A Material Transfer Agreement (MTA) is executed when proprietary materials are transferred in or out of Northwestern. An MTA documents the material being transferred and terms and conditions with respect to issues such as ownership, permitted uses of the material, publication of results, development of inventions, and liability. This job aid explains how to complete a request for an MTA in InfoEd.

**TIP SHEET**

1. Create a Proposal
   - Upon logging into the InfoEd portal, RAs should create a change request 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)

Learn more: [osr.northwestern.edu/agreements/mta](osr.northwestern.edu/agreements/mta)
GETTING STARTED: HOW TO REQUEST A MTA (MATERIAL TRANSFER AGREEMENT)

2. 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/sponsor/subform)

- 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 of the proposed protocol study. If name/title is not available, enter as completely as possible, the subject matter of the discussions. Please do not insert terms like “TBD” or “MTA with (Sponsor Name)”
  - For Project Start/End Dates: Enter the anticipated period of time that the MTA will be needed/in effect
  - For Number of Budget Periods: Enter “1” period for all Non-funded negotiations)

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3. Complete the Setup Questions

• On the Setup Questions, select the MTA 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

Learn more:
osr.northwestern.edu/agreements/mta
4. Complete the MTA specific questions

- Click on the Material Transfer Agreement 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.

Learn more: osr.northwestern.edu/agreements/mta
• 1) Complete Contact Information for Other Party
  2) Choose the direction of the transfer (Inbound, Outbound, or Two-way Transfer)

<table>
<thead>
<tr>
<th>Contact Information for Other Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: Terry Smith</td>
</tr>
<tr>
<td>Email: <a href="mailto:tsmith@company.com">tsmith@company.com</a></td>
</tr>
</tbody>
</table>

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<tr>
<td>What is the direction of this transfer?</td>
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</tbody>
</table>

There are **three options** for party involvement regarding the **transfer for materials**:
1) **Inbound** (Material coming into Northwestern)
2) **Outbound** (Sending Material out of Northwestern)
3) **Two-way Transfer** (Material exchanged both ways)

*(Note: *Two-way Transfer* includes questions for both inbound and outbound)*

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

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Learn more: [osr.northwestern.edu/agreements/mta](osr.northwestern.edu/agreements/mta)
Inbound Transfers

1. Specify Material being received (e.g., strain name, type of tissue, etc.):

2. Brief description of the research. Specify what Northwestern is doing with the incoming material:

- If Yes, the material is of human origin, then you will need to describe the nature of the material. If the material is associated with patient identifiers, then you will be prompted to provide IRB info.

- Is the material of human origin? [Yes] [No]

- Describe the nature of the Material:
  - Completely de-identified (i.e., includes NO personal identifiers)
  - Includes or is associated with specific patient identifiers

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* Describe the nature of the Material: Includes or is associated with specific patient identifiers

* Inbound IRB Status: Approved
   - Exempt
   - Determined not human subjects research

* Upload IRB

* Provide IRB Number:

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

Depending on the IRB status you must either upload the IRB approval letter (for Approved, Exempt, and Determined not human subjects research protocols) OR provide the IRB number (for protocols with reviews in process).

Learn more:
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• Upon selecting Yes regarding whether the material will be modified in any manner, a prompt to describe the modifications will appear

  Will you be creating any modified versions of the Material (Modifications include spliced or mutated gene sequences, transformed cells, cross-bred mice)?

  Please describe modifications:

• If the material is being provided by a for-profit company, indicate whether Northwestern or the company initiated the transfer

  If Material is being provided by a for-profit company, who initiated the transfer?

  Northwestern
  Company
  N/A

• If the material is provided by a for-profit company, then you will also have to indicate who (Northwestern or company) will write the protocol

  Who wrote/will write the protocol for the intended experiments?

  Northwestern
  Company

• Is the Material commercially available for purchase?  □ Yes  □ No

Learn more:
osr.northwestern.edu/agreements/mta
Funding Sources

Funding for research: For all requests, you will have to specify funding sources for the research using the data. If you select any funding source(s) except (or in addition to) Departmental Funds, then you will also be asked to describe the funding sources.

Specify Funding Sources for research using the Material:
- Departmental Funds
- Industry
- Federal Grant(s)
- Non-Federal Grant(s)
- Gift Fund(s)
- Other

Describe funding sources (SF#(s), giver(s), other):

Will the Material be used in conjunction with other proprietary materials from any third parties?
- Yes
- No

Describe the third party proprietary materials and which party(ies) provided them:

Is there an agreement with the third party?
- Yes
- No

Upload agreement if available:
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- **Proprietary Material**
  If the answer to this question is **Yes**, you will be prompted to describe the material and provide the INVO manager and (if applicable) the inventor of the material.
  *(Note: Use the icons to bring up a searchable directory from which to select names)*

- Do you intend to share this incoming material with any other person or entity outside of Northwestern? **Yes** | **No**
  - Please describe with whom you will share material and how/why material will be shared:

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* Will you be receiving any confidential (non-published) information?  □ Yes □ No
* Does this transfer involve the import of materials from someone in another country?  □ Yes □ No
* Please confirm by checking this box that the Material will be shipped in compliance with all applicable rules and regulations, including the U.S. export control regulations.  □

Outbound Transfers

* Specify Material being transferred (e.g. strain name, type of tissue, etc.):

* Brief description of the research. Specify what the recipient is doing with the Material Northwestern is sending:

• If Yes, the material is of human origin, then you will need to provide the IRB # and describe the nature of the material.

* Is the Material of human origin?  □ Yes □ No

* Please provide the IRB# under which the materials were collected:

* Describe the nature of the Material:
  - Completely de-identified (i.e. includes NO personal identifiers)
  - Includes or is associated with specific patient identifiers

Learn more:
ặp.northwestern.edu/agreements/mta
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Upon selecting Yes to the question regarding intent to publish, additional prompts will appear:

- **Describe the nature of the Material:** Includes or is associated with specific patient identifiers
- **IRB status for the transfer of the materials:**
  - Approved
  - Exempt
  - In Process
  - Determined not human subjects research

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

Depending on the IRB status you must either upload the IRB approval letter (for Approved, Exempt, and Determined not human subjects research protocols) or provide the IRB number (for protocols with reviews in process).

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• Upon selecting Yes to the question regarding whether you will collaborate with an Institute or Company, a prompt to describe the collaboration and contact information will appear.

(Note: Initial questions about collaborators, using materials created under MTA, funding, and publication bring up a number of conditional fields/questions, so not every request will require this entire list of questions)

- Is there a collaborator/organization outside of Northwestern that contributed to the generation of the Material? Yes ☐ No ☑
- Collaborator Institute or Company Name:
- Collaborator Name:
- Collaborator Email:
- Describe the nature of the collaboration/contribution:

• Upon selecting Yes to the question regarding whether you will use other material received in an MTA from another university or company, a prompt to identify this material and source will appear.

- Was the Material created using other material you received under a MTA from another university or company? Yes ☑ No ☐
- Please identify the other material and its source:

Upload the other MTA document.

- Was the Material created as a result of research sponsored by the federal government, a foundation, or a company? Yes ☑ No ☐
- Please identify the funding source, title, and SP# (if known):

Learn more:
osr.northwestern.edu/agreements/mta
**TIP SHEET**

**GETTING STARTED:**

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<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you intend to publish this material in the future?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Do you want restrictions on the recipient’s ability to publish prior to Northwestern?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Do you intend for this to be a collaboration resulting in a joint publication?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Is this Material related to any Invention Disclosure that you submitted or plan to submit to INVO?</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

**Name of Invention Manager:**

Provide inventor if not the PI on the MTA:

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**Costs/Fees**

Fees for preparing the Material relates to the cost of preparing the material to be sent (e.g., packing materials or costs of maintaining cell line). Fees for shipping/handling are the shipping charges themselves.

- Do you want the Recipient to provide you with a copy of publication(s) describing their use of the Material? | Yes | No |
- Do you want the Recipient to notify you of any inventions resulting from their use of the Material? | Yes | No |
- Will you be providing any confidential (non-published) information? | Yes | No |
- Does this transfer involve the export of materials to someone in another country? | Yes | No |
- Please confirm by checking this box that the Material will be shipped in compliance with all applicable rules and regulations, including the U.S. export control regulations. |   |

**The Other Information and Uploads** section appears for Inbound, Outbound, and Two-Way Requests.

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Learn more:

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- Additional Documents:
  Correspondence with the outside organization is useful for the contracting team to have. If you have emails with an organizational contact, include them here:

  To upload additional information document(s):
  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

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