Research Community Agreements Reference Guide

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Quick Links

Navigating the System

Process	Description	Intended Audience
Search for Records	How to use the "Filter by" functionality to search for a record	All
Access the Help Center	How to get to the help center for Agreements	All
Update my Profile	How to change the information in your profile	All

Create and Submit an Agreement

Process	Description	Intended Audience
Create an Agreement	How to create an agreement from the Agreements Dashboard	Research Administrator (RA)
Submit an Agreement	How to submit an agreement after it has been created	RA
Create and Submit and Agreement from Grants	How to create and submit an agreement directly from the award workspace. Use this when you want to establish a relationship between an existing award and an agreement.	RA
Create and Submit a Clinical Trial Agreement	Steps for how to create a Clinical Trial Agreement (CTA)	RA
Create and Submit a Confidential Disclosure Agreement	Steps for how to create a Confidential Disclosure Agreement (CDA)	RA
Complete and Submit an Outgoing Subaward Agreement	Steps for how to create and submit an Outgoing Subaward agreement	RA

General Activities

Process	Description	Intended Audience
Add an Ancillary Review and Check Review Status	Steps for how to add an ancillary review to an agreement and check the review status.	RA
Submit an Ancillary Review	Steps for how to submit an ancillary review that has been assigned to you.	Reviewer
Add an Agreement Collaborator	Steps for how to add a collaborator to an agreement for read/edit access	RA
Manage Relationships	How to relate agreements with other agreements or grants records such as funding proposals and awards.	RA

Assign a PI Proxy	How to assign a proxy to perform activities in an agreement on behalf of a PI.	PI
Contact the Owner	Steps for how to contact the assigned owner of an agreement.	PI, Primary Contact, Collaborators, OSP Staff
Terminate an Agreement	How to terminate an agreement that is no longer moving forward.	PI, Primary Contact, Collaborators, OSP Staff

Participating in the Review Process

Process	Description	Intended Audience
Respond to a Clarification Request	Steps for how to respond to a request from a reviewer asking for clarification.	PI, Primary Contact, Proxy
Review Correspondence	How to log in and view correspondence related to the agreement directly in the agreement workspace.	RA

Manage Amendments

Process	Description	Intended Audience
Create and Submit an Amendment	How to create and submit an amendment for an agreement.	RA

Generate Agreements Reports

Process	Description	Intended Audience
Find and Run Reports	How to find and run a report on an agreement.	RA
Personalize the Data Display	How to personalize the data displayed in a report.	RA

Introduction

Introduction to Agreements

Agreements enables researchers and administrators to create, review, submit, and track funding proposals, awards, and agreement negotiations that support their sponsored projects.

Agreements streamlines processes so they are more efficient, require less administrative burden, and allow for a smoother handoff between teams. Agreements ensures visibility and transparency of information by providing complete information about each item in one place, including its status, contact information, and links to related items. Within the system, there are modules for Grants and Agreements which are integrated to allow linking of records in each module, making it easy to navigate between related grants and agreement records.

Agreements is a comprehensive, flexible contract management solution that simplifies and streamlines the agreement submission, review, and negotiation process.

Easy to Use

The Agreements system is very easy to use. After first logging in, the user lands on their dashboard, which lists the items requiring attention and provides a direct link to those items. Funding proposals and agreements can also be created directly from the dashboard. Streamlined data entry forms with built-in error checking ensure data entry is complete and correct with all the information required to start the review process. When items enter review via workflow, the system automatically routes them to the next person or office for efficient and timely handling. Help is available throughout the system where it is most needed in the form of question-mark bubbles, including page-level and question-level help text, as well as a built-in Help Center in each module with guides and videos providing helpful resources.

Find Status and Key Information Quickly

In the system, you can find the status of items going through the review and approval process quickly. Each item's state is clearly visible in multiple places, including on the system dashboard. When viewing an item's detail or working on a submission, the current state is prominently displayed on the top-left of workspace screen along with a graphical representation of where the item is in the overall workflow. From the workspace, you can swiftly identify contacts, reviewers, and all related information for that item in one place.

Manage and Track Work Efficiently

From an item's workspace, the Research Administrator (RA) can conveniently reassign team members to better balance and manage workloads, as well as add other reviewers to the process, such as compliance reviewers or cost share approvers using the ancillary review feature. Additionally, OSP or the RA can create relationships between funding proposals or awards and any agreements associated with them, as well as associate agreements with other agreements, and easily navigate back and forth between them directly from the workspace. The RA can record key information, notes, email correspondence, follow-up tasks, and award deliverables for a complete history of activities performed. The RA, PI, and any reviewers will receive email notifications at key points in the workflow to inform the appropriate person of next steps.

Agreements Workflow

The lifecycle of a project consists of several different workflows that occur in parallel to ensure proposals are submitted on time, awards are set up, managed, and tracked efficiently, and agreements are negotiated and executed as quickly as possible.

Funding Proposals

The lifecycle generally starts with an RA creating a funding proposal in Grants, including the budgets and SF424 if applicable. Once the funding proposal is complete, the RA submits the funding proposal into the workflow to begin the Grants review process. The appropriate department approvers review and approve the proposal first, followed by OSP. When reviews are completed and the proposal is approved, the proposal is submitted to the sponsor either by the department or by OSP.

Agreements

For proposals involving clinical trials, once the proposal is approved by the department, the RA will create a Funded Agreement in the system directly from the related proposal's workspace and submit it to initiate the agreement workflow. During that workflow, OSP will manage the review, negotiation, and signing with the contracting party. Note that agreements do not require PI nor department approval; agreements will route directly to OSP after submission.

The process for creating agreements will differ depending on the agreement type and the status of the related proposal or award, if applicable. If an agreement is not created from the related funding proposal, it may be created from the related award as described in the Awards section below, or alternatively it can be created as a standalone agreement and it can later be linked to the related Grants record if appropriate.

Awards

For new awards requiring negotiated contracts before award setup, the RA will create and submit an agreement for review, so the terms are in place prior to receiving the award. Note that if a non-funded agreement is needed at any time, RAs can create and submit them as standalone agreements to go through the agreement workflow.

If a proposal is awarded and all terms agreed upon, or the research team requests an advance account, OSP will create an award in the system, and it will go through a setup and data quality review process. If the award includes sub-recipients, RAs an Outgoing Subaward Agreement in the Agreements module for each sub-recipient. The RA will complete the agreement details and then submit it into the agreement workflow for OSP to manage the review, negotiation, and signing.

Award Modifications

While an award is active, changes may be required, like budget revisions or personnel changes. RAs will initiate the change request by completing and submitting an award modification request in Grants. The award modification request is reviewed by OSP and submitted to the sponsor, if needed. If the award modification request is approved, OSP then creates an award modification in the system. Once reviewed and approved, the award is updated with the changes.

If an approved award includes multiple years, and the sponsor requires a report to issue the next increment of funding, the RA will create a continuation proposal from the initial award. The continuation proposal will go through the same review and approval process as the initial funding proposal. Once the sponsor issues the next increment of funding, OSP will create a continuation-type award modification and add the funds the sponsor has released for the next budget period to the award. Note that an award modification request is not needed for setting up noncompeting increments; OSP will automatically create the award modification to add the next year of funding in these cases.

Project Types

Grants Module	Agreements Module

Funding Proposal	Awards	Funded	Non-Funded
Funding Proposal Budget SF424 (if applicable)	Award Award Modification Request Award Modification	Clinical Trial Agreement (CTA) Outgoing Subaward Agreement (SUB) Sponsored Research Agreement (SRA) • Federal Contracts • Outgoing Non-Federal Subcontracts • Incoming Federal Subawards • Non-Profit Agreements • Industry Research Agreements • Fee for Service Agreements • Study Start-Up • VA IPA • Other IPA • Task Order/Work Order	Material Transfer Agreement (MTA) Data Use Agreement (DUA) Confidential Disclosure Agreement (CDA) Unfunded Agreement (UFA)

Navigating Agreements

This section explains where to go to perform basic actions on an agreement.

Dashboard

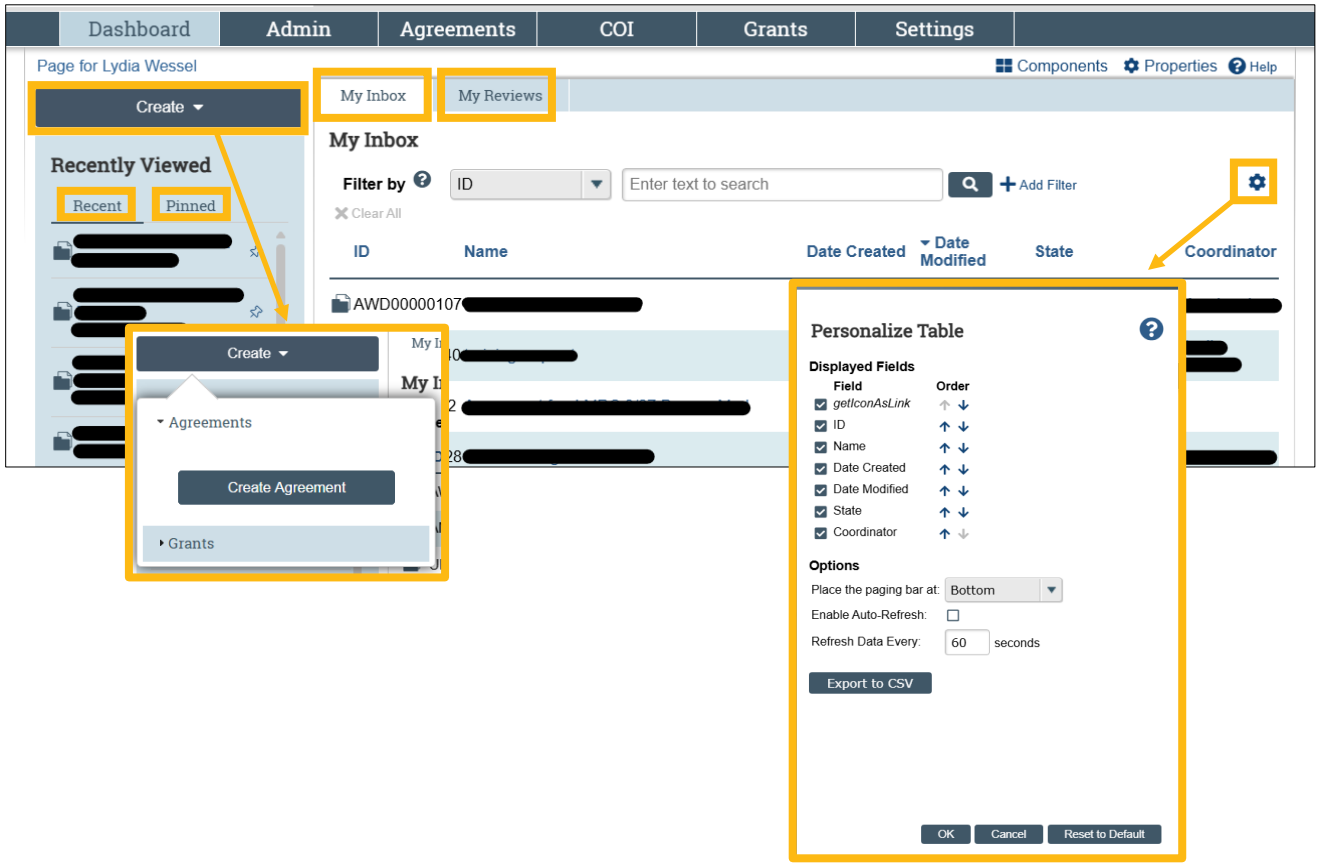
Overview

The dashboards are designed to help you manage your work and stay on top of deadlines in one central location. Dashboards include helpful at-a-glance features, such as review assignment charts, providing transparency on work assignments and the volume of items in various states of the Agreements workflow.

Depending on your role (i.e., whether you are a PI, department RA, or a member of OSP), you will see some different information on your dashboard tabs. However, the dashboards all have a similar layout and share some of the same types of information regardless of role or module you are in. The tabs that show on your dashboard are tailored to your role and present information that will be most pertinent to your work.

Dashboard Features

Below are standard dashboard features generally available to you.



My Inbox

My inbox lists all the items from both the Grants and Agreements modules that you are working on or that require your action to move them forward in the workflow.

- You will only see the items you have permission to view.
- Each item in your inbox has an ID, and the prefix tells you what the item is. For example, AWD stands for award.
- The state tells you where the item is in the workflow.
- To see more details about an item or perform an activity related to that item, click the name to go to that item's workspace.

My Reviews

My Reviews lists items assigned for your review. These items are a subset of the items found in your inbox. This is intended specifically for reviewers, so it is easy to find the items requiring your review.

Create Drop-Down Menu

The create drop-down menu shows the creator buttons available to you. After clicking Create, you can click either Grants or Agreements to reveal the buttons available to you for each module.

Recently Viewed

The Recently Viewed section lists the last several items you have viewed with the most recently viewed ones at the top. You can pin items using the thumbtack icon , and once pinned they will appear in the Pinned tab.

Gear Icon

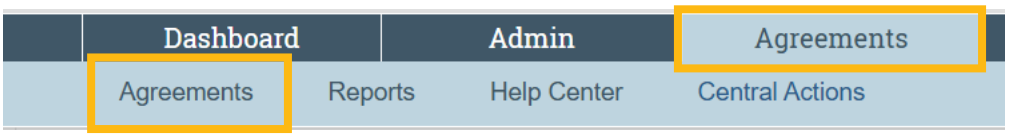
The gear icon  allows you to personalize the data you see on the table and export the information to a CSV file. Refer to the Personalize the Data Display section for more information.

Agreement Page

Overview

The Agreements page is where you will go to find agreements in the system that don't appear in your inbox. Click **Agreements** in the Top Navigator to access the Agreements page.

Note: If you navigate to one of the other tabs in the Sub-Navigator after clicking Agreements, you'll need to click Agreements in the Sub-Navigator to return to the Agreements page.



The Agreements page lists all agreements and amendments you have permission to view, grouped into the following useful categories:

- **All Agreements** – this tab will list all agreement records, including amendments
- **Unassigned** – this tab will list all agreements and amendments that are in the Unassigned state, meaning they have been submitted but need to be assigned to an owner
- **New** – this tab will list all newly created agreements and amendments that are in the Pre-Submission state, meaning they have not yet been submitted into the workflow
- **In Progress** – this tab will list all agreements that are in a review or signing state, meaning they are under negotiation or are in the process of being finalized
- **Active** – this tab will list all agreements in the Active state, meaning they have completed the review and signing process and have been activated
- **Evergreen** – this tab will list all agreements in the Evergreen state, meaning they have been activated and include evergreen clauses, so they do not have an end date
- **Archived** – this tab will list all agreements that have expired or have been discarded

At the top of each list of agreements, you will notice the "Filter by" search functionality. Using the filtering and search capabilities makes it easy to quickly locate a specific agreement. Review the Search for Records section in this guide for more information on how to use this functionality.

Note that the column headers in blue can be sorted by clicking on the column header name. The **State** column will identify the state of the agreement, and the **Modified Date** column will show the last date an action was taken on the agreement. These columns allow you to immediately see where agreements are in the workflow and which agreements are being worked on.

To open an agreement, click the agreement name or ID hyperlinks to go to the agreement workspace. To open the agreement document itself, click the file name link under the **Agreement** column to download a copy of the current draft agreement.



Look Up Workflow Status

To look up the workflow status for agreements in review, follow the steps below.

1. In the top navigator, click **Agreements**.
2. From the Agreements page, click the **In Process** tab.
3. On the **In Process** tab, see the following columns:
    a. **State:** To find agreements in Internal Review and External Review states
    b. **Modified Date:** To see when action was last taken on an agreement.

    Tip: Use the Filter by functionality to show agreements in a certain status, such as internal review.

        To view more details, click on an agreement name to go to the agreement workspace. You can see where the agreement is in the workflow represented on the workflow diagram, as well as the current state of the agreement in the upper left corner of the workspace.

Agreements Workspace

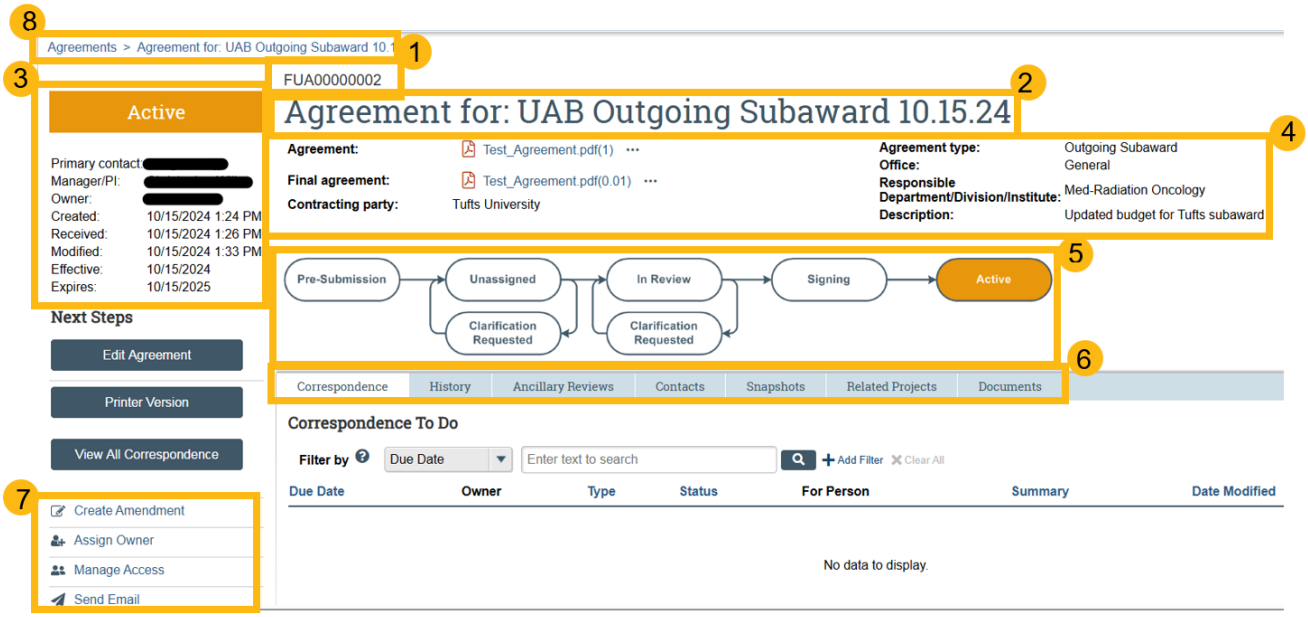
The agreement workspace is where anyone with access to the agreement can find a summary of information about the agreement, such as the current state, key dates, the history of actions taken, the agreement document, related projects, etc. From the workspace, you can also perform various activities for that agreement like add attachments or submit for review.

Navigation

From your inbox, click the agreement name to go to the workspace. If the agreement you're trying to navigate to is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.). Then click on the agreement name.

Workspace Components

The below image highlights the main components of the Agreements workspace that you should become familiar with. Each numbered box in the image is described below.



Unique Agreement ID: each agreement will be automatically assigned with a unique agreement ID number. The ID prefix will indicate the agreement type; review the Agreement Types section in this guide for more information.

Agreement Name: the agreement name entered on the agreement smartform will appear here.

1. **State and Key Contacts/Dates:** the state of the agreement will appear in the orange box in the upper left corner of the workspace, and underneath the state you will find the key contacts and dates relevant to the agreement. The state in this section may be different from what is shown on the workflow map, as the workflow map provides a high-level overview of the review and negotiation process (i.e., the workflow map may show the agreement is "In Review," while the state in the upper left will provide more detail to clarify the agreement is under "External Review")

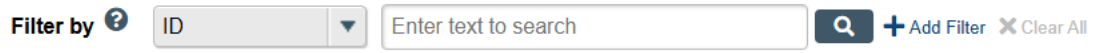
2. **Summary Information:** the summary information will appear under the agreement name and will include the following key elements: a version of the current agreement document, a PDF version of the agreement document once it has been finalized, the contracting party, agreement type, office managing this agreement, the responsible department/division/institute, and a preview of the description entered into the SmartForm.
3. **Workflow Map:** the workflow map provides a high-level visual representation of where the agreement is in the overall workflow. The state in the upper left corner of the workspace will provide more context on the current status.
4. **Workspace Tabs:** the tabs on the workspace organize the following information about the agreement:
    a. **Correspondence:** this tab lists both captured emails and action items created by the agreement owner to help manage and track the review process. This tab will be used frequently to follow up on tasks with reviewers, contracting parties, or others related to the agreement.
    b. **History:** this tab shows a history of the activities/actions that have been performed on the agreement, including who performed the activity and the date/time. You can click the activity name in the History to open a slide-in window which will display more details about the activity and any changes that occurred
    c. **Ancillary Reviews:** this tab lists any ancillary reviews that have been completed for this project.
    d. **Contacts:** this tab lists the key people involved in this agreement, including the owner, contracting party, PI, primary contact, agreement collaborators and administrative editors.
    e. **Snapshots:** this tab lists links to read-only copies of the agreement SmartForm captured at key state transitions in the process, such as when the agreement is submitted for review. The columns will identify the state of the agreement during the snapshot and the date/time the snapshot was taken. Clicking on the snapshot will open the page in a new window.
    f. **Amendments:** if an active agreement has been amended, this tab will appear on the agreement workspace, and the related amendments will display here. You can click on the ID or name of the amendment to go to the amendment workspace.
        Note: If the agreement does not have any related amendments, then this tab will not appear on the workspace.
    g. **Related Projects:** this tab shows all agreements, funding proposals and awards linked to this agreement.
    h. **Documents:** this tab links to supporting documents added in the agreement SmartForm. To open a document, click the file link.
5. **Activities:** under Next Steps, different buttons and activities you can perform will be listed. The activities available to you may vary depending on your security permissions and the state of the agreement.
6. **Breadcrumb Trail:** this shows the pathway to the agreement to help orient users to where they are in the system and includes hyperlinks so you can easily navigate back to where you started

Search for Records

This section explains the different methods to search for agreement records.

Filter Feature

At the top of each list of agreements, you will notice the “Filter by” search feature. Using the filtering and search capabilities makes it easy to quickly locate a specific agreement and identify its current state.



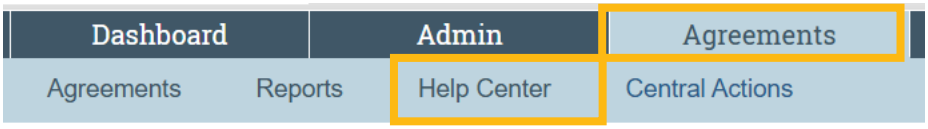
To use the filter feature, follow the steps below.

1. To review the different criteria that you can filter by, click on the help bubble next to Filter by. This will reveal the following options:
    a. **Filter by Name** – Type the first part of the text you want to find. Use % as a wild card.
        Examples:
            1. Typing Gre finds “great,” “Green,” and “Greetings.”
            2. Typing %ack finds “tack” and “Blackwell.”
    b. **Filter by Dates** – Type the date, such as 5/23/2015. Filter to the minute by including the time, such as 5-23-15 1:42 PM.
    c. **Use Comparison Operators to Make Your Filter More Efficient** – Valid Operators: !=, >, >=, <, <=
        Examples:
            1. Filter a date field with > 5/23/2015 to find all values after that date.
            2. Filter a numeric field with != 0 to find non-zero values.
    d. **Use Boolean Operators for Complex Searches** – Valid Operators: -or, -and
        Examples:
            1. Find any of several text values, such as filtering a name column with Shawn -OR Shaun.
            2. Find everything between two numbers, such as filtering a numeric column with > 10000 -and <= 50,000.
2. The drop-down menu options to the right of Filter by will display a list of the column headers that are in blue (i.e., the columns that can also be used for sorting the list).
    a. On the “All Agreements” tab on the Agreements page, the drop-down list options will include the agreement ID, name, agreement type, PI first and last name, contracting party, state, owner first and last name, and the last modified date.
    b. With these filtering options, you can narrow your search results to the search criteria that will be most helpful to you to locate the agreement(s) you’re searching for.
3. To use the filter, start by selecting the item you want to search by, for example, the ID, name, or state.
4. Next, type the characters, numbers, or text into the search box and click the magnifying glass icon or hit “Enter” on your keyboard.
5. If you want to add more filter criteria, you can click **Add Filter** and then add another filter criteria line, and the system will return all items meeting both criteria.

Help Center Overview

The Agreements module includes a Help Center which all users can access to review helpful resources, such as quick reference guides and video tutorials. To access the Agreements Help Center to view these resources, follow the steps below.

1. In the Top Navigator, click Agreements.
2. In the Sub-Navigator, click Help Center.



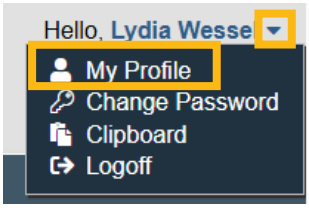
3. From the Help Center, under the **Quick Reference** tab you'll see the quick reference guides pertinent to Agreements. Click on the file name of the guide you wish to open. Depending on your browser settings, the guide may open in a new window, where you can then save it to your local drive, or the guide may download to your Downloads folder upon clicking the link.
4. To access helpful videos, click the **Videos** tab. Click on the video name you wish to view. Depending on the video file type, the video will either open in a new window for you to view, or the video file may download to your Downloads folder upon clicking the link.

Manage My Profile

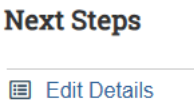
The **Modify Person Profile** activity in Grants allows all users to update select data on their profile, including address, email, and phone number. All users have access to the **Modify Person Profile** activity for their own profile only. Follow the steps below to navigate to Grants and update your profile.

Update My Profile

1. Log in and click Grants on the Top Navigator. This brings you into the Grants module.
2. In the top-right corner of the page, click the down arrow next to your name.
3. Select My Profile.



4. Click **Edit Details** on the left to edit your profile information.



5. Update the necessary information on the slide-in window.
6. Click OK to save your changes.

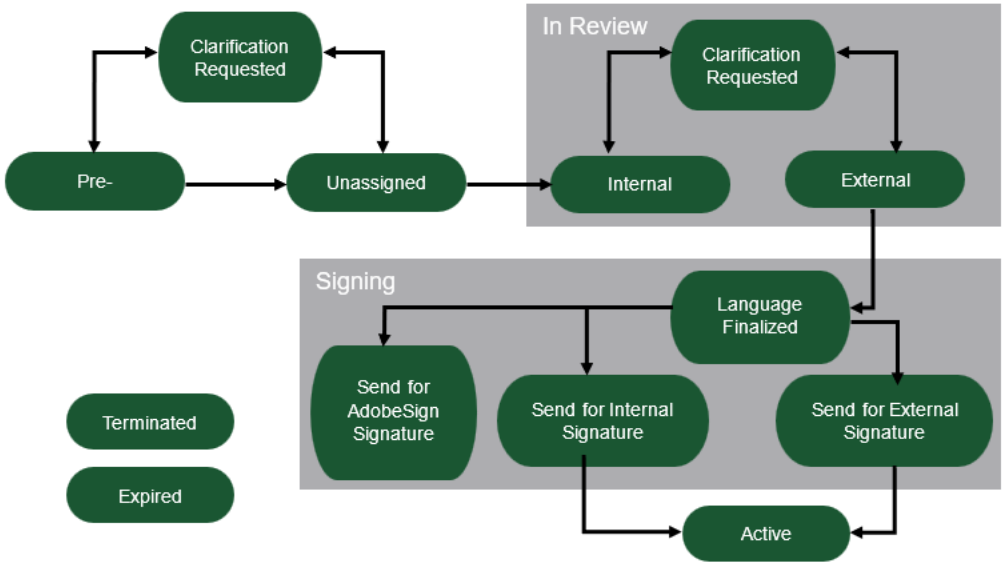
Creating and Submitting Agreements

Agreements Workflow

In the agreements system, one workflow is designed for all agreement submissions. On each agreement workspace, you will see the workflow diagram (shown below) which summarizes the workflow at a high level. The orange bubble in the workflow diagram will identify where the agreement is in the review process, in conjunction with the orange box in the upper left corner of the workspace.



The orange box in the upper left corner of the workspace will display the current state of the agreement, which in some cases will be more detailed than the states in the workflow diagram. For example, an agreement that's in the In Review state in the workflow diagram may show as being under External Review in the upper left corner.



1. All agreements start at **Pre-Submission;** then when they're submitted, they move to the **Unassigned** state for an OSP owner to be assigned.
    a. If a clarification is requested while the agreement is unassigned, then the agreement will move to the **Clarification Requested** state, and when the response to the clarification request is submitted, the agreement will move back to the **Unassigned** state.
    b. The agreement will stay in the Unassigned state until OSP assigns a team member to oversee the review, negotiation, and signing process.

2. Once an OSP owner is assigned to oversee the agreement through the rest of the review process, the agreement will move from the Unassigned state to the **In Review** state in the workflow diagram. Within the In Review state, the agreement can be routed to **Internal Review** or **External Review**.
    a. During either of these states, clarification can be requested if more information is needed for the review to be completed. If clarification is requested, the agreement will move to the **Clarification Requested** state in the workflow until a response is provided to the clarification; then it will move back to either the **Internal** or **External Review** state.
3. After an agreement goes through internal and external review and the agreement language is approved, it will then move to the **Signing** state in the workflow. In Signing, there are also additional workflow states as you see in the diagram above. The more detailed state will appear in the orange box in the upper left corner of the agreement workspace.
    a. For example, when the agreement language is approved, the agreement will be in the **Signing** state in the workflow diagram, but the state in the upper leftcorner will say **Language Finalized** to indicate the agreement language has been approved but it has not yet been sent for signatures.
4. The system will include three signature-related states: (1) **Send for Internal Signature**, (2) **Send for External Signature** and (3) **Send for AdobeSignatures**. Once all signatures have been completed, the agreement will move into the **Active** state once activated.
5. The two workflow bubbles separated from the others on the left are additional states you may see if an agreement is either discarded, meaning it's permanently withdrawn from the review process, or if an agreement expires. Agreements in the **Terminated** or **Expired** states will not have a workflow diagram on their workspace; they will say "Discarded" or "Expired" in the orange state box in the upper left corner of the workspace.

Throughout the workflow before the agreement reaches the Signing state, Agreements allows flexible management of Ancillary Reviews, which are ad-hoc reviews that can be assigned by person or organization while the agreement is in the following workflow states:

- Pre-Submission, Unassigned, In Review (Internal Review and External Review), and Clarification Requested

Review the Managing Ancillary Reviews section in this guide for more information.

Workflow States

The table below describes all of the workflow states in Agreements, what actions can be performed during each state, and what actions are needed in that state to move to the subsequent state.

State transitions occur when authorized users execute specific activities on agreements.

Initial State	During This State…	To Move to the next State…	Next State
(No State)	Any user can create a new agreement.	The user creating the new agreement must click **Continue**	Pre-Submission

Initial State	During This State…	To Move to the next State…	Next State
		on the first page of the agreement SmartForm or click **Save** at the bottom of the page to save the agreement. This saves information entered in the SmartForm and creates the agreement ID. The agreement will stay in Pre-Submission until it is submitted.	
Pre-Submission	The PI, assigned PI proxy, Primary Contact, and assigned collaborators can edit the agreement. The PI, assigned PI proxy, Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with the agreement can add ancillary reviewers to the agreement if needed. **Note:** By default, the person who creates an agreement is the assigned Primary Contact of that agreement. If the Primary Contact is replaced by someone else, then the person who creates the agreement will have read or write permissions only in the Pre-Submission state.	The PI, assigned PI proxy, the Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with an agreement submits the agreement OSP by executing the **Submit** activity.	Unassigned
Unassigned	Agreements Reviewer reviews the agreement.	Reviewer takes ownership of the agreement or assigns it to another OSP team member by executing the **Assign Owner** activity.	Internal Review

Initial State	During This State…	To Move to the next State…	Next State
		Reviewer requests clarification from the PI or Proxy about the agreement submitted by executing the **Request Clarification** activity.	Clarification Requested
Clarification Requested	The PI, assigned PI proxy, Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with an agreement can edit the agreement in response to the reviewer's clarification request.	The PI, assigned PI proxy, or the Primary Contact submits changes and responds to the reviewer's clarification request by executing the **Submit Changes** activity.	Unassigned, Internal Review, or External Review (returns to the state in which the clarification request was made).
Internal Review	Reviewer can generate the agreement for review. Reviewer can edit the agreement or upload a revision. Reviewer can email the agreement to other Agreements users to review. Reviewer can set up correspondence reminders to follow up with internal, third party, or ancillary reviewers. Reviewer can add ancillary reviewers and update ancillary reviews.	Reviewer moves the agreement to External Review by executing the **Move to External Review** activity. **Note:** Reviewer will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.	External Review
		When all parties agree on the agreement language and all the required ancillary reviews are completed, the Reviewer approves the language by executing the **Approve Language** activity and under question 2 indicates "Yes" for the agreement to be routed for Internal Signature first.	Internal Signature
		Same as above except the Reviewer executes the **Approve Language** activity and indicates "No" under question 2.	Language Finalized
External Review	Same as Internal Review: Reviewer can generate the agreement for review.	Reviewer moves the agreement to Internal Review by executing the **Move to Internal Review** activity. **Note:** Reviewer will move the agreement back and forth between Internal and External	Internal Review

Initial State	During This State…	To Move to the next State…	Next State
	Reviewer can edit the agreement or upload a revision. Reviewer can email the agreement to other Agreements users to review. Reviewer can set up correspondence reminders to follow up with internal, third party, or ancillary reviewers. Reviewer can add ancillary reviewers and update ancillary reviews.	Review to reflect who is reviewing the agreement.	
		When all parties agree on the agreement language and all the required ancillary reviews are completed, the Reviewer approves the language by executing the **Approve Language** activity and under question 2 indicates "Yes" for the agreement to be routed for Internal Signature first.	Internal Signature
		Same as above except the Reviewer executes the **Approve Language** activity and indicates "No" under question 2.	Language Finalized
Language Finalized	Reviewer can upload the final version of the agreement for signature (or confirm the final agreement is in the system).	For wet ink signatures, if UAB will sign first, reviewer routes the agreement for internal signature by executing the **Send for Internal Signature** activity.	Internal Signature
		For wet ink signatures if a third party will sign first, reviewer sends out the agreement for signature by executing the **Send for External Signature** activity.	External Signature
		If AdobeSign will be used to gather signatures, reviewer prepares the AdobeSign envelope and routes for signatures by executing the **Send for AdobeSign Signatures** Activity	AdobeSign Signatures
AdobeSign Signatures	Reviewer can email the agreement to other Agreements users to review. Reviewer can set up correspondence reminders to follow up with internal, third party, or ancillary reviewers.	Once all signatures have been obtained, or if signers decline signature, or if reviewer voids the AdobeSign envelope, the system will update the AdobeSign envelope, and it will route back to reviewer.	Internal Signature
Internal Signature	Reviewer can upload the final version of	Once all wet ink internal signatures are received, reviewer	External Signature

Initial State	During This State…	To Move to the next State…	Next State
	the signed document if wet ink signatures were obtained. Reviewer can convert the agreement to a PDF (if not done before receiving signatures).	sends the agreement out to the third party for signature by executing the **Send for External Signature** activity.	
		Reviewer moves the agreement back to Internal or External Review by executing the **Move to Internal Review** or **Move to External Review** activities.	Internal Review or External review
		Reviewer routes the agreement for AdobeSign signatures by executing the **Send for Signatures** activity.	AdobeSign Signatures
		When all signatures have been received, reviewer activates the agreement by executing the **Activate** activity (or approves the amendment by executing the **Approve** activity)	Active ("Approved" for amendments)
External Signature	Same as Internal Signature: Reviewer can upload the final version of the signed document if wet ink signatures were obtained. Reviewer can convert the agreement to a PDF (if not done before receiving signatures).	Once the third party wet ink signatures are received, reviewer routes the agreement for internal signatures by executing the **Send for Internal Signature** activity.	Internal Signature
		Reviewer moves the agreement to Internal or External Review by executing the **Move to Internal Review** or **Move to External Review** activities.	Internal Review or External review
		When all signatures have been received, reviewer activates the agreement by executing the **Activate** activity (or approves the amendment by executing the **Approve** activity).	Active ("Approved" for amendments)
Active	Once the agreement is active, the PI, assigned PI proxy, the Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with the Agreement can create an amendment, provided there is no other active	The Active state is a terminal state signifying the end of the agreement review workflow. Agreements that expire or are terminated will move from being Active to the Expired state or to the Terminated state, if applicable. Agreements that have no end date will move into the Evergreen state.	Active

Initial State	During This State…	To Move to the next State…	Next State
	amendment to this agreement. Reviewer can terminate the agreement if needed.		

Outgoing Subaward Workflow

Outgoing subawards span both the Grants and Agreements modules in the system. They require the creation of an Award record in the Grants Award module and an Outgoing Subaward Agreement in the Agreements module. A subaward record can either be created during the setup of a new award or because of an award modification.

1. Initiating a Subaward Agreement (SUB) for a New Award
2. When the award is activated, the department will be notified and can begin to submit the subawards.
3. The department will navigate to the award and create a subaward agreement record.
4. The department will complete the first four pages of the agreement record (all pages except the risk assessment).
5. Submit to OSP for review.
6. OSP will review the subaward agreement and generate the subaward.
7. OSP will route the subaward to the recipient for their review and approval.
8. Once subrecipient has signed SUB, OSP will route for signature and activate the agreement.

Initiating a Subaward Agreement from an Award Modification

1. An award modification adding a new subaward transitions to an *Approved* state. If the award modification does not add a new subaward or affect an existing subaward, no further action is necessary.
2. If the award modification adds a new subaward, the RA creates a new draft subaward agreement and submits into unassigned. I

Agreement Types

The following agreement types are supported:

Agreement Type	Description
Sponsored Research Agreement (SRA)	A Sponsored Research Agreement (SRA) is a contract between the university and a sponsor for the purposes of funding and conducting research at the university. An SRA may be supported by for-profit (e.g., private industry) or non-profit (e.g., state or federal government, foundations, peer institutions, etc.) sponsors. An SRA will generally have terms and conditions that cover intellectual property ownership, payment and publication.
Unfunded Agreements	Unfunded agreements are agreements that address specific needs related to sponsored projects but are not a funding instrument.
Data Use Agreement (DUA)	Data Use Agreements (DUAs) are agreements used for the transfer of nonpublic data that is subject to some restriction on its use. A DUA is established between a provider institution and recipient institution to document 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. Establishing conditions prior to the transfer of data avoids issues and misunderstandings after research has begun.
Material Transfer Agreement (MTA)	Material Transfer Agreements (MTAs) are written agreements used to govern the transfer of research material between organizations. The sharing of research products (such as compounds, software, cell lines, transgenic animals, plasmids and monoclonal antibodies, etc.) is critical to continuing progress in science, and it is the University's intention to facilitate the exchange of material between researchers at academic institutions, government agencies and corporate entities.
Clinical Trial Agreement (CTA)	A Clinical Trial Agreement (CTA) is a legally binding agreement that manages the relationship between the sponsor that may be providing the study drug or device, the financial support and /or proprietary information and the institution that may be

Agreement Type	Description
	providing data and/or results, publication, input into further intellectual property.
Confidential Disclosure Agreement (CDA)	Confidential Disclosure Agreements (CDAs) are legal agreements that outline proprietary information that the parties wish to share with one another for certain evaluation purposes but wish to restrict from wider use and dissemination to third parties or to the public at large. CDAs are commonly executed when two parties are considering pursuing a relationship together and need to understand the other's processes, methods, or technology solely for the purpose of evaluating the potential for a future relationship.
Outgoing Subaward	An outgoing subaward is a formal agreement between UAB (serving as a pass-through entity) and a subrecipient under a sponsored program.

Non-funded Agreements

Non-funded agreements can be created as standalone agreements in the Agreements module, whereas funded agreements should be created from the related Grants record so that the agreement can be automatically linked to the related funding proposal or award.

Non-funded agreements may include: Material Transfer Agreement, Data Use Agreement, or Confidential Disclosure Agreement.

Funded Agreements

Agreements related to a funding proposal should always be initiated from the funding proposal workspace. Review the Research Community Grants Reference Guide on the training site for more information.

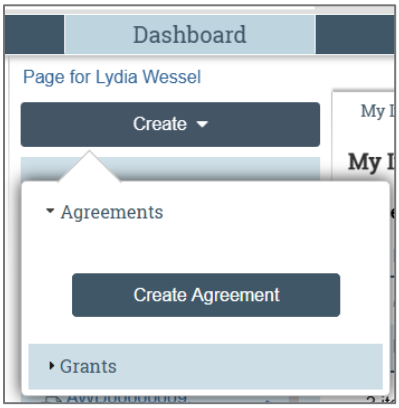
Funded Agreements may include: Sponsored Research Agreement, Clinical Trial Agreement, Incoming Subaward Agreement, or Outgoing Subaward Agreement.

Create and Submit an Agreement

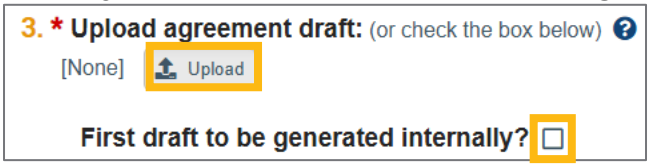
When you create an agreement, you are required to complete a series of pages. The number of pages depends on the type of agreement. Follow the steps below to create and submit an agreement.

Create an Agreement

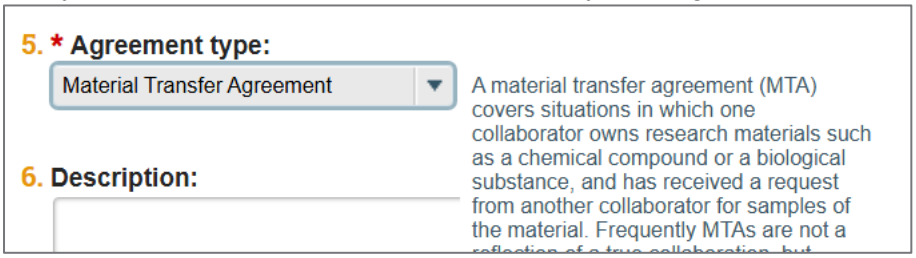
1. From the Dashboard, click the **Create** menu and select **Create Agreement**



   a. Note**:** If the agreement is related to an existing funding proposal or award, review the Create and Submit Agreement from Grants section in this guide for how to create an agreement that is linked to a Grants record.
2. Complete all necessary fields on the Agreement Upload page.
3. For question 3 in the Smartform, if the agreement document has already been drafted, you can attach it by clicking the **Upload** button; however, if OSP will create the first draft of the agreement, check the **First draft to be generated internally?** box instead.



4. For question 5, select the appropriate agreement type. After completing this page, click **Continue** and enter all required information in the following pages. Review the Agreement Types section of this guide for more information.
   a. Note: After selecting the agreement type, you can hover over the type selected with your mouse to read a description of the type of agreement.



5. Depending on the agreement type selected, additional Smartform pages specific to that type will be added. Click **Continue**.
6. Complete all required fields. Once you've completed each page, move on to the next page by clicking **Continue**.
7. On the last page, follow the completion instructions and click **Finish**.

When you click Finish from the Smartform:

- The agreement is now in the Pre-Submission state.
- The agreement will stay in your inbox, and you can continue to edit the agreement until you submit it for processing.
- The History tab on the agreement workspace will log who created the agreement.

Note: By default, the person who created the agreement is assigned as the Primary Contact in the system. The Primary Contact can be changed, and if that happens, the person who created the agreement will:

- See the agreement in My Inbox only during the Pre-Submission state.
- No longer have read and write permissions on that agreement.
- Not be able to create amendments for the agreement.

Submit an Agreement

1. Check to make sure all information is complete and accurate. Do this by clicking **Edit Agreement** on the workspace and then click **Validate** in the upper left corner.
2. On the left side of the agreement workspace, under Next Steps, click **Submit**.
3. Click OK to accept the statement and submit the agreement.

When the Submit activity is executed:

- The agreement advances to the Unassigned state. The OSP team will assign an appropriate team member to oversee the agreement through the review, negotiation, and signing process.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.
- The PI and Proxy will be notified throughout the workflow if clarification is needed. The PI, Proxy, and Collaborators will be notified once the agreement language is approved. When the agreement is activated, they will also receive a notification with a link to the fully executed agreement.

Create and Submit an Agreement from Grants

RAs can create and access related agreements directly from an award workspace. This activity is an important step in establishing relationships between awards and agreements.

To create an Agreement from an Award

1. From your inbox or one of the tabs on the Grants Awards page, click the name of the award for which you would like to create an agreement.
2. On the award workspace, click **Create Agreement**.
3. On the slide-in window, select the **Agreement Type** you want to create.
4. Click **OK**.
5. On the award workspace, click the **Related Projects** tab.
6. Click either the ID or Name link to open the agreement workspace.
7. On the agreement workspace, click **View Agreement** to make the necessary changes.

Note: RAs can also use the **Manage Relationships** activity to view agreements already linked to an award or to link a new agreement that was created outside of the award workspace. Review the Manage Relationships section for more information.

Create and Submit a Clinical Trial Agreement

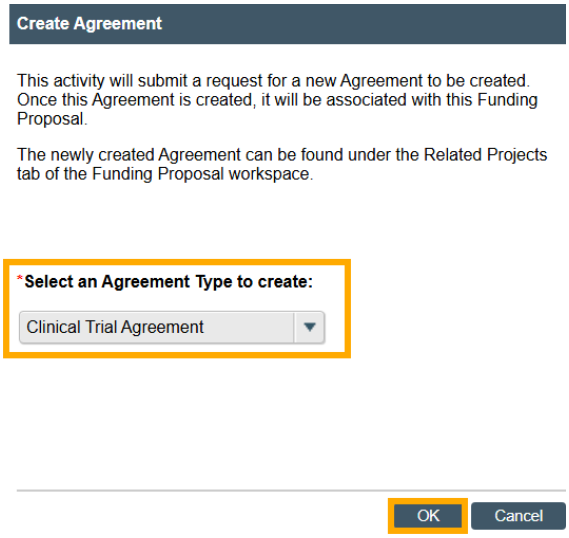
After the related funding proposal is approved at the department level, including PI certification, the Research Administrator (RA) can create the Clinical Trial Agreement (CTA) by following the steps below:

To Create a Clinical Trial Agreement (CTA)

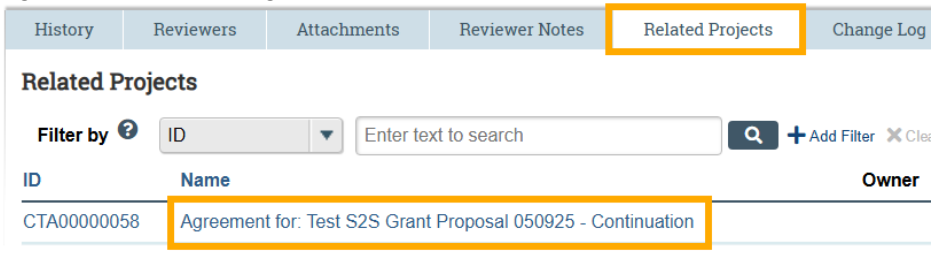
1. From the funding proposal workspace, click **Create Agreement**.



2. On the Create Agreement activity form, under “Select an Agreement Type to create,” select **Clinical Trial Agreement** and click **OK**.



3. From the funding proposal workspace, click the **Related Projects** tab and click the agreement name to go to the workspace.



4. From the agreement workspace, click **Edit Agreement** to open the SmartForm.



5. Complete all required fields on the Agreement Upload page. For question 3, if the agreement upload document has already been drafted by the sponsor, you can attach it by clicking the Upload button. However, if OSP will create the first draft of the agreement, check the **First draft to be generated internally?** box instead.



6. After completing this page, click Continue and enter CTA information in the following pages.
7. On the last page, follow the completion instructions and click **Finish**.

When you click Finish from the Smartform:

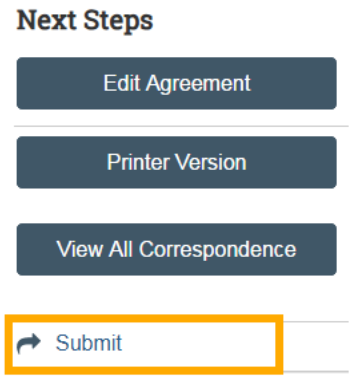
- You have not yet submitted the agreement. The agreement is now in the **Pre-Submission** state.
- The agreement will stay in your inbox, and you can continue to edit the agreement until you submit it for processing.
- The **History** tab on the agreement workspace will log who created the agreement.

Note: By default, the person who creates the agreement is assigned as the Primary Contact in the system. The Primary Contact can be changed, and if that happens, the person who creates the agreement will:

- See the agreement in My Inbox only during the Pre-Submission state.
- No longer have read and write permissions on that agreement.
- Not be able to create amendments for the agreement.

To Submit a Clinical Trial Agreement (CTA)

1. Before submitting the CTA, verify that the related funding proposal has received department approval and is in the Specialist Review state by navigating directly to the funding proposal from the agreement workspace and clicking the proposal name in the **"Related Projects"** tab.
2. Verify the state is in Specialist Review, then from the agreement workspace, click **Submit**.



3. Click OK to accept the statement and route the Clinical Trial Agreement into the workflow.

When the Submit Activity is executed:

- The agreement advances to the Unassigned state. The OSP team will assign a person to oversee the agreement through the review, negotiation, and signing process.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.
- The PI and Proxy will be notified through the workflow if clarification is needed. The PI, Proxy, and Collaborators will be notified once the agreement language is approved. When the agreement is activated, they will also receive a notification with a link to the fully executed agreement.

Complete and Submit a Confidential Disclosure Agreement (CDA)

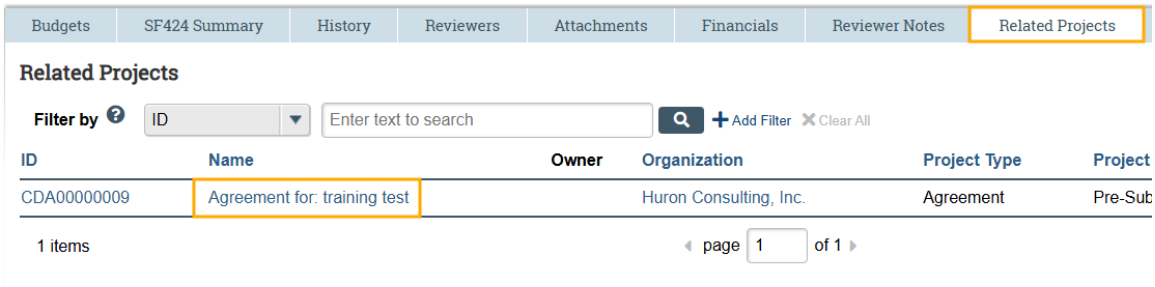
After the related funding proposal is approved at the department level, including PI certification, the Research Administrator (RA) can create the Confidential Disclosure Agreement (CDA) by following the steps below:

To Create a Confidential Disclosure Agreement (CDA)

1. From the funding proposal workspace, click **Create Agreement**.



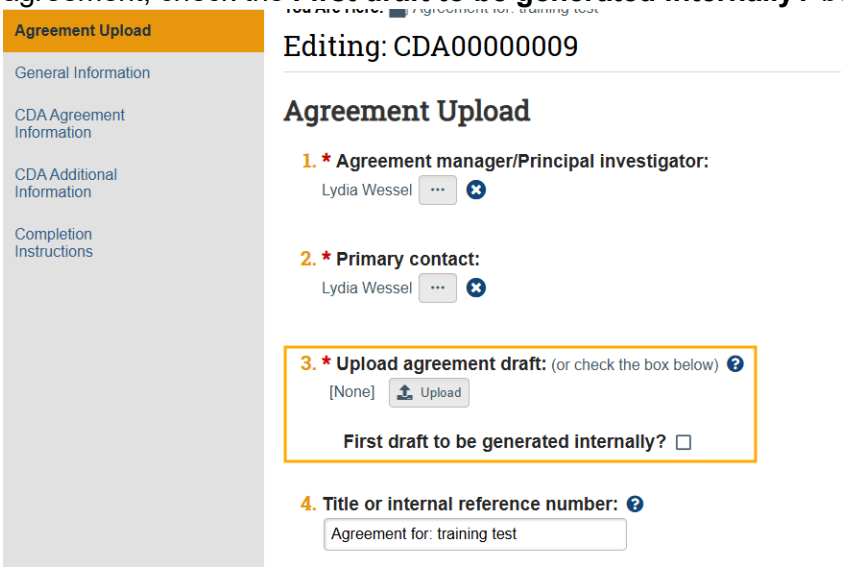
2. On the Create Agreement activity form, under “Select an Agreement Type to create,” select **Confidential Disclosure Agreement** and click **OK**.
3. From the funding proposal workspace, click the **Related Projects** tab and click the agreement name to go to the workspace.



4. From the agreement workspace, click **Edit Agreement** to open the SmartForm.



5. Complete all required fields on the Agreement Upload page. For question 3, if the agreement upload document has already been drafted by the sponsor, you can attach it by clicking the Upload button. However, if OSP will create the first draft of the agreement, check the **First draft to be generated internally?** box instead.



6. After completing this page, click Continue and enter CDA information in the following pages.
7. On the last page, follow the completion instructions and click **Finish**.

When you click Finish from the Smartform:

- You have not yet submitted the agreement. The agreement is now in the **Pre-Submission** state.
- The agreement will stay in your inbox, and you can continue to edit the agreement until you submit it for processing.

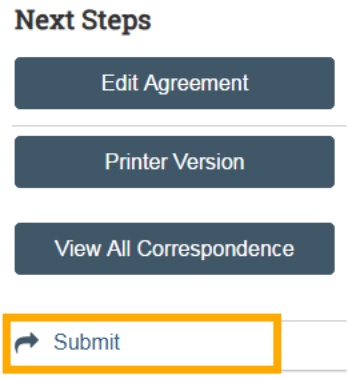
- The **History** tab on the agreement workspace will log who created the agreement.

Note: By default, the person who creates the agreement is assigned as the Primary Contact in the system. The Primary Contact can be changed, and if that happens, the person who creates the agreement will:

- See the agreement in My Inbox only during the Pre-Submission state.
- No longer have read and write permissions on that agreement.
- Not be able to create amendments for the agreement.

To Submit a Confidentiality Disclosure Agreement (CDA)

4. Before submitting the CDA, verify that the related funding proposal has received department approval and is in the Specialist Review state by navigating directly to the funding proposal from the agreement workspace and clicking the proposal name in the **"Related Projects"** tab.
5. Verify the state is in Specialist Review, then from the agreement workspace, click **Submit**.



6. Click OK to accept the statement and route the Confidentiality Disclosure Agreement into the workflow.

When the Submit Activity is executed:

- The agreement advances to the Unassigned state. The OSP team will assign a person to oversee the agreement through the review, negotiation, and signing process.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.
- The PI and Proxy will be notified through the workflow if clarification is needed. The PI, Proxy, and Collaborators will be notified once the agreement language is approved. When the agreement is activated, they will also receive a notification with a link to the fully executed agreement.

Complete and Submit an Outgoing Subaward Agreement

Outgoing federal subawards on approved awards will require an Outgoing Subaward Agreement. The RA is responsible for either completing and submitting the agreement or discarding it if the subaward is no longer moving forward. The steps below reflect the RA's role in this process.

Complete an Outgoing Subaward Agreement

1. From your inbox, click the Outgoing Subaward Agreement related to the notification you received, or click the link directly from the Grants Subawards tab.

Note:

- If you receive a notification about the subcontract, but you need to reassign it to a colleague to complete, review the Add an Agreement Collaborator section for more information on how to change the Primary Contact.
- If the subaward is no longer moving forward, then the Outgoing Subaward Agreement should be discarded. Review the Discard an Agreement section for instructions.

2. From the outgoing Subaward Agreement workspace, click **Edit Agreement** on the left to edit the Smartform. Review each page and complete all required fields.
3. After completing each page, click **Continue** to move on to the next page.
4. On the last page, follow the completion instructions and click **Finish**.

When you click **Finish** in the Smartform:

- The agreement moves to the **Pre-Submission** state.
- The agreement will stay in your inbox, and you can continue to edit the agreement until you submit it for processing.
- The **History** tab on the agreement workspace will log who created the agreement.

Note: By default, the person who creates the agreement is assigned as the Primary Contact in the system. The Primary Contact can be changed, and if that happens, the person who creates the agreement will:

- See the agreement in My Inbox only during the Pre-Submission state.
- No longer have read and write permissions on that agreement.
- Not be able to create amendments for the agreement.

Submit an Outgoing Subaward Agreement

1. If it has been determined that the subaward is moving forward, check if all the information is complete and accurate by clicking **Edit Agreement** on the workspace, then at the top left, click **Validate** in the top left corner.
2. To move the subaward agreement forward in the workflow, at the left of the workspace under Next Steps click **Submit**.
3. Click **OK** to accept the statement and submit the Outgoing Subaward Agreement.

When the Submit activity is executed:

- The agreement moves to the Unassigned state. The OSP team will assign a person to oversee the agreement through the review, negotiation, and signing process.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.
- The PI and Proxy will be notified through the workflow if clarification is needed. The PI, Proxy, and Collaborators will be notified once the agreement language is approved. When the agreement is activated, they will also receive a notification with a link to the fully executed agreement.

General Activities

Managing Ancillary Reviews

Ancillary review allows individuals, departments, and other organizations to give feedback on the agreement on an ad-hoc basis outside of the standard Agreements workflow. Ancillary reviews can be required (i.e., the review must be completed before the agreement language can be approved) or optional (i.e., the review does not need to be completed for the agreement to be activated). Ancillary reviews can be requested by the PI, Proxy, or agreement creator in select workflow states.

During **Pre-Submission** and while the agreement is in the **Unassigned** state, the PI, assigned PI proxy, or an Office of Sponsored Projects (OSP) staff member belonging to the office associated with the agreement can assign ancillary reviewers to the agreement. Once the agreement is assigned to an OSP owner and is in review, only OSP staff can assign ancillary reviewers. During these states, ancillary reviews will be managed by OSP.

Ancillary reviewers can be any registered user in the system; for example, someone from the Principal Investigator's (PI) department or a person in another agreement office. During the review process, ancillary reviewers log into Agreements, review the agreement, and then submit a review indicating whether they accept the agreement.

The OSP owner assigned to the agreement can submit ancillary reviews on behalf of the reviewers. This is especially important for ancillary reviews that are required because the agreement language cannot be approved until all required ancillary reviewers have accepted the agreement.

All activities listed below are performed from the agreement workspace. Once an ancillary review is created, the details display on the agreement workspace under the workflow map.

Add an Ancillary Review and Check Review Status

You can add an organization or a person as an ancillary reviewer before you submit the agreement (while it is in Pre-Submission) and before it has been assigned an OSP owner (after submitting, while it is in the Unassigned state).

Note: For certain exceptional circumstances, such as institutional cost sharing or PI eligibility, an ancillary review *must* be included.

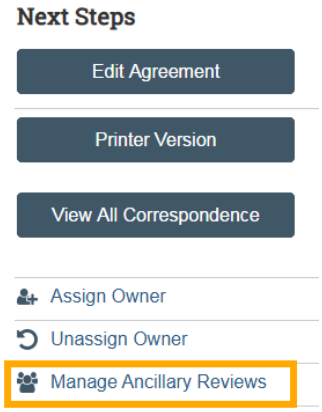
The steps below describe how to add an ancillary review and check the ancillary review status.

To assign an ancillary reviewer:

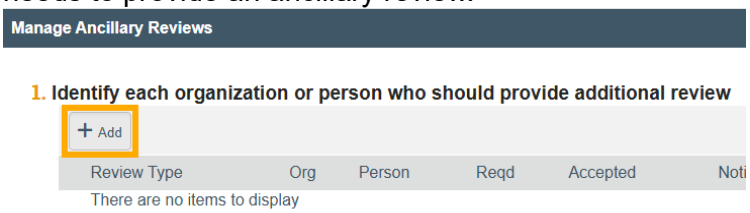
1. In the Top Navigator, click **Agreements**. From the Agreements page, click the **All Agreements** tab, then click the agreement name to open it.

Note: You can also open the agreement directly from your inbox.

2. On the left side of the agreement workspace under Next Steps, click **Manage Ancillary Reviews**.



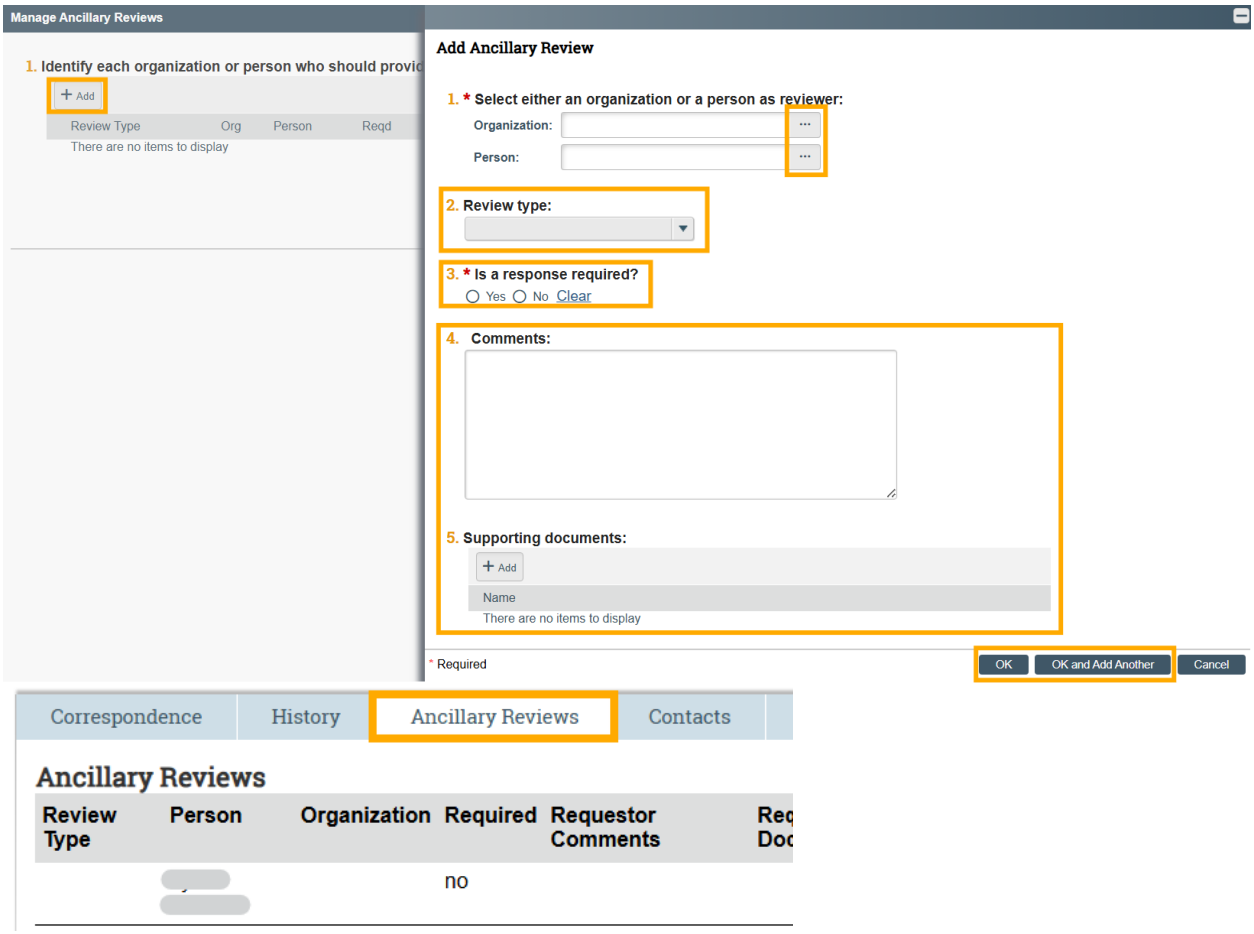
3. Click **Add**. A slide-in window will open for you to add each organization or person who needs to provide an ancillary review.



4. In the **Organization** box or the **Person** box, you can begin typing the name of the organization or person you want to add as a reviewer. Alternatively, you can click the ellipses on the right to select an organization or person from the list.
5. Click the **Review Type** drop-down arrow and select the appropriate Ancillary Review type.

   For question 3, select **Yes** or **No** to indicate whether a response is required for this ancillary review. Select **Yes** to trigger e-mail notification to be sent to the reviewer and select **No** if you do not want the reviewer to be notified in the **Send notification now?** field. Note: This field displays only when an ancillary review is created in the Pre-Submission state. After the project is submitted and in the subsequent states, the reviewers receive an e-mail notification by default.

6. Add comments or supporting documents for the reviewer as necessary. Click **OK and Add Another** to add multiple ancillary reviews if needed. Once complete, click **OK** to save your changes and close the slide-in window.
7. The added ancillary reviews will appear in the table on the Manage Ancillary Review activity window. Click **OK** to save and return to the workspace.



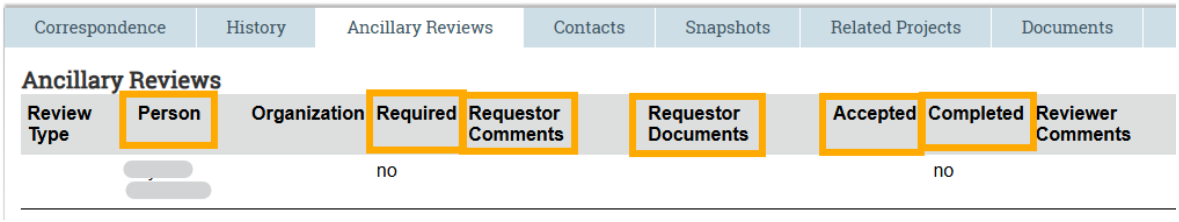
When this Manage Ancillary Reviews activity is executed:

- The assigned ancillary reviewers will receive email notifications, and the submission will appear in their inbox.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

To check ancillary review status:

1. To check on the status of an ancillary review, open an agreement in which ancillary reviewers have been added.
2. From the agreement's workspace, under the workflow map you will see a table summarizing the assigned ancillary reviews, where you can view the details and current status of each ancillary review.
3. Review the ancillary review information, including the **Person** and **Completed** columns, to check the review status for each ancillary review. The **Accepted** column will display whether the ancillary review was approved, and the table will include any comments or documents left by the reviewers. The **Required** column will display whether a response is required for the ancillary review.

Note**:** Required reviews must be completed before the agreement language can be approved.



To update an ancillary review:

1. Once you have assigned one or more ancillary reviews, if the agreement is still in the Pre-Submission or Unassigned states, you can update ancillary reviews as needed following the steps below.
2. From the agreement workspace, click **Manage Ancillary Reviews** on the left.
3. Click **Update** next to the person or organization for the review you want to enter.
4. Select **Yes** if the review is required, and **No** if the review is not required in the **Is a response required?** field.
5. Select **Yes** if you agree with the agreement terms, and **No** if the agreement terms are not accepted in the **Do you accept this agreement?** field.
6. Select **Yes** if the ancillary review is complete, and **No** if the ancillary review is not complete and requires corrections or clarifications in the **Is the ancillary review complete?** field.
7. Add comments or attachments, if necessary and then click OK.

Note: Only an OSP Team member should update this activity to indicate an agreement has been accepted or the ancillary review has been completed. When they do accept the agreement and indicate that it is complete:

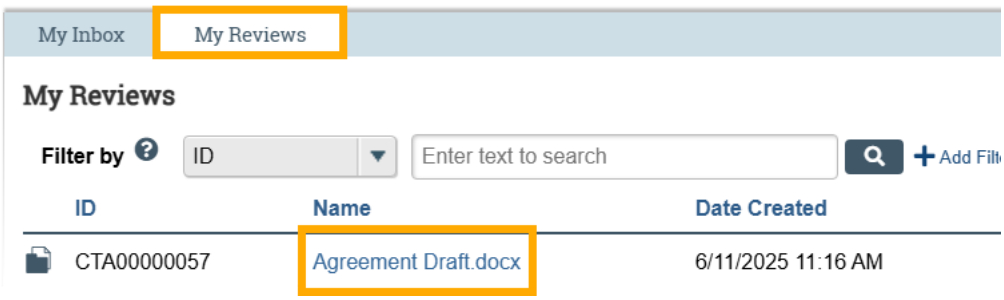
a. The Approve Language activity no longer blocks the workflow, and the agreement can proceed to the next step in the review process.
b. The agreement no longer displays in the ancillary reviewer's inbox.

Submit an Ancillary Review

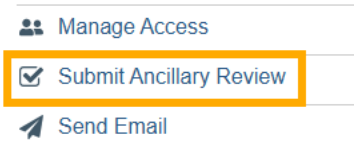
If you are assigned as an ancillary reviewer, the related agreement will appear in your inbox, and the Submit Ancillary Review activity becomes available on the agreement workspace.

This procedure assumes you have finished reviewing the agreement and are ready to submit your review.

1. There are multiple ways to open the agreement you need to review:
    a. Click on the name of the agreement from the Agreements page.
    b. My Inbox – From your inbox, go to the **My Reviews** tab and click the name of the agreement you want to review. The agreement workspace will open.

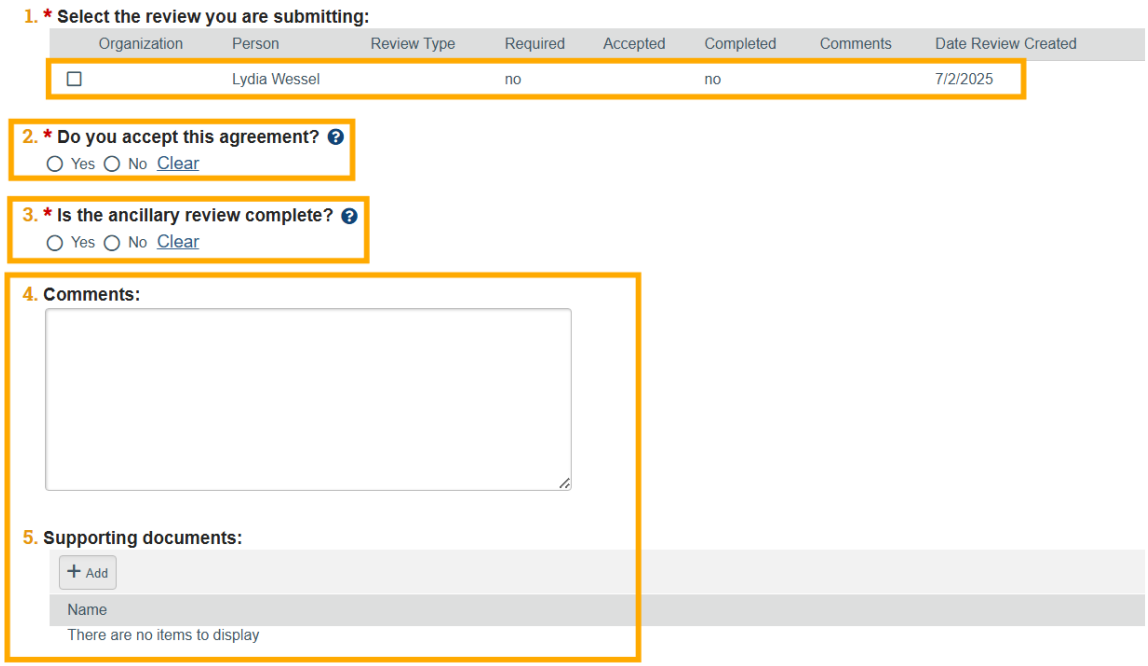


2. On the left of the agreement workspace under Next Steps, click **View Agreement** to review the agreement SmartForm.
3. After completing your review, click **Exit** at the bottom-right of the SmartForm to return to the workspace.
4. On the left side of the agreement workspace under Next Steps, click **Submit Ancillary Review**.



5. In the Submit Ancillary Review activity form, for question 1, select the ancillary review to submit and complete the remaining required fields.
6. For question 2, select **Yes** if you agree with the agreement terms; otherwise, select **No**.
    a. *For example:* If you do not accept the agreement terms, select **No** and add comments under question 4 to explain why you don't accept the terms.
7. For question 3, select **Yes** if you've completed your review; otherwise, select **No**.
    a. *For example*: If you did not accept the submission *and* you have finished your review, then select **Yes** to indicate your review is complete but you did not approve. If you have not finished your review and require additional information to complete it, select **No** and add comments under question 4 to identify what's needed for you to complete the ancillary review.

        Note: All required ancillary reviews need to be completed before the **Approve Language** activity is executed. For the ancillary reviews that are not required, the Submit Ancillary Review option will display until the agreement is sent for signatures.
8. Add any comments and supporting documents you think necessary; then click **OK**.



When you accept and indicate that the ancillary review is complete:

- It does not change the state of the agreement.
- The agreement no longer displays in your inbox.
- The details of the ancillary review are displayed on the agreement workspace under the workflow map.

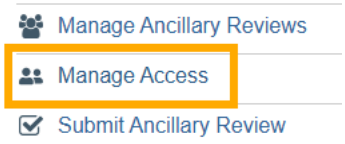
Add an Agreement Collaborator for Read/Edit Access

You can add or replace a Primary Contact or collaborator(s) in an agreement in any state without going through the amendment process. This action is done through the **Manage Access** activity which can be executed only on the parent agreement by the following users:

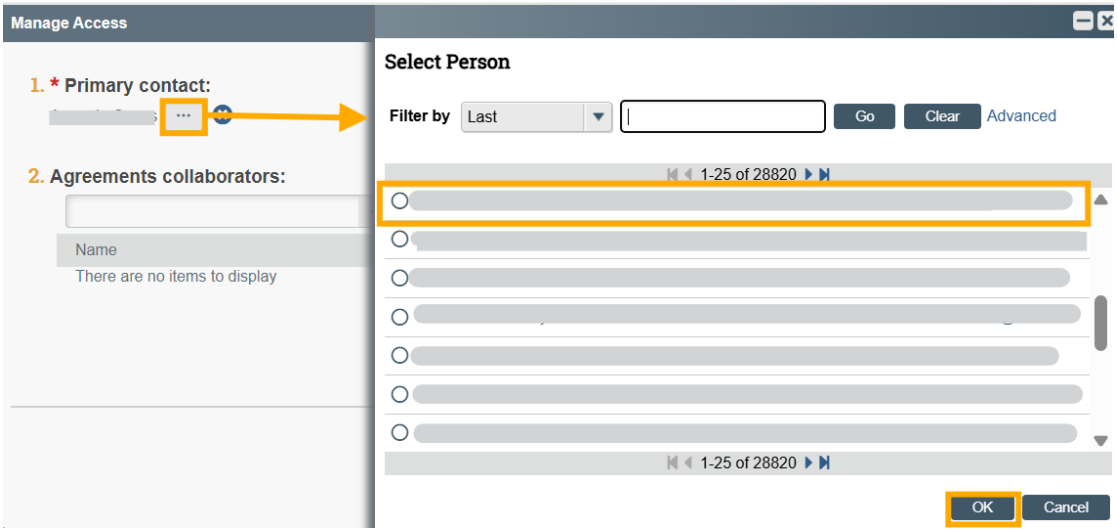
- OSP Staff
- PI/Proxy
- Primary Contact
- Collaborators

To add or replace Primary Contact or Collaborators in an Agreement:

1. From your inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the top navigation bar and locate the agreement in one of the tabs; then click the agreement name.
   Note: to quickly search through the list of agreements, use the filter and search bar functionality.
2. On the left side of the agreement workspace, under Next Steps, click **Manage Access**.



3. To add or replace a primary contact, next to the Primary contact field, click to ellipses and select a primary contact, then click OK.



4. To add one or more collaborators, next to the Agreements collaborators field, begin typing the collaborator's name, or click the ellipses and select the collaborator(s); then click OK. To remove collaborators, click on the X symbol to the far right of their name.



5. Once you've completed the Manage Access activity form, click OK to save your changes.

When this Manage Access activity is executed:

- The changes made will immediately reflect in the parent agreement as well as in the related amendments.
- The Primary Contact and collaborator(s) added will be able to view the agreement in their inbox and edit the agreement when it is in editable states.
- Collaborators will receive notifications throughout the workflow.
- The activity will be logged under the History tab of the agreement workspace. You can click on the activity hyperlink to open the activity details which will show a copy of the completed activity form.

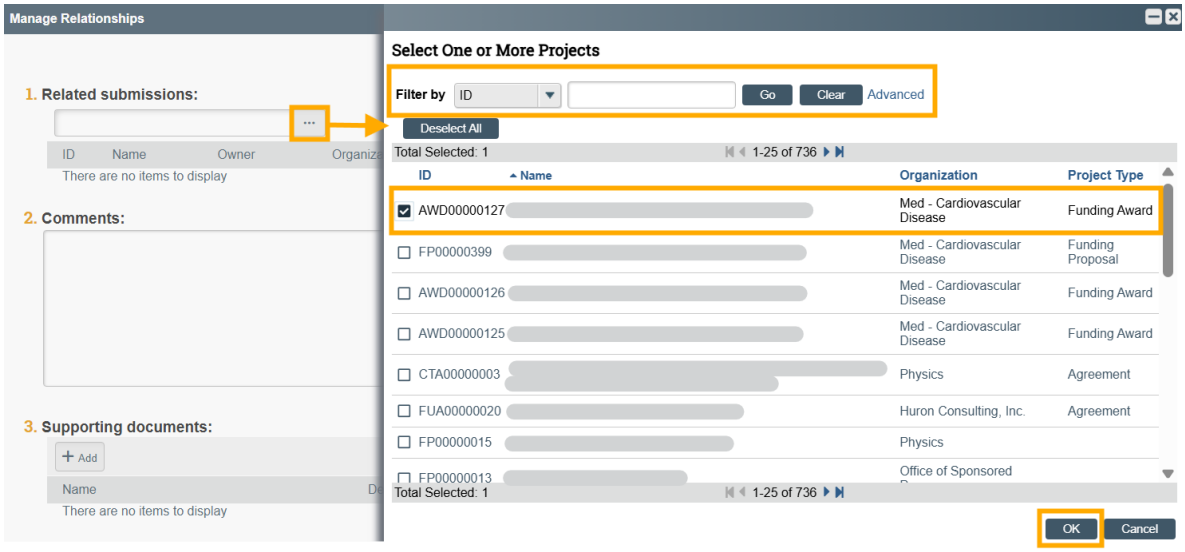
Manage Relationships

The **Manage Relationships** activity is used to relate agreements with other agreements or Grants records, such as funding proposals and awards. To manage relationships on an agreement, follow the steps below.

1. From your inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the top navigation bar and locate the agreement in one of the tabs; then click the agreement name.
   Note: to quickly search through the list of agreements, use the filter and search bar functionality.
2. On the left side of the agreement workspace, under Next Steps, click **Manage Relationships**.



3. Under question 1, you can start typing the name or ID of the related submission if you know it, or you can click the ellipses to the right to open the “Select One or More Projects” slide-in window.
   a. Note: When creating a linkage using the Manage Relationships activity, continuations will not be available for selection.
   b. If you need to link an agreement with a continuation proposal, use the Create Agreement activity from the continuation workspace in Grants. This will create a one-way linkage and will allow the continuation to appear on the Related projects tab on the agreement and vice versa. Review the Create and Submit an Agreement from Grants section in this guide for more information.
4. From the slide-in window, search for the record(s) you want to relate to this agreement. All valid grant projects and agreements available for selection will appear in this window.
   Note: the drop-down list to the right of “Filter by” allows you to narrow the search results by ID, name, organization, or project type.



5. After selecting the record(s), click **OK** to save your selection(s).
6. You can add any comment or supporting documents as needed. Once complete, click **OK** to execute the activity.

When the Manage Relationship activity is executed:

- All relationships will display under the **Related Projects** tab on both agreements and grants workspaces. Clicking on the ID or name of the related projects will open their workspaces, allowing easy navigation between these related records.
- The activity will be logged under the **History** tab on the agreement workspace, including any comments or documents left in the activity form.
- The Primary Contact and collaborator(s) added will be able to view the agreement in their inbox and edit the agreement when it is in editable states.

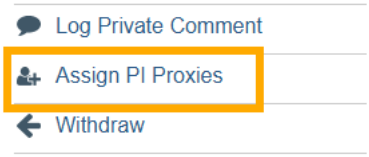
Assign a PI Proxy

A PI Proxy is an individual who is authorized by the PI to perform activities in Agreements on the PI's behalf, such as submitting agreements or creating amendments, and who will receive all the same notifications sent to the PI so that they can respond or take action.

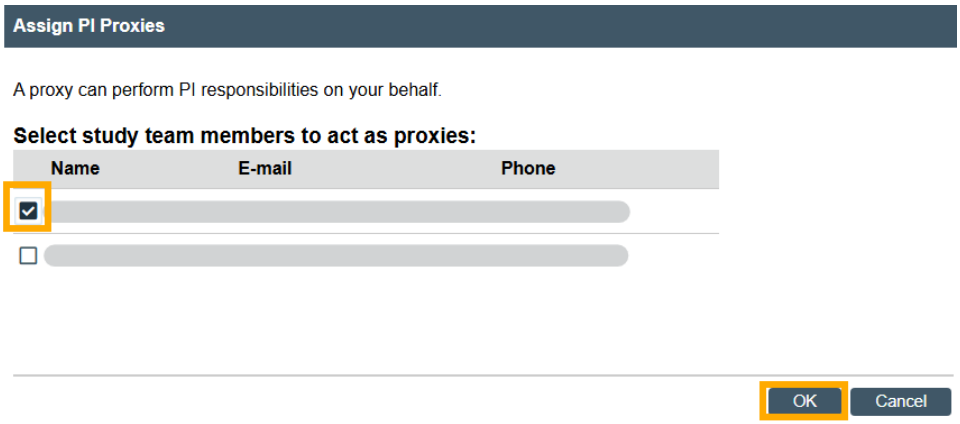
To be assigned as a PI Proxy, the individual must first be listed as an Agreement Collaborator on that agreement. Review the Add an Agreement Collaborator section in this guide for more information. If the individual is not listed as a Collaborator on the agreement, they will not be available for selection in the Assign PI Proxies activity.

To assign a PI Proxy to an agreement, follow the steps below:

1. From your inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click Agreements in the top navigator and locate the agreement in one of the tabs. Then click the agreement name.
   Note: to quickly search through the list of agreements, use the filter and search bar functionality.
2. On the left side of the agreement workspace under Next Steps, click **Assign PI Proxies**.



3. In the Assign PI Proxies activity window, select the agreement collaborators you'd like to act as proxies to perform responsibilities on behalf of the PI.
4. Once you have selected the proxies, click **OK**.



Contact the Owner

After an agreement is assigned an owner, the agreement transitions from the Unassigned state to the **In Review** state in the workflow. If an agreement is in the Pre-Submission or Unassigned states, the Contact Owner activity will not appear because the owner has not yet been assigned in these states. After an owner has been assigned, only the PI, Primary Contact, collaborators, and OSP staff will be able to execute this activity.

To contact the assigned owner on an agreement, follow the steps below.

1. From your inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Agreements in the top navigator and locate the agreement in one of the tabs. Then click the agreement name.
   Note: to quickly search through the list of agreements, use the filter and search bar functionality.
2. On the left side of the agreement workspace under Next Steps, click **Contact Owner**.



3. In the Contact Owner activity window, type in the message you'd like to send to the assigned owner. If needed, you can include attachments; however, this is not required.
4. Once you have entered a message to send to the owner, click **OK**.

When this Contact Owner activity is executed:

- The assigned agreement owner will receive an email notification containing your message and a link to the agreement.
- The activity will be logged under the History tab in the agreement workspace. You can click on the activity hyperlink to open the activity details.

Terminate an Agreement

If an agreement is no longer moving forward, then the agreement should be terminated.

To Terminate an Agreement

1. From your inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.); then click on the agreement name.
   Note: to quickly search through the list of agreements, use the filter and search bar functionality.
2. On the left side of the agreement workspace under Next Steps, click **Terminate,** and then click **OK** to permanently remove the agreement from the workflow.



When the Terminate activity is executed:

- The agreement will move to the “Terminated” state and will be permanently removed from the workflow.
- The agreement will be archived on the Agreements page under the Archived tab.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details which will show a copy of the completed activity form.

Participating in the Review Process

Respond to a Clarification Request

If a reviewer has questions or requires changes to the agreement submission, the PI, Primary Contact, and Proxy on the agreement will receive an e-mail notification indicating clarification is needed.

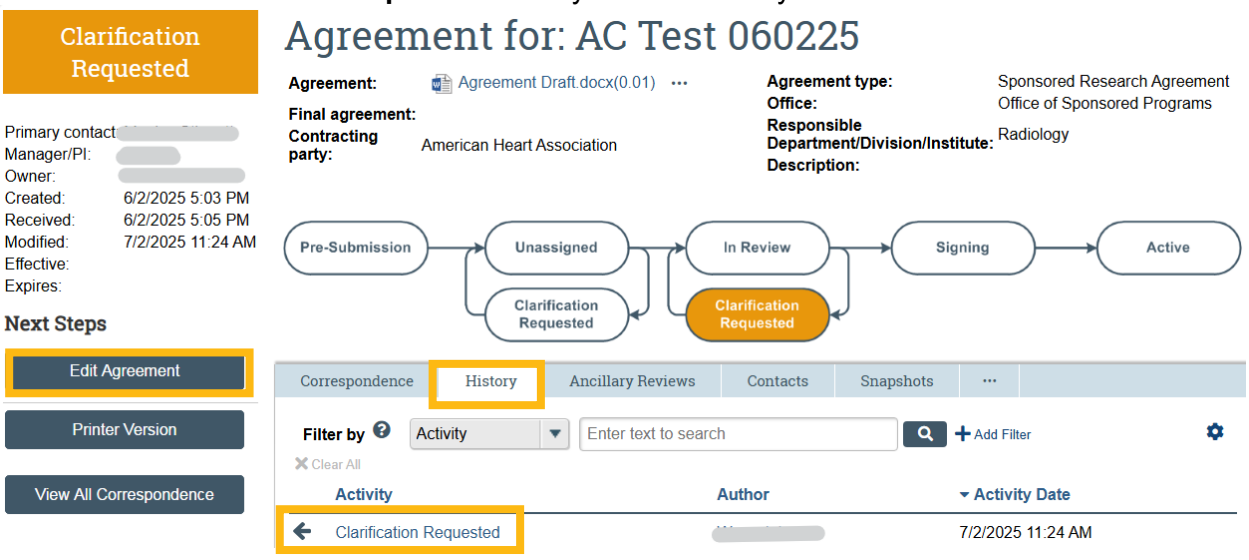
When the agreement is in the Clarification Requested state, it will show in the inbox for the Primary Contact and Collaborators. RAs should monitor their inbox to take action on agreements when they're in this state.

Only the PI, Proxy, and the agreement creator will be able to respond to a clarification request. Collaborators and the Primary Contact will be able to view and edit the agreement in this state; however, they will *not* be able to submit the response to the clarification request.

If you are an RA and you did not create the agreement, and if you will be responsible for responding to clarification requests, then you will need to ask the PI on the agreement to assign you as a PI Proxy to be able to submit changes on the PI's behalf. Review the Assign a PI Proxy section in this guide for more information.

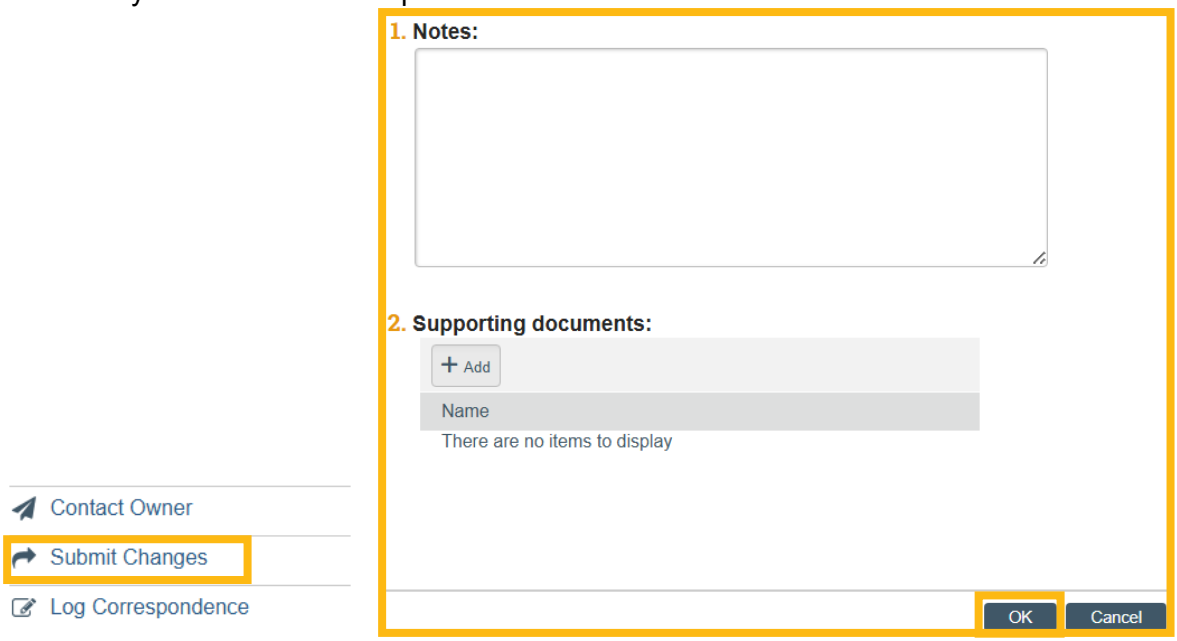
To respond to a clarification request, follow these steps:

1. From your inbox, click the agreement name to open it.
2. From the agreement workspace, click the **History** tab.
3. Look for the **Clarification Requested** activity and review any reviewer comments.



4. If required, click **Edit Agreement** on the left and make the necessary changes.
   Note: you can enter a response for the reviewer before submitting the changes to the agreement.
5. Click Submit Changes.
   Note: In case you need to change the agreement type, make sure to complete the related pages of the agreement type in the Smartform. If you do not complete the mandatory pages or mandatory fields as required, then the system will

validate and present an error message. You will be able to submit any changes only after the validation passes..



6. In the Notes box, type a response to the reviewer's comments or questions. If needed, you may also upload supporting documents.
7. Click **OK** to submit your changes. You have now responded to the clarification request.

When the Submit Changes activity is executed:

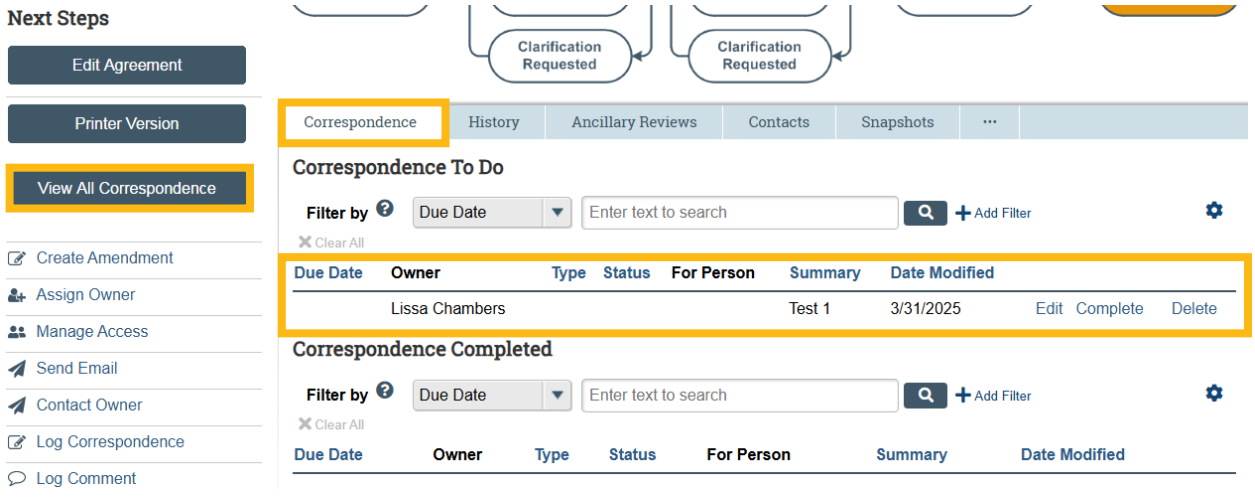
- An email notification will be sent to the assigned owner on the agreement letting them know that you have submitted your changes in response to the clarification requested.
- The agreement will move back into either the Unassigned, Internal Review, or External Review states (returns to the state in which the clarification request was made).
- The activity will be logged under the History tab on the agreement workspace, showing your response to the clarification requested.

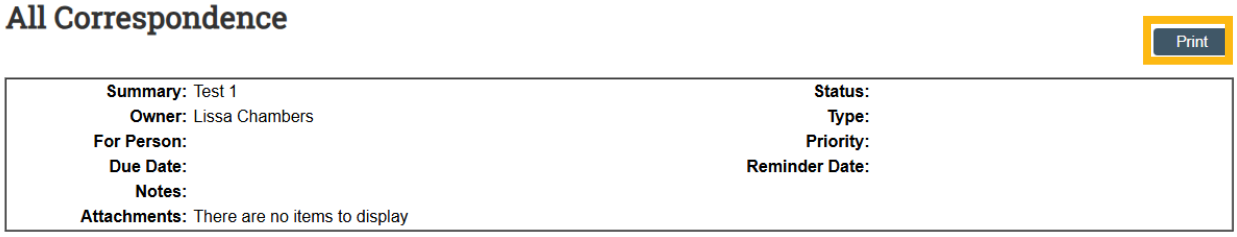
Review Correspondence

The Agreements system offers the ability to log and review correspondence directly on the agreement workspace. The Log Correspondence activity will be used by OSP staff to manage correspondence by status, type, and priority, as well as assign correspondence items to other users, set due dates, trigger reminders, and add notes or attachments. RAs will be responsible for reviewing logged correspondence following the steps below.

To Review Correspondence

1. When correspondence is logged on an agreement for you to review, you will receive an email notification with a link to the agreement. From this notification, click on the link to go to the agreement workspace.
2. On the agreement workspace under the “Correspondence” tab, you can see a list of all logged correspondence to-do items and the due date, owner (i.e., person who the correspondence is assigned to), type, status, the person for whom the correspondence is related, a summary, and the last date modified.
3. On the left side of the agreement workspace under Next Steps, click View All Correspondence.
4. The View All Correspondence window will display the details of all logged correspondence, including any notes or attachments left by OSP staff. You can click Print in the upper right to print a copy of the window and click on the attachment links to download documents.





Managing Amendments

Create and Submit an Amendment

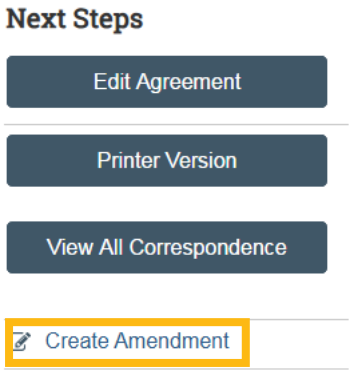
You can create amendments for agreements in the Active, Expired, and Evergreen state. To create and submit an amendment to an agreement, follow the steps below.

Notes:

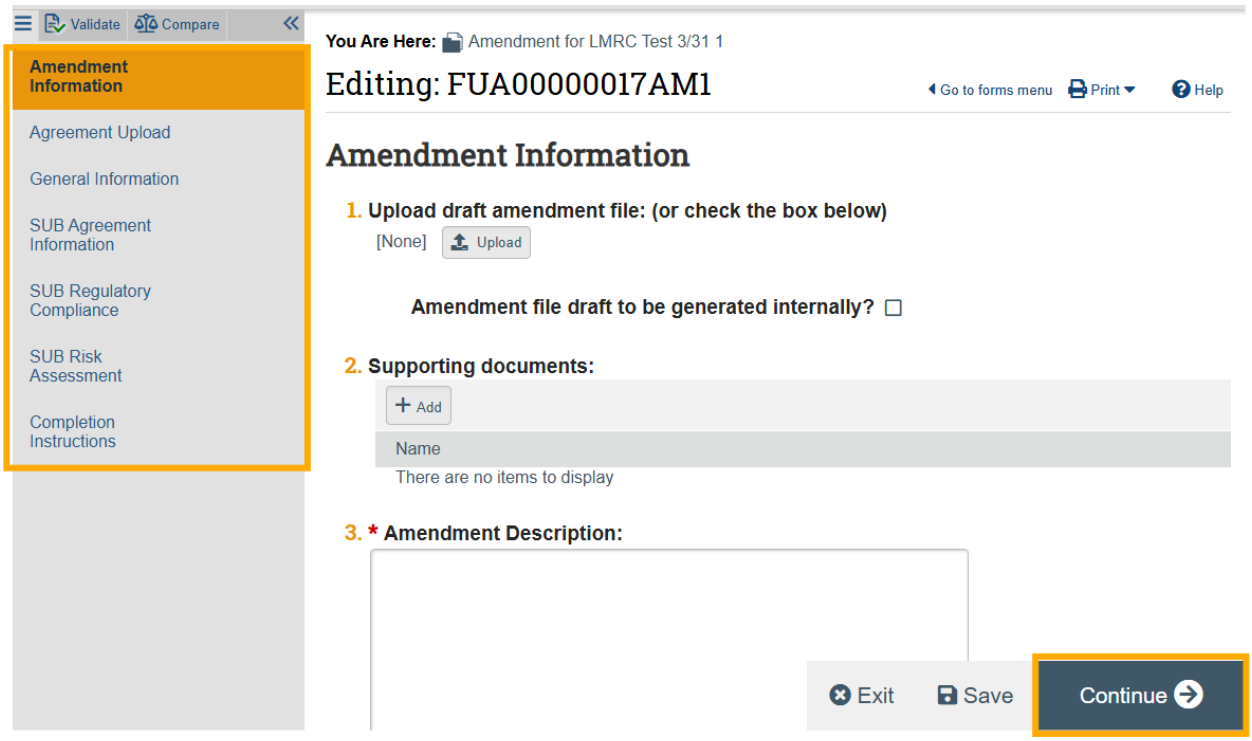
- Only one amendment can be in progress at a time.
- You can add or replace Primary Contact and collaborators for an agreement without creating an amendment. This can be done through the **Manage Access** activity from the parent agreement workspace. Review the Add an Agreement Collaborator (for read/edit access) section in this guide for more information.

Create and Submit an Amendment

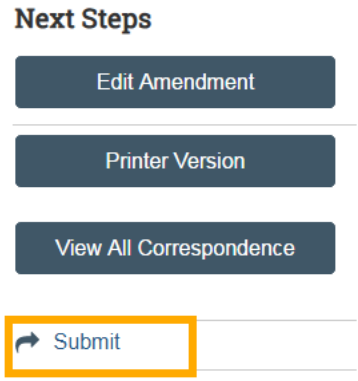
1. In the top navigator, click Agreements.
2. On the All Agreements tab, click the name of the agreement to amend.
   Note: To quickly search through the list of agreements, you can use the "Filter by" search functionality to filter the results.
3. On the left side of the agreement workspace under Next Steps, click **Create Amendment**. The amendment Smartform will open.



4. Make necessary changes to the agreement pages and add amendment documents, including other supporting documents if required.
5. Click **Continue** to move to the next page or use the Left Navigator to jump to a specific page.



6. When you have completed your changes, follow the completion instructions on the last page and then click **Finish**. The amendment workspace will display.
7. At the left side of the workspace under Next Steps, click **Submit** to submit the amendment for review.



8. Click **OK** to confirm the amendment is complete and correct.

When this Submit activity is executed on an amendment:

- The amendment advances to the Unassigned state. The appropriate OSP team will assign a team member to review, negotiate, and sign the amendment.
- The activity will be logged under the History tab on the amendment workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Notes:

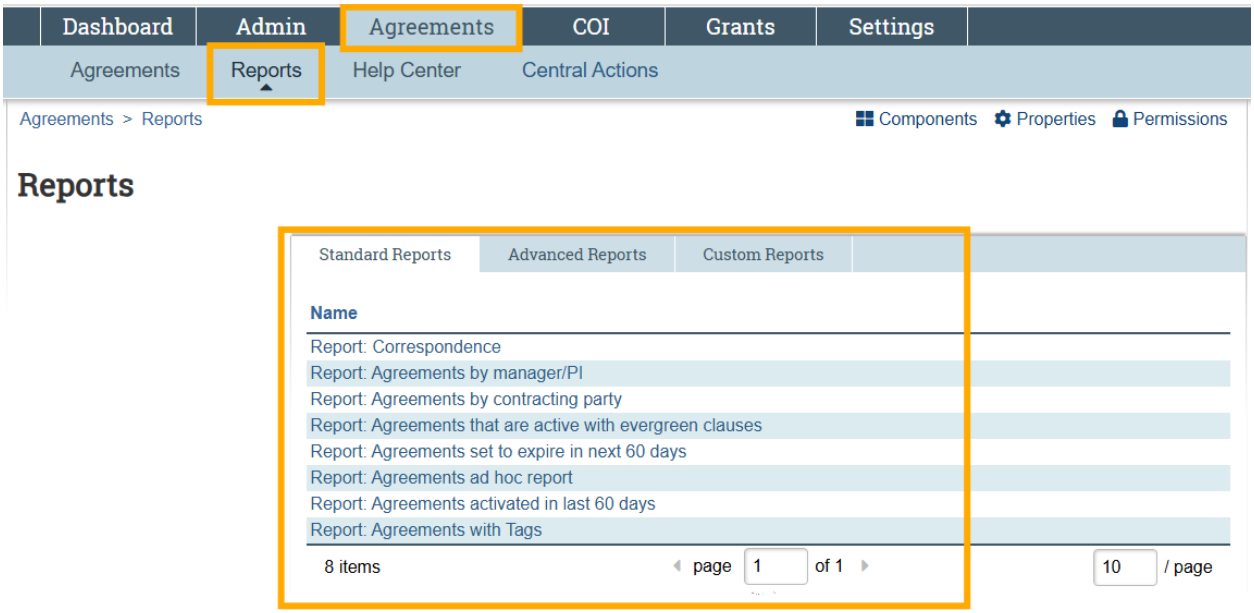
- You can view the amendment workspace from the parent agreement by clicking the **Go to Amendment** button.
- From the parent agreement workspace, you can find information about related amendments under:
    - **Amendments** tab**:** Displays list of amendments initiated for the agreement along with their ID, description, state, and final amendment document link (if any).
    - **Documents** tab**:** Displays name and IDs of the agreement project along with the list of final agreement and amendment files and any supporting documents (in ascending alphabetical order) uploaded in the parent agreement and amendments.

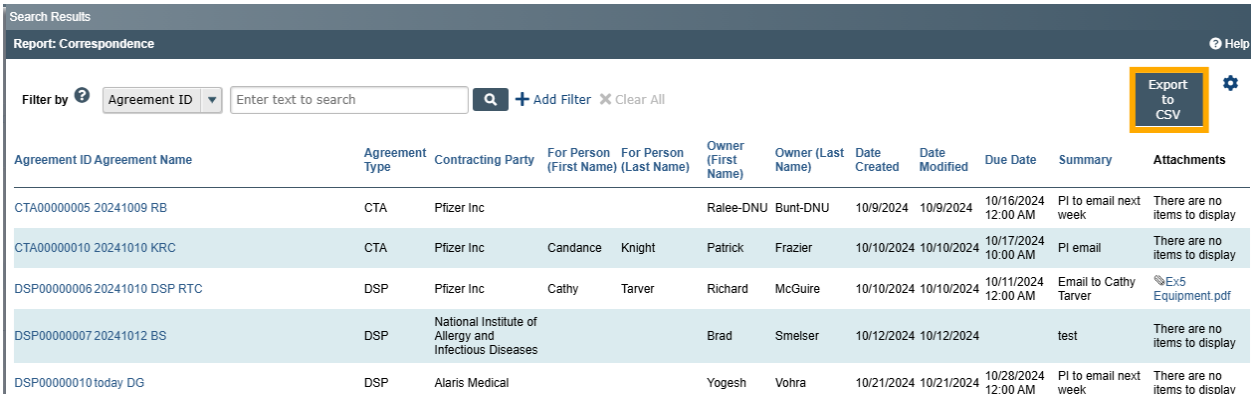
Generating Agreements Reports

Find and Run Reports

To find and run a report, follow the steps below:

1. After logging in, in the top navigator, click Agreements.
2. In the sub-navigator, click Reports.
3. On the Reports page, click the name of the report you want to run. The report results will open in a slide-in window.





In each report, you can use the **Filter by** functionality to filter the list of results. You can also click **Export to CSV** to export the report to a CSV file.

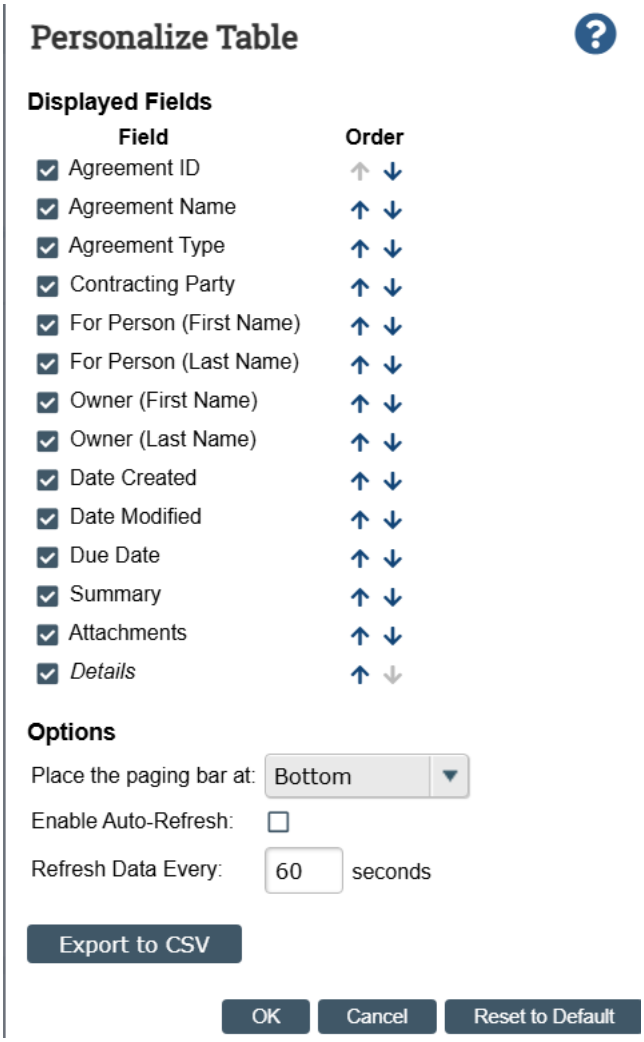
Personalize the Data Display

In addition to filtering information in a report to search for an entry or a list of related entries, you can further personalize how data is displayed in a report table using the personalize gear icon: ⚙ in the top right corner.

Using the Personalize Table options, you can choose to:

- Show or hide fields in a report table
- Change the order of fields in a report
- Change the position of the paging bar in the report slide-in window
- Auto refresh the report table data
- Export report data to a Comma Separated Value (CSV) format for analysis and reporting

Note: Logging out of the system will not affect your saved preferences. The personalization preferences you select are saved in your browser, and they will only go back to the default when you reset them, delete the browser cache, or if you use a different browser.



To hide or show fields:

1. To hide a field in the table, clear the check box next to the field name. Alternatively, select the check box of the field name you want to show in the table.
   Note: by default, all the field name check boxes are selected.
2. Click **OK** to save your changes.

To change the order of the fields click the arrows next to the field names.

To change the position of the paging bar:

1. Click the **Place the paging bar at** arrow and select where you want to display the paging bar.
   Note: by default, the paging bar always displays at the bottom of the table listing. You can change it to display at the top or bottom or both. If you have an extensive list, then having the paging bar at both (top and bottom) helps in viewing the data across pages and controlling the number of items displayed on each page.
2. Click **OK** to save your changes.

To enable auto refresh of table data:

1. Select the **Enable Auto Refresh** check box if you want the system to refresh data in the table automatically.
   Note: if you do not check this box, data will not be refreshed until you have an interaction with the page.
2. In the **Refresh Data Every** box, type the time in seconds to specify how often you want the table data to refresh.
3. Click **OK** to save your changes.

To export the table data to CSV:

1. Click the **Export to CSV** button.
   a. Note: using the personalize options you have currently selected, the entries in your table get exported to a CSV file and downloaded to your system downloads folder. From there, you can open the file with Microsoft Excel to view and edit the data further.

To reset to default:

- In the bottom right corner of the form, click the **Reset to Default** button to go back to the original default table settings.

Appendix

Activities

The table below contains all the activities that can be executed by the research community in Agreements.

The column headers display the following information:

- **Activity Name** – the name of the activity.
- **Completed Name** – after each activity is executed, it will be logged under the History tab on the agreement or amendment workspace. The activity name logged in the history will be in past tense, so the name will differ slightly from the activity name pre-execution.
    - **Note:** The History tab includes the "Filter by" functionality, which allows you to filter and search through the history to quickly find when a specific activity occurred. If the history of an agreement is extensive, knowing the completed activity name will be helpful when locating that activity.

- **Valid States** – in which workflow states the activity is available to be executed.
- **Who can execute?** – which user roles will have permission to execute the activity.

Activity Name	Completed Name	Valid States	Who can execute?
Submit	Submitted	Pre-Submission	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreements Creator
Manage Ancillary Reviews	Managed Ancillary Reviews	Internal Review, External Review, Pre-Submission, Unassigned, Clarification Requested	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator
Submit Ancillary Review	Ancillary Review Submitted	Internal Review, External Review, External Signature, Internal Signature, Pre-Submission, Unassigned, Language Finalized,	• Ancillary Reviewers selected in the Manage Ancillary Reviews activity

Activity Name	Completed Name	Valid States	Who can execute?
		Clarification Requested	
Assign PI Proxies	PI Proxies Assigned	All states	• PI
Manage Access	Managed Access	All states	• PI • Proxy • Primary Contact • Agreement Collaborators • Agreements Reviewer • Agreements Manager • Agreement Creator
Withdraw	Withdrawn	Internal Review, External Review, External Signature, Unassigned, Language Finalized, Clarification Requested, Internal Signature	• PI • Proxy • Agreement Creator
Discard	Discarded	Internal Review, External Review, External Signature, Internal Signature, Pre-Submission, Unassigned, Language Finalized, Clarification Requested	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator
Copy Agreement	Copied Agreement	All States	• Registered Users with access to the agreement
Contact Owner	Owner Contacted	Internal Review, External Review, Expired, External Signature, Evergreen, Language Finalized, Clarification Requested, Internal Signature, Approved, Active	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreements Creator • Agreements Collaborators
Submit Changes	Changes Submitted	Clarification Requested	• PI • Proxy • Agreement Creator

Activity Name	Completed Name	Valid States	Who can execute?
Log Correspondence	Correspondence Logged	All states	• Agreements Reviewer • Agreements Manager
Manage Tags	Tags Managed	All states	• Registered Users with access to the agreement
Create Amendment **Note:* there must not be an existing amendment already in progress.	Amendment Created	Active, Evergreen, Expired	• PI • Proxy • Primary Contact • Agreement Collaborators • Agreements Reviewer • Agreements Manager