WHAT IS IT?

A Data Use Agreement (DUA) is a written contract used to govern the transfer of research data between organizations. A DUA documents the data being transferred and terms and conditions with respect to issues such as ownership, permitted uses of the data, publication of results, development of inventions, disposal of the data and liability. This job aid explains how to complete a request for a DUA in InfoEd.

1. Login to InfoEd
   • Go to infoed.northwestern.edu
   • Login with your NetID and password

2. Create a Proposal
   • Within the InfoEd portal, create a proposal record by clicking Sponsored Projects and then clicking Proposal from the Create New menu
   (Note: If you do not see the option to create a proposal, you may need to submit a security form)

3. Complete the New Proposal Questionnaire
   • Step 0: Set the PI on the record as the faculty member initiating the request
   • Step 1: Choose create a New Proposal. Click Continue
   • Step 1: Continued: Select Setup Proposal Manually. Click Continue
   • Step 2: Select Proposal type as Non-Funded Negotiations. Click Continue
   • Step 3: Set the sponsor as the organization with which Northwestern will negotiate the agreement. Click Continue
   (Note: If the organization does not appear in the drop-down list, set the sponsor to ZZZ and submit a request to add the organization via the OSR website https://osr.northwestern.edu/content/sponsorsubform)
   • Answer the remaining questions (e.g. title, date, and number of periods) and click Create Proposal to create the record
   [For Project Title: Enter project title or short description
   For Project Start/End Dates: Enter the anticipated period of time that the DUA will be needed/in effect
   For Number of Budget Periods: Enter “1” period for all Non-funded negotiations]

Learn more: osrnorthwestern.edu/agreements/dua
4. Complete the Setup Questions

- On the Setup Questions, select the DUA option for the type of agreement from the drop-down. (Note: A warning about changing the template may appear, click OK)
- Click Save and then the Complete check box in the upper right corner

5. Complete the DUA specific questions

- Click on the tab with the name of the agreement type in the left hand navigation column
- If the agreement is related to a sponsored project, link the agreement to the existing project by choosing the project number
- To add yourself as the creator of the request, click on the icon to bring up a searchable directory. Search for yourself and choose the Select button

- Enter the contact information (i.e name and email) for the Other Party
- Enter a brief description of the research being performed including the
  1) Study title
  2) Protocol name
  3) Drug name

Learn more:
osr.northwestern.edu/agreements/dua
There are three options for the transfer of information:
1) Inbound (data coming into Northwestern)
2) Outbound (sending data out of Northwestern)
3) Two-way transfer (data exchanged both ways)  
(Note: “Two-way transfer” includes questions for both incoming and outgoing)

The remainder of this job aid walks through all of these questions.  
(Note: If you only need a uni-directional DUA (i.e. inbound or outbound), you will only have to answer the questions specific to that request)

Inbound Transfers

- Upon selecting Other regarding receiving the data, a request for additional information will appear
- Upon selecting Yes regarding receiving the data, a prompt to provide the confirmation will appear

Learn more:  
osr.northwestern.edu/agreements/dua
Upon selecting Yes regarding sharing the data with any outside (non-Northwestern) third parties, a prompt to provide to whom the data will be disclosed will appear.

Costs and Funding Sources

Funding for accessing data: If there are costs associated with accessing the data and the costs are covered by another source, you will be asked to specify the source(s).

Funding for research: For all requests, you will have to specify funding sources for the research using the data.

(Note: In both cases, if you select any funding source(s) except (or in addition to) Departmental Funds, then you will be asked to describe the funding sources.)

Learn more:
osr.northwestern.edu/agreements/dua
GETTING STARTED:
HOW TO REQUEST A DUA (DATA USE AGREEMENT)

• Upon selecting Yes to add any individual(s) in addition to PI, a request for additional information will appear. Click the plus sign (once or multiple times) to add as many lines needed to accommodate any/all additional individuals.

(Note: If the data is related to research involving human subjects, you will also be asked to describe the nature of the data set)

Inbound IRB Status

• Upon selecting Confidential, non-health personal data, Limited Data Set, or Protected Health Information, a request for additional information to describe the nature of the data set will appear.

Within the request for additional information there are four Inbound IRB Status options that appear:
1) Approved
2) Exempt
3) In Process
4) Determined not human subjects research

If Inbound IRB Status is Approved, Exempt, or Determined no human subjects research, an option to Upload IRB appears.

If the IRB Status is In Process a request to provide the IRB number appears.

(Note: Upon selecting Completely de-identified (i.e. includes NO personal identifiers) nature of the data set, no request for additional IRB information will appear)
GETTING STARTED: HOW TO REQUEST A DUA (DATA USE AGREEMENT)

Outbound Transfers

• Upon selecting **Other** to the question regarding how you will provide the data, a prompt to describe the method of transfer of the data will appear.

• Upon selecting **Yes** to the question regarding whether the data generated as a result of research sponsored by a funding agency, a prompt to identify the method of funding source, project title, and SP # (if known) will appear.

• Upon selecting **Yes** to the question regarding if a collaborator contributed to the generation of the data, a prompt for more information will appear (Note: If you indicate that there is a collaborator/outside organization who may need to approve the DUA, a series of additional questions about the collaborator will be asked).

Learn more: [osrnorthwestern.edu/agreements/dua](osrnorthwestern.edu/agreements/dua)
GETTING STARTED: HOW TO REQUEST A DUA (DATA USE AGREEMENT)

Upon selecting No to the question regarding whether material has been published related to the Material, additional prompts will appear.

Upon selecting Yes to the question regarding intent to publish, additional prompts will appear.

Upon selecting Yes to the question regarding whether the data is related to an Invention Disclosure, a prompt for more information will appear.

(Note: If you indicate that there is a collaborator/outside organization who may need to approve the DUA, a series of additional questions about the collaborator will be asked)

Outbound IRB Status

Within the request for additional information there are four Outbound IRB Status options that appear:
1) Approved
2) Exempt
3) In Process
4) Determined not human subjects research

If the Outbound IRB Status is Approved, Exempt, or Determined not human subjects research, an option to Upload IRB appears.

If the Outbound IRB Status is In Process a request to Provide the IRB Number appears.

(Note: Upon selecting Completely de-identified (i.e. includes NO personal identifiers) nature of the data set, no request for additional IRB information will appear)

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GETTING STARTED:
HOW TO REQUEST A DUA (DATA USE AGREEMENT)

The Other Information section appears for requests for Inbound, Outbound, and Bi-Directional requests.

If you need to upload additional information:
1) Click the plus sign to add a document upload line
2) Provide a descriptive label of the document (e.g. Emails with business contact)
3) Click the upload icon to bring up a dialogue box so you can select and upload a document

6. Save
• Click Save at any time to save your work and return to it later

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