted or plan to submit to INVO?
- Yes
- No

Name of Invention Manager:
Inventor, if not the PI:

Is the data related to people (e.g., clinical trials, consumer data, survey responses, and other research involving human subjects)?
- Yes
- No

Please provide the IRB# under which the data were generated or collected:

Be as specific as possible in your descriptions.

If Other is selected, you will be prompted to describe the method of transfer.

If applicable, identify the funding source and provide the project title and SP# (if known).

Information about a collaborator/outside party is required if the DUA may need to be approved by said party.

Additional information is required if the data is related to an invention disclosure.

“Data related to people” includes survey and deidentified data; if yes, then complete the additional IRB-related questions (Page 5).
Select the nature of the data set.

If the IRB status is **Approved**, **Exempt**, or **Determined no human subject** research, an option to upload IRB appears.

To provide the IRB, click the **yellow arrow icon** to open a dialogue box. Then, select the document from your computer.

If the IRB Status is **In Process**, you will be asked to provide the IRB STU Number.

OTHER INFORMATION AND UPLOADS

Click on the **yellow arrow** to upload a draft MTA.

**For Inbound DUAs**: Review CANNOT begin until a draft DUA has been received. If the outside party wants to use the Northwestern template, indicate so in the **Additional Info** box.

To provide additional documentation, click the **yellow plus icon** to open a dialogue box and select which document(s) to upload. Label each upload descriptively.

Once the DUA is complete, check the **Complete checkbox** and click **Save** at the top of the screen.

**Note**: If you need to make edits, you can un-check the Completed check box on any page.