

1. List of Agreement Types: Research Operations

#	AGREEMENT TYPE	PREFIX	PROCESSING TEAM(S) INVOLVED <i>**LEAD defined as managing, facilitating majority of workload, subject matter experts</i>	DEFINITION	SIGNATORY
	**Agreement types where Small Business Plans and Reporting may be required				
1	Business Associate Agreement	BAA	OIRC	Business Associate Agreement (BAA) is a business relationship between a Provider who may be deemed a "Covered" Entity for sending data and a "Business Associate" for receiving data as defined by HIPAA (Health Insurance Portability and Accountability Act of 1996). If not tied to a purchase, will be executed according to dept. signature authority. If tied to a purchase, will be executed by procurement.	KE
2	Charitable Grant Agreement	SPA	ASUF** OIRC PNT	Charitable gift/grants are voluntary donations to tax-exempt organizations to support activities for religious, charitable, scientific, literary, or educational purposes. If administered by ORSPA, then ASUF involves ORSPA during review & negotiation of award.	ASUF
3	Consortium Agreement	CON	OIRC** PNT	A consortium is two or more institutions working on the same project, either funded directly by the supporting agency or one prime institution subcontracting out the funds to the other members of the consortium.	KE
4	Data Use Agreement	DUA	PNT** ORIA RTD	A Data Use Agreement is a contractual document used for the transfer of data that has been developed by nonprofit government or private industry, where the data is nonpublic or is otherwise subject to some restrictions on its use.	KE

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5	End User License Agreement	ULA	OIRC** PNT Department RTD	An End User License Agreement is a legal contract between a software application author or publisher and the user of the application. The EULA, often referred to as the "software license," is similar to a rental agreement; if there is no financial obligation imposed, OIRC or department may sign for the privilege of using the software, and promises the software author or publisher to comply with all restrictions stated in the EULA. If there is a financial obligation imposed, procurement will complete as necessary.	OIRC
6	eProject		OIRC	Specific to FSE – Polytechnic campus. Awards from various agencies to support classroom activity and help materialize ideas on specific topics. Funds are awarded directly to the unit and expensed on classroom materials for students to execute solutions to a research 'problem.' Typically used to support capstone projects with student opportunity to apply knowledge in real-world setting.	Department
7	External Sales/Recharge Center	REC	OIRC**	An External Sales/Recharge Agreement vehicle supports both; (1) Recharge Centers which are	IT DEPENDS

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			KE Core Facilities	entities within the university that provide fee-based services to the ASU research community and (2) External Sales provides billable services/products to a Non-ASU party. For additional information see Research Administration Recharge Centers .	
8	Gift-In-Kind		ASUF** OIRC PNT	In-kind gifts are actually received by the University. Once the item(s) is received, department will establish the fair market value of the equipment so that ASUF can receipt and acknowledge the gift to ASU. Donor may require agreement for transfer of in-kind gift and these are managed by OIRC or PNT in coordination with ASUF. KE is signatory on these agreements when related to research project.	ASUF
9	IP Agreement	IP	OIRC PNT SI**	An IP Agreement is a contractual document that identifies the rights and obligations of the Parties with respect to intellectual property for a particular project.	IT DEPENDS
10	IP License Agreement – Outgoing		SI**	To license technology invented at the University to companies or individuals.	SI
11	IP Inter-institutional Agreement		SI**	Agreement between two entities after IP has been invented setting forth how it will be managed.	SI
12	Master Collaboration Agreement	MA	OGC** OIRC PNT	A contract in which the parties endeavor to set forth the terms governing a variety of activities such as procurement, facilities use, provision of services, academic/non-academic pursuits, research activities, IP, materials transfer, etc.	KE EXECUTIVE MGMT

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			SI Other internal ASU units, as applicable Agreement copies to be sent to corporate@asu.edu		
13	Master Research Agreement	MA	OIRC PNT** SI OGC Agreement copies to be sent to corporate@asu.edu	A contract in which the parties agree to most of the terms that will govern future research agreements. A master agreement permits the parties to quickly negotiate future transactions or agreements, because they can rely on the terms of the master agreement, so that the same terms need not be repetitively negotiated, and to negotiate only the deal-specific terms.	KE
14	**Modification/Amendment	MOD	OIRC PNT**	Modification or Amendment to an existing research agreement, when AMT unable to manage. This is due to changes beyond just end date and funding.	KE
15	Material Transfer Agreement	MTA	OIRC**	Material Transfer Agreements (MTAs) are contractual documents used for the acquisition of various biological and research materials, and occasionally data, developed by nonprofit, government and private industry. Often these materials are a necessary component of a research project and are available from a sole source.	KE

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16	NDA	NDA	OIRC** PNT	A non-disclosure agreement (NDA), also known as a confidentiality agreement (CA), confidential disclosure agreement (CDA), proprietary information agreement (PIA), or secrecy agreement, is a legal contract between two or more parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for certain purposes, but wish to restrict access to or by third parties.	KE
17	Other - MOU; LOI; (Non-Monetary)	OTH	OIRC PNT**	Sets forth the parties' intent to explore an opportunity to collaborate. Generally, does not bind parties.	IT DEPENDS
18	Pre-Contract Authorization	PCA	OIRC PNT**	Sponsor approved ASU to begin work or ASU has authorized Subrecipient to begin work prior to formal agreement being executed.	KE
19	Practice Lab Agreement	SPA	OIRC** Agreement copies to be sent to corporate@asu.edu	OIRC (in collaboration with OGC) developed Practice Lab agreement templates that are being used. Practice Labs are currently offered to corporate partners when University students and a faculty member or technical project manager work on a company-specific issue and are paid for their time by the company. For Practice Labs, the F&A rate is the University's industry rate.	KE
20	RFP/Proposal	RFP	OIRC PNT**	Request for Proposal Contract Task to review Terms & Conditions at the Proposal Stage	KE

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21	Services Agreement	REC	OIRC**	A Services Agreement is an agreement under which the University offers services to a third party.	KE
22	**Sponsored Project Award	SPA	OIRC PNT**	A project supported by an external funding source under a mutually binding agreement that restricts the use of funds to the approved project and stipulates other conditions with which the University must comply. Also includes Services Agreements.	KE
23	**Subaward	SUB	PNT**	A legal instrument to provide support for the performance of any portion of the substantive project or program for which the recipient received an award and that the recipient awards to an eligible subrecipient.	KE
24	**Subaward Modification Bilateral	SMB	PNT**	A modification to an existing subaward which requires signature of both parties	KE
25	**Subaward Modification Unilateral	SMU	PNT**	A modification to an existing subaward which requires the signature of ASU only	KE
26	Subaward At-Risk	SAR	PNT**	Authorization to Proceed letter is issued when the Subrecipient needs to begin work prior to ASU receiving an award. This may only be used in an at-risk instance. A Subaward Agreement will be issued once ASU receives the award.	KE
27	Teaming Agreement	TA	PNT** Agreement copies to be sent to corporate@asu.edu	An arrangement between 2 or more companies, an arrangement to cooperate in the performance of a specific project. The team itself may be designated to act as the prime contractor; or one of the team members may be designated to act as the prime	KE

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				contractor, and the other member(s) designated to act as subcontractors.	

2. List of Agreement Types: Procurement

1	Consortium or Cooperative Agreement		Procurement	Purchasing consortiums exist to pool the common procurement needs for related or similarly situated entities (such as higher ed), with the goal of leveraging the buying power of many. Procurement will identify qualified awards made by a consortium or cooperative group, to purchase goods and/or services for ASU.	Procurement
2	Contract Amendment		Procurement	Modification or Amendment to an existing procurement agreement.	Procurement
3	Master Agreement	MA	Procurement	A contract under which the parties agree to the legal terms that will govern future purchases. A master agreement permits the parties to quickly negotiate future purchase transactions because they need only to negotiate the specific statement of work and business terms.	Procurement
4	Memorandum of Understanding, Letter of Intent (Monetary payment to another party)	MOU, LOI	Procurement	Intent to define a relationship with no enforceable Terms & Conditions. Outlines payment expectations.	IT DEPENDS

5	Requests for Proposal	RFP	Procurement	RFPs are formal solicitations inviting suppliers to participate in a competitive procurement by submitting a proposal that meets the requirements ASU outlines in the RFP documents. A deadline for response is presented, a public opening is scheduled and the submittals are reviewed by an Evaluation Committee to determine the appropriate award.	Procurement
6	Services Agreement		Procurement	A Services Agreement is a procurement agreement when ASU is purchasing services from a supplier.	Procurement
7	End User License Agreement	EULA	Procurement	An End User License Agreement (EULA) is a legal contract between a software application author or publisher and the user of the application. The EULA, often referred to as the "software license," is similar to a rental agreement; the user agrees to pay for the privilege of using the software, and promises the software author or publisher to comply with all restrictions stated in the EULA.	Procurement
8	Business Associate Agreement	BAA	Procurement	Business Associate Agreement (BAA) is a business relationship between a Provider who may be deemed a "Covered" Entity for sending data and a "Business Associate" for receiving data as defined by HIPAA (Health Insurance Portability and Accountability Act of 1996.. If tied to a purchase, will be signed by procurement according to the dollar threshold.	Procurement