

## eCLAWS Documentation by Agreement Type

| Agreement Type                                 | Key Identifiers  | Additional Attachments   | Notes to Include in "Explanation" Field   |
|--|--|--|---|
| Material Transfer Agreement (MTA)              | <ul style="list-style-type: none"> <li>Agreement to transfer physical chemical and/or biological materials between parties.</li> <li>Usually unfunded</li> </ul>   | <ul style="list-style-type: none"> <li>Relevant correspondence with PI / sponsor/ other party</li> <li>Relevant approvals (i.e. IBC, IRB, IACUC)</li> </ul>  | <ul style="list-style-type: none"> <li>Associated G #, if applicable</li> <li>Important dates (i.e. signature required by ____)</li> </ul>            |
| Data Use Agreement (DUA)                       | <ul style="list-style-type: none"> <li>Agreement to transfer sensitive data between parties.</li> <li>Often used for transfer of human subjects data containing Personally Identifiable Information (PII)</li> <li>Usually unfunded</li> </ul>   | <ul style="list-style-type: none"> <li>Relevant correspondence with PI / sponsor/ other party</li> <li>Relevant approvals (i.e. IRB), data security plans</li> </ul>   | <ul style="list-style-type: none"> <li>Associated G #, if applicable</li> <li>Important dates (i.e. signature required by ____)</li> </ul>            |
| Non-Disclosure Agreement (NDA): Mutual/One-Way | <ul style="list-style-type: none"> <li>Agreement outlining exchange of confidential information between parties.</li> <li>Usually unfunded</li> </ul>  | <ul style="list-style-type: none"> <li>Relevant correspondence with PI / sponsor/ other party</li> </ul>   | <ul style="list-style-type: none"> <li>Associated G # or ePAWS #, if applicable</li> <li>Important dates (i.e. signature required by ____)</li> </ul> |
| Funded Agreement - Contract                    | <ul style="list-style-type: none"> <li>Federal, State, or local government funding source</li> <li>Inclusion of FAR or DFAR clauses</li> <li>Described in preamble or cover page as "contract" or "subcontract"</li> <li>Government contract signature provided by "Contracting Officer"</li> <li>No associated CFDA number</li> <li>Can be funded or unfunded (i.e. a change of PI modification)</li> </ul> | <ul style="list-style-type: none"> <li>Relevant correspondence with PI / sponsor</li> <li>Any JIT or prior approval material not previously reviewed/submitted by NU-RES</li> <li>Updated budget as applicable (i.e. if funding received is different from the amount proposed) as well as PI confirmation of written statement of work if not previously considered during JIT stage.</li> <li>Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, sUAS, etc.)</li> </ul> | <ul style="list-style-type: none"> <li>Associated G #, if applicable</li> <li>Important dates (i.e. signature required by ____)</li> </ul>            |

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| <p>Funded Agreement – Contract – NCE</p> <p><i>*NCEs receive priority review which is why they have their own agreement type.</i></p> | <ul style="list-style-type: none"> <li>• Federal, State or local government funding source</li> <li>• Inclusion of FAR or DFAR clauses</li> <li>• Described in preamble or cover page as "contract" or "subcontract"</li> <li>• Government contract signature provided by "Contracting Officer"</li> <li>• No associated CFDA number</li> </ul> | <ul style="list-style-type: none"> <li>• Relevant correspondence with PI / sponsor</li> <li>• Completed Transaction Form</li> <li>• Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, sUAS, etc.)</li> </ul> | <ul style="list-style-type: none"> <li>• Associated G#</li> <li>• Important dates (i.e. signature required by _____)</li> </ul> |
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| Funded Agreement - Industry  | <ul style="list-style-type: none"> <li>• Private, for-profit funding source</li> <li>• Can be funded or unfunded (i.e. a change of PI modification)</li> </ul> | <ul style="list-style-type: none"> <li>• Relevant correspondence with PI / sponsor</li> <li>• Any JIT or prior approval material not previously reviewed/submitted by NU-RES</li> <li>• Updated budget as applicable (i.e. if funding received is different from the amount proposed) as well as PI confirmation of written statement of work if not previously considered during JIT stage.</li> <li>• Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, etc.)</li> </ul> | <ul style="list-style-type: none"> <li>• ePAWS #</li> <li>• Associated G #, if applicable</li> <li>• Important dates (i.e. signature required by ___)</li> </ul> |
| Funded Agreement – Industry – NCE<br><br><i>*NCEs receive priority review which is why they have their own agreement type.</i> | <ul style="list-style-type: none"> <li>• Private, for-profit funding source</li> </ul>   | <ul style="list-style-type: none"> <li>• Relevant correspondence with PI / sponsor</li> <li>• Completed Transaction Form</li> <li>• Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, sUAS, etc.)</li> </ul>   | <ul style="list-style-type: none"> <li>• Associated G#</li> <li>• Important dates (i.e. signature required by _____)</li> </ul>                                  |

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| <p>Funded Agreement - All Other</p>   | <ul style="list-style-type: none"> <li>• Federal, non-profit, or state/municipal funding source</li> <li>• CFDA number (only for federal grants and cooperative agreements)</li> <li>• Preamble or cover page refers to the agreement as a Grant, Subaward, Subgrant, or Cooperative Agreement, or Intergovernmental Personnel Act (IPA) Agreement.</li> <li>• Federal Government signature provided by "Grants &amp; Agreements Officer"</li> <li>• Can be funded or unfunded (i.e. a change of PI modification)</li> </ul> | <ul style="list-style-type: none"> <li>• Relevant correspondence with PI / sponsor</li> <li>• Any JIT or prior approval material not previously reviewed/submitted by NU-RES</li> <li>• Updated budget as applicable (i.e. if funding received is different from the amount proposed) as well as PI confirmation of written statement of work if not previously considered during JIT stage.</li> <li>• Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, sUAS, etc.)</li> </ul> | <ul style="list-style-type: none"> <li>• ePAWS #</li> <li>• Associated G #, if applicable</li> <li>• Important dates (i.e. signature required by ___)</li> </ul> |
| <p>Funded Agreement – All Others – NCE</p> <p><i>*NCEs receive priority review which is why they have their own agreement type.</i></p> | <ul style="list-style-type: none"> <li>• Federal or non-profit funding source</li> <li>• CFDA number (only for federal grants and cooperative agreements)</li> <li>• Preamble or cover page refers to the agreement as a Grant, Subaward, Subgrant, or Cooperative Agreement, or Intergovernmental Personnel Act (IPA) Agreement.</li> <li>• Federal Government signature provided by "Grants &amp; Agreements Officer"</li> </ul>   | <ul style="list-style-type: none"> <li>• Relevant correspondence with PI / sponsor</li> <li>• Completed Transaction Form</li> <li>• Updated compliance approvals as applicable (i.e. IRB, IACUC, IBC, sUAS, etc.)</li> </ul>   | <ul style="list-style-type: none"> <li>• Associated G#</li> <li>• Important dates (i.e. signature required by _____)</li> </ul>                                  |

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| Agreement Type                         | Key Identifiers   | Additional Attachments  | Notes to Include in "Explanation" Field   |
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| Outgoing Subaward - Department Request | <ul style="list-style-type: none"> <li>• Subaward issued by NU to another organization. NU is not the recipient</li> <li>• Can be funded or unfunded (i.e. no-cost extension or change in scope)</li> </ul>   | <ul style="list-style-type: none"> <li>• Relevant correspondence with the PI / subrecipient</li> <li>• Budget detail and statement of work, as applicable.</li> </ul> | <ul style="list-style-type: none"> <li>• Prior approval from funding agency, if applicable</li> </ul> |
| Other Agreement - Unfunded             | <ul style="list-style-type: none"> <li>• Only unfunded</li> <li>• The preamble or cover page refers to the agreement as a Memorandum of Understanding (MOU), Intellectual Property Agreement, or Teaming Agreement.</li> <li>• All other unfunded agreements that don't fit any of the above categories.</li> </ul> | <ul style="list-style-type: none"> <li>• Relevant correspondence with the PI</li> <li>• Relevant documentation from sponsor.</li> </ul>                               | <ul style="list-style-type: none"> <li>• Associated G and/or ePAWS #, as applicable</li> </ul>        |