



Wharton
UNIVERSITY *of* PENNSYLVANIA

Guide to Data Use Agreements at Wharton

Wharton Finance & Administration

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Overview: Data Use Agreements at Wharton

To facilitate research, Wharton faculty may need to obtain data from outside sources.

When Wharton wishes to obtain and use data from any external institution, or conversely when an industry partner wishes to utilize data from Wharton, the parties often need to execute a **Data Use Agreement**.

The Data Use Agreement (DUA) outlines what the receiving party can and cannot do with the providing party's data.

I Need Data for a Project. Where Do I Start?

Is the data already available at Penn?

- The Lippincott Library provides unlimited access to datasets from 30+ data providers to Wharton faculty, staff, and students. [Check here.](#)
- *Example: Real Estate data is available to Penn researchers from [Dewey](#).*

Am I sending or receiving open source data?

- Open source data has [no restrictions on access, use, or sharing](#). To set up a contract, contact your BA to reach out to [Penn Procurement](#).
- *Ex: Penn researchers need a subscription to an open data provider like FactSet with no research terms or data security requirements.*

Am I sending or receiving data that must be protected or collaborating on a project?

- A Data Use Agreement or Collaboration Agreement that includes data sharing must be executed. Please submit your DUA request in the [RIS](#) portal.
- *Ex: Penn researchers needs protected, de-identified client data from J.P. Morgan to support research on spending behaviors.*

Most data requests require a DUA. If unsure if your request applies, reach out to [ORS](#).

Why Are Data Use Agreements Important?

Data Use Agreements protect all parties involved:

- DUAs protect the data provider and subjects by ensuring safe and secure use of sensitive information
- Through formalizing an agreement **ahead** of data transfer, DUAs protect Wharton by advancing responsible research and mitigating risk
- Finally, DUAs protect faculty receiving data by ensuring Wharton retains IP ownership and the right to publish research resulting from the obtained data

Setting up a Data Use Agreement

To facilitate the execution of a Data Use Agreement, faculty must work with their department's BA to submit a request in the **Research Inventory System (RIS)**.

Wharton faculty must always be listed as the PI in RIS. Pre and post-doc researchers should list their faculty advisors.

Data Use Agreements cannot be formalized by individual Wharton faculty, staff, or departments. DUAs must be executed by ORS or PCI.

How Do I Start the Data Use Agreement Request Process?

1. Contact your BA as soon as you identify the need for a Data Use Agreement.

2. Your BA will work with you to gather details around the request and data provider. IT questions should be directed to Research Computing before RIS submission.

3. In RIS, the BA or PI will initiate a Data Use Agreement request under **My MTA/NMA requests**.

4. The completed request will be assigned to a negotiator in ORS or PCI, who will execute the DUA with the data provider.

The screenshot shows the Penn University of Pennsylvania Research Inventory (RIS) system interface. The top navigation bar includes tabs for Requests, Penn personnel, Research, Outside party, and Certifications. Below the navigation bar are buttons for Save, Next, Next ignore errors, Exit, and Show errors. The main content area displays the Research Inventory logo and a list of links for My MTA/NMA requests, including Create/amend request, Manage drafts, Manage revisions, Requests history, All my stem cell lines, My cadaver/body part requests, My subaward requests, My fee for service requests, My authorizations, Business administrators, Departmental review, and Resources. The right sidebar contains instructions for MATERIALS, DATA, EQUIPMENT, SERVICES, INFORMATION, and COLLABORATIVE RESEARCH, each with a link to click here. A note at the bottom of the sidebar states: "Note: If your project with an outside party has more than one of the above activities, please use the buttons below to include the additional activity(ies) in your request before you move from this request tab to the Penn Personnel tab." Below the note are buttons for Add material, Add data, Add loan equipment, Add services, Add confidential information, and Add collaborative research. At the bottom of the sidebar are buttons for Save, Next, Next ignore errors, Exit, and Show errors. The document ID 94028/00 is displayed in the top right corner.

Document ID: 94028/00

MATERIALS: If you want to receive/send research material from/to an outside party, click [here](#).

DATA: If you want to receive/send data for research from/to an outside party, click [here](#).

EQUIPMENT: If you want to receive/send loaned equipment from/to an outside party, click [here](#).

SERVICES: If you want to receive services from an outside party, click [here](#).

INFORMATION: If you want to receive/send confidential information from/to an outside party, click [here](#).

COLLABORATIVE RESEARCH: If you want to engage in collaborative research with an outside party, click [here](#).

Note: If your project with an outside party has more than one of the above activities, please use the buttons below to include the additional activity(ies) in your request before you move from this request tab to the Penn Personnel tab.

Does this request support COVID-19 research? * ☐ Yes ☐ No

[Add material](#) [Add data](#) [Add loan equipment](#) [Add services](#)
[Add confidential information](#) [Add collaborative research](#)

What Happens After Data Is Acquired?

Wharton IT can assist faculty with project data management in the following areas:

1. Tracking the Data Use Agreement
2. Securely storing the data
3. Managing access to the data for the project
4. Liaising with the Information Security Office (ISO) as needed

Reach out to Research Computing Support (research-computing@wharton.upenn.edu) with any data management requests.

Questions? Please Reach Out!

Contact Natalie Gerich Brabson (ngb1@wharton.upenn.edu) with questions related to the Data Use Agreement submission process or policies.

To confirm whether your data requires an agreement or regarding technical issues when preparing an RIS submission, submit a ticket to ORS: [Support : UPenn Office of Research Services](#)

Contact Wharton Research Computing Support (research-computing@wharton.upenn.edu) to discuss potential data transfers and for IT support, including data analysis, data collection, and technical consulting.