

University of
Virginia

ResearchUVA
Powered by Huron

Reference Guide: **Agreements**
Guide for the Research
Community

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1 Introduction

This guide describes how the Research Community (Principal Investigators (PIs), Department Administrators, project team members, etc.) will interact with the ResearchUVA Powered by Huron Agreements module. The Agreements module is used to create, negotiate, and execute funded and non-funded agreements, including outgoing subawards.



Tip: See the “Overview” reference guide on the [ResearchUVA Powered by Huron website](#) for general information on navigation, user roles, searching, and workflow. See the end of this guide for a glossary of ResearchUVA Powered by Huron terminology.



Note: Certain types of agreements will be initiated by the UVA Research Community and other types of agreements will be initiated by the Office of Sponsored Programs (OSP). See the [Understanding Agreement Types and Initiation](#) section of this guide for more guidance on agreement creation.

2 Understanding Agreement Types and Initiation

The table below outlines agreement types and the lists the typical initiator for each agreement type.

Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes
CDA	Confidentiality Agreement	Research Community Member	Also known as: Non-Disclosure Agreement, Confidentiality Agreement, Confidential Disclosure Agreement, Proprietary Information Agreement, or Secrecy Agreement
DUA	Data Use Agreement	Research Community Member	Also known as: Data Transfer and Use Agreement
MTA	Material Transfer Agreement	Research Community Member	
MPA	Multi-Purpose Agreement	Research Community Member	Used for agreements that facilitate the transfer of at least two of the following: data, research material,

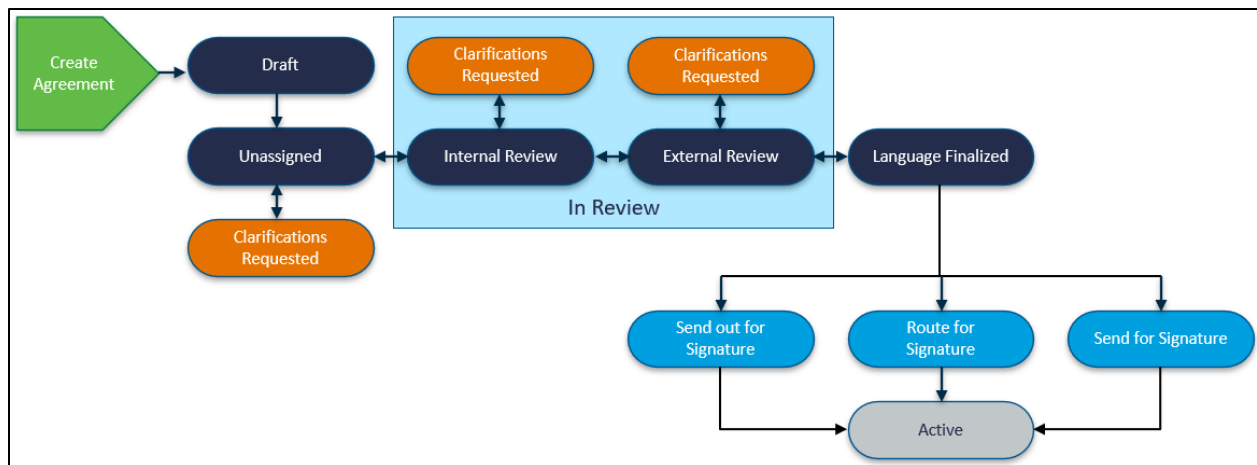
Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes
			confidential/proprietary information
SRA	Sponsored Research Agreement	Office of Sponsored Programs	Also known as: Research Funding Agreement, Grant Funding Agreement, Grant Support Agreement
SUB	Outgoing Subaward	Research Community Member	Also known as: Outgoing Subcontract, Outgoing Subagreement
CSA	Clinical Trial Agreement	Research Community Member	Also known as: Clinical Research Agreement; Retrospective Chart Review, Registry Study Agreement
LA	Licensing Agreement	Research Community Member	Also known as: Software license agreement, End-user license agreement
MA	Master Agreement	Research Community Member of Office or Sponsored Programs	
TA	Teaming Agreement	Research Community Member	
EQP	Physical Asset Loan Agreement	Research Community Member	Also known as: Loan Agreement, Equipment Loan Agreement, Fixed Asset Loan Agreement
CON	Consortium Agreement	Research Community Member	
IP	Intellectual Property Management Plan Agreement		Also known as: Allocation of Rights (AOR)
IFO	Internally Funded Outgoing Award	Research Community Member	Used for agreements in which UVA provides funding from internal sources to an external entity.

Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes
OTH	Other		Other includes Cooperative Research & Development Agreements, Educational Partnership Agreements, Consultant Agreements, Memorandum of Understanding, Capstone, and Visiting Scientist

3 Understanding the Workflow and States (Statuses)

3.1 Agreements Workflow Diagram

The diagram below illustrates the workflow of agreements and amendments.



3.2 Agreements Workflow State Definitions

The following table provides additional information about each of the workflow states:

System Workflow State	Workflow Map State	Description	Notes
Pre-Submission	Pre-Submission	Indicates the Agreement has been created but has not yet been submitted to OSP for review and negotiation.	Any user can create a new agreement.

System Workflow State	Workflow Map State	Description	Notes
Unassigned	Unassigned	Indicates the record (agreement or amendment) has been submitted to OSP, however it has not yet been assigned to an Agreement Owner.	The Agreement Owner is the OSP team member designed as the owner of a specific agreement.
Clarification Requested	Clarification Requested	Indicates the Agreement Owner is requesting additional information from the agreement submitter (PI or Agreement Collaborator). Clarifications can be requested during the Unassigned and/or In Review states.	Only PIs or the Administrative Contact/Primary Contact can submit changes when clarifications are requested. Agreement Collaborators can update the “Administrative Contact” field on the SmartForm to their name if needed. After updating the SmartForm, navigate to the <i>Workspace</i> and look for the “Submit Changes” activity. Clarifications can be requested during the Unassigned or Internal Review states.
Internal Review	In Review	Indicates the Agreement has been assigned to an Agreement Owner within OSP for review. In this state, the Agreement Owner can: <ul style="list-style-type: none"> • Generate the agreement for review 	

System Workflow State	Workflow Map State	Description	Notes
		<ul style="list-style-type: none"> • Edit the agreement or upload a revision • Email the agreement to other users for review • Setup correspondence reminders to follow up with internal, third party, or ancillary reviewers. • Add and notify ancillary reviewers of their reviews (if present) and update ancillary reviews. 	
External Review	In Review	<p>Indicates the Agreement has been sent to an external party outside of UVA for a review.</p> <p>In this state, the Agreement Owner can perform the same actions noted above in the Internal Review state.</p> <p>The Agreement Owner will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.</p>	
Language Finalized	Signing	Indicates all parties have agreed on the agreement language, all required ancillary reviews are complete, and the Agreement	Outstanding required ancillary reviews must be completed/accepted before the

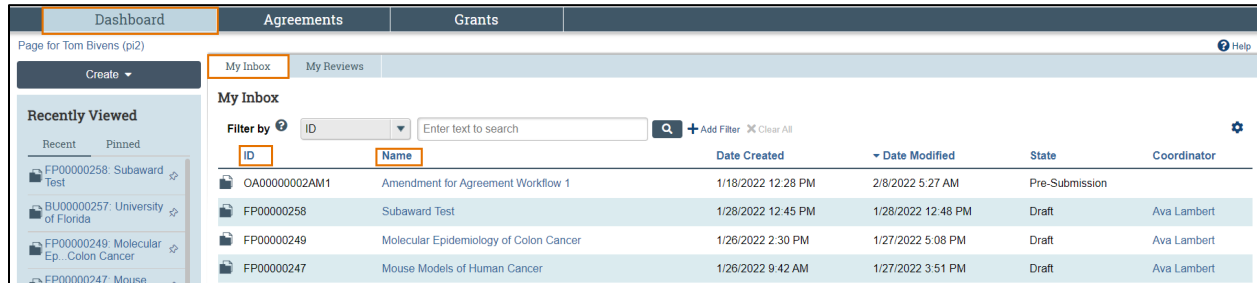
System Workflow State	Workflow Map State	Description	Notes
		Owner has approved the language.	agreement can be moved to this state.
Routing for Signatures (internal, wet ink signatures)	Signing	<p>Indicates the record (agreement or amendment) has been routed within UVA for wet ink signature(s).</p> <p>In this state, the Agreement Owner can upload the final version of the signed document if wet ink signatures were obtained (via the “Revise Agreement” activity) and can convert the agreement to a PDF file (if not done before receiving signatures).</p>	
Out for Signatures (external, wet ink signatures)	Signing	<p>Indicates the record (agreement or amendment) has been sent out to the counterparty for wet ink signature(s).</p> <p>In this state, the Agreement Owner can perform the same actions noted above in the Routing for Signature state.</p>	
DocuSign Signatures (internal and/or external, digital signatures)	Signing	<p>Indicates the DocuSign functionality has been initiated.</p> <p>Check the DocuSign tab on the <i>Workspace</i> for additional details.</p>	When an envelope is completed or voided, the state updates to Routing for Signatures.

System Workflow State	Workflow Map State	Description	Notes
Active	Active	<p>Indicates the <u>Agreement</u> has been signed by all internal and external parties and is in force.</p> <p>In this state:</p> <ul style="list-style-type: none"> • The Agreement Owner can terminate the agreement. • The Study Staff (e.g., PI, PI Proxy, or Administrative Contact/Primary Contact) or Agreement Owner can create an amendment (provided there is no other active amendments to the agreement). 	
Approved	Approved	Indicates the <u>Amendment</u> has been signed by all internal and external parties and is approved.	
Evergreen	N/A	Indicates the Agreement contains an evergreen clause (language authorizing automatic renewal upon expiration).	
Discarded	N/A	Indicates the Agreement is no longer being processed and is removed from the workflow.	The “Discard” activity is available prior to the Active state.
Terminated	N/A	Indicates the Agreement has been terminated.	The “Terminate” activity is available after the Active state
Expired	N/A	Indicates the Agreement has expired.	

4 How to Access a Record

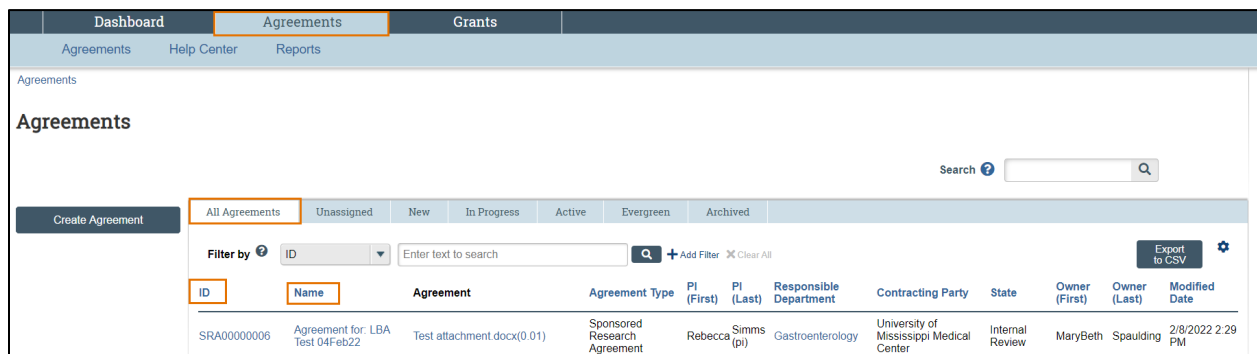
You can access and view Agreement module records you have permission to see in the *Dashboard* or *Agreements Module* pages as shown below.

- **Dashboard, My Inbox page** – This page acts as your to-do list and contains records from any of the ResearchUVA Powered by Huron modules (Grants and Agreements) that require an action from you. To access a record, click on the record **ID** or **Name**.



ID	Name	Date Created	Date Modified	State	Coordinator
OA0000002AM1	Amendment for Agreement Workflow 1	1/18/2022 12:28 PM	2/8/2022 5:27 AM	Pre-Submission	
FP00000258	Subaward Test	1/28/2022 12:45 PM	1/28/2022 12:48 PM	Draft	Ava Lambert
FP00000249	Molecular Epidemiology of Colon Cancer	1/26/2022 2:30 PM	1/27/2022 5:08 PM	Draft	Ava Lambert
FP00000247	Mouse Models of Human Cancer	1/26/2022 9:42 AM	1/27/2022 3:51 PM	Draft	Ava Lambert

- **Agreements Module page** – The All Agreements tab shows all agreements and the other tabs sort agreements by the agreement status. To access a record, click on the record **ID** or **Name**.



ID	Name	Agreement	Agreement Type	PI (First)	PI (Last)	Responsible Department	Contracting Party	State	Owner (First)	Owner (Last)	Modified Date
SRA00000006	Agreement for: LBA Test 04Feb22	Test attachment docx(0.01)	Sponsored Research Agreement	Rebecca	Simms (PI)	Gastroenterology	University of Mississippi Medical Center	Internal Review	MaryBeth	Spaulding	2/8/2022 2:29 PM

5 How to Create an Agreement

Agreements may be initiated by OSP or by members of the UVA Research Community as detailed further below in section [13. Understanding the Agreement Types and Initiation](#). The instructions below cover the two common methods that members of the Research Community will use to create an agreement.

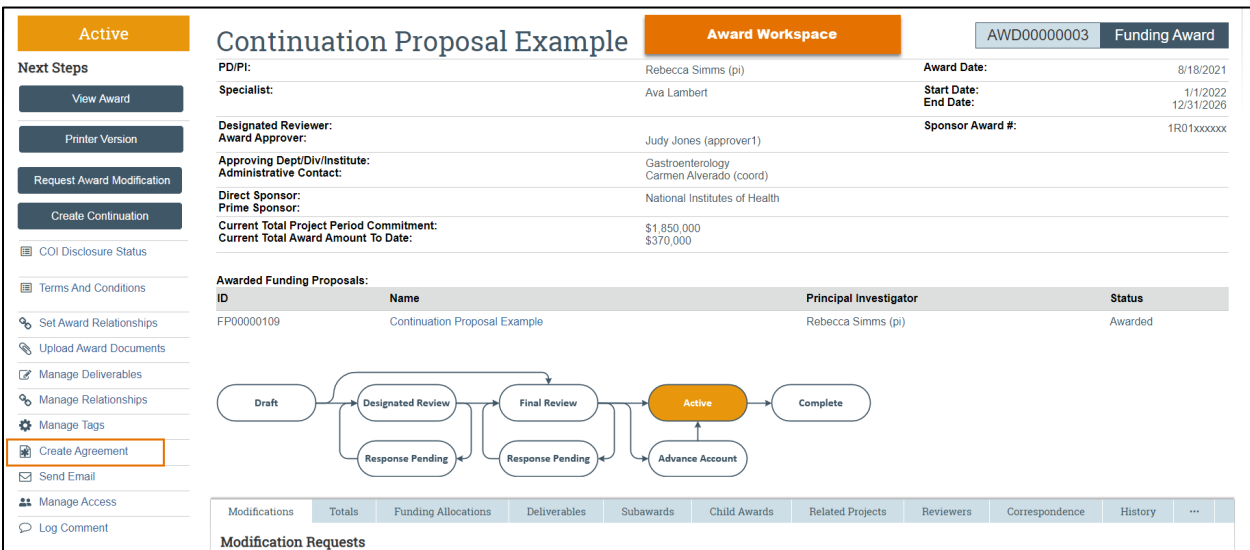
5.1 Create an Agreement from an Award (Grants Module)

The UVA Research Community may need to create an Agreement from an Award. If an NFA (e.g., MTA, DUA) naturally arises from a FP, the field can use the Create Agreement activity. Similarly, if the FP is for a CSA, or involves outgoing subaward(s), it can be utilized. If you receive a bilateral funded agreement from the sponsor, upload it under the 'Award Notice Received' activity under the FP so that OSP can create the appropriate Agreement.

Follow the steps below to create an agreement from an Award in the Grants module:

1. Navigate to the *Awards Workspace* for the award for which you want to create an agreement.

- On the *Awards Workspace*, click **Create Agreement**.



Active Continuation Proposal Example **Award Workspace** AWD00000003 Funding Award

Next Steps

- View Award
- Printer Version
- Request Award Modification
- Create Continuation

COI Disclosure Status

Terms And Conditions

Set Award Relationships

Upload Award Documents

Manage Deliverables

Manage Relationships

Manage Tags

Create Agreement

Send Email

Manage Access

Log Comment

PD/PI: Rebecca Simms (pi)
Specialist: Ava Lambert
Award Date: 8/18/2021
Start Date: 1/1/2022
End Date: 12/31/2026
Sponsor Award #: 1R01xxxxxx

Designated Reviewer:
Award Approver: Judy Jones (approv1)
Approving Dept/Div/Institute: Gastroenterology
Administrative Contact: Carmen Alverado (coord)

Direct Sponsor: National Institutes of Health
Prime Sponsor:

Current Total Project Period Commitment: \$1,850,000
Current Total Award Amount To Date: \$370,000

Awarded Funding Proposals:

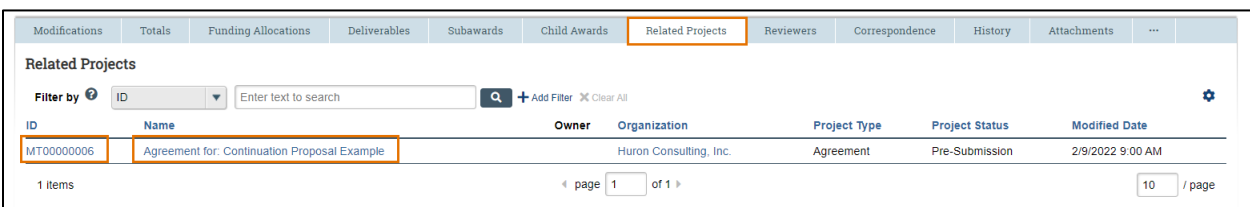
ID	Name	Principal Investigator	Status
FP00000109	Continuation Proposal Example	Rebecca Simms (pi)	Awarded

Draft → Designated Review → Final Review → Active → Complete
 Response Pending → Designated Review
 Response Pending → Final Review
 Advance Account → Active

Modifications Totals Funding Allocations Deliverables Subawards Child Awards Related Projects Reviewers Correspondence History ...

Modification Requests

- In the *Create Agreement* window, select the **Agreement Type** from the drop-down and click **OK**. This activity creates a related agreement in the Pre-Submission state.
- To navigate to the Agreement that was created in the preceding step, click on the **Related Projects** tab of the *Awards Workspace*. Click on the **Agreement ID or name** to navigate to the *Agreements Workspace*.



Modifications Totals Funding Allocations Deliverables Subawards Child Awards **Related Projects** Reviewers Correspondence History Attachments ...

Related Projects

Filter by ID Enter text to search + Add Filter X Clear All

ID	Name	Owner	Organization	Project Type	Project Status	Modified Date
MT00000006	Agreement for Continuation Proposal Example		Huron Consulting, Inc.	Agreement	Pre-Submission	2/9/2022 9:00 AM

1 items page 1 of 1 10 / page

- On the *Agreements Workspace*, click **Edit Agreement** to open and edit the agreement.
- Complete the Agreement SmartForm pages and move the agreement forward in the workflow using the directions in next section, [Create and Submit an Agreement from the Agreements Module](#).

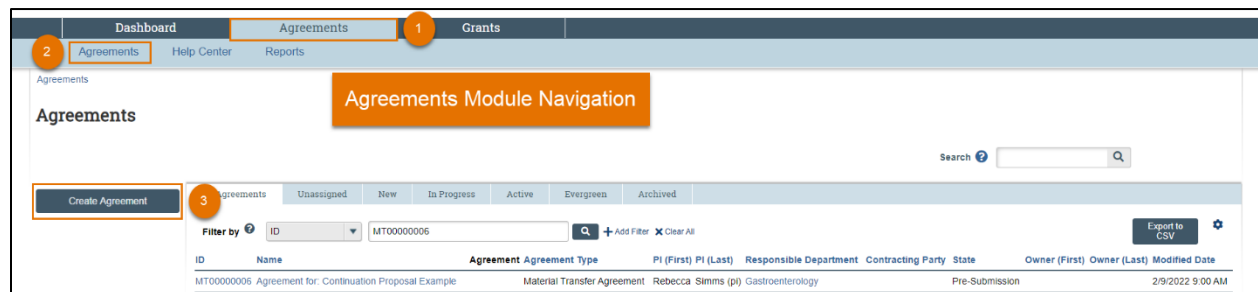
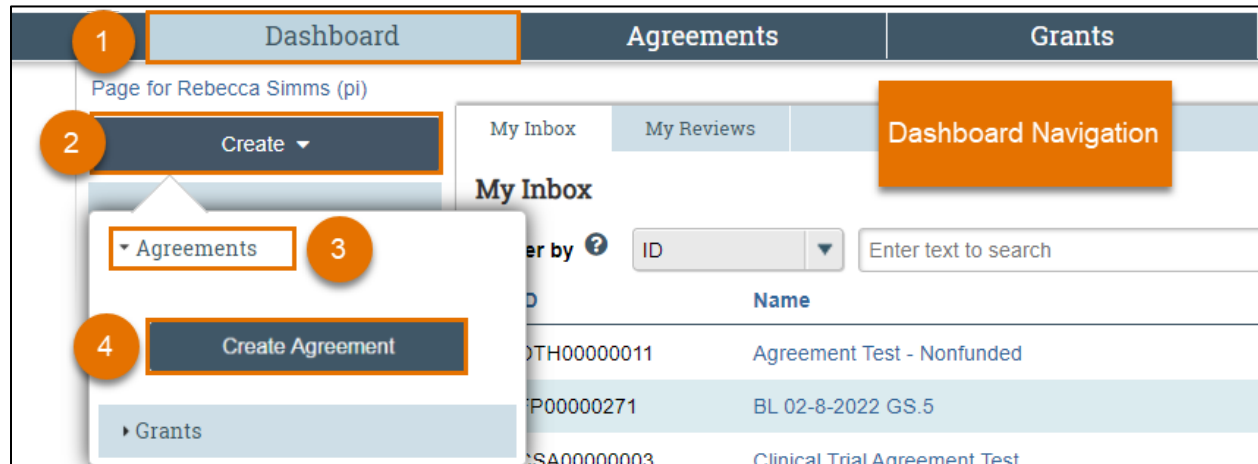


Note: Creating an agreement using these directions establishes the relationship between an award and agreement; you will not have to link the agreement to an award using the “Manage Relationships” activity as described below. The system automatically names agreements created from awards so you may want to change the default agreement title to a more appropriate title on the Agreement Upload page using the directions below.

5.2 Create an Agreement in the Agreements Module


Follow the steps below to create an agreement directly in the Agreements module:

1. On the *Dashboard* page or *Agreements Module* page, click the **Create Agreement** button.




2. Complete the Agreements SmartForm (series of Agreement submission pages).
 - a. *Agreement Upload* page – Complete the questions and note the following points. Click **Continue** when finished.
 - i. **1. Agreement Manager/Principal Investigator** – Enter or search for the PI's name.
 - ii. **2. Administrative Contact** – This field is automatically populated with the person who created the agreement but can be changed if necessary.
 - iii. **3. Upload agreement draft** – Upload a draft of the agreement document if available, or use the **First draft to be generated internally** checkbox if applicable.
 - iv. **4. Project Title or identifier** – Click the help link for guidance on how to name the agreement record.
 - v. **5. Agreement type** – Select the agreement type.
 - vi. **6. Description** – Provide a succinct description of the agreement.

- vii. **7. Supporting documents** – Attach any supporting documents that may be required to review or issue the agreement. Documents uploaded here will also appear in the Documents tab of the workspace.
 - viii. **8. Does this request require UVA to provide funding (>\$500) to an outside party for goods and services?** – Answer Yes or No as appropriate. As described in the help text, this question is aimed at ensuring that the agreement should not be routed through the appropriate procurement office to secure goods and/or services, as opposed to the Office of Sponsored Programs.
- b. **General Information Page** – Complete the questions and note the following points. Click **Continue** when finished.
- i. **1. Select a counterparty or the subrecipient** – Select or enter the external party associated with this agreement. If needed, you can add additional counterparties below with question 6.


 **Note:** Use the New counterparty name box in Question 1 if you cannot find the organization in the list. Using this box alerts the OSP Info Team that a new counterparty should be entered in UVA systems (new counterparties will be added to Workday and ResearchUVA PBH). When adding a new counterparty, the Info Team completes a comprehensive process that requires compliance verification and information gathering steps.

- ii. **2-4. For Questions 2 – 4**, enter the contact information for the counterparty. The counterparty name and one other contact element (e-mail address or phone number) are required.


 **Important:** If you do not enter the counterparty e-mail or phone number here you will not receive a validation error within the SmartForm; however, you **will** receive a validation error when trying to submit the agreement (using the “Submit” activity). To resolve this submission error, navigate back to the editable agreement and enter the counterparty contact information on the General Information page.


- iii. **5. Responsible department/division/institute** – This field will default to the department/division/institute of the Agreement Manager/PI entered on the *Agreement Upload* page. If the default field is not correct, select the UVA organizational unit responsible for this agreement.
- iv. **6. Agreement collaborators** – Add any UVA team members or leadership that may need read/edit access for the agreement (e.g., Department Administrators). If you are re-assigning the Administrative Contact/Primary Contact for any reasons add yourself to the collaborator list as well to maintain read/edit access to the agreement.
- v. **7. Additional counterparties** – List any additional counterparties not listed in Question 1 above.

- vi. **8. Counterparty address** – Enter the address for the counterparty listed in Question 1.
- c. Additional SmartForm pages – Additional SmartForm pages may display based on the agreement type selected on the *Agreement Upload* page. Complete the questions on the additional pages as necessary and click **Continue** to navigate to the **Completion Instructions** page.
- d. *Completion Instructions* page – This page is informational only and requires no data entry. When ready, click **Finish** to complete the SmartForm. The *Agreements Workspace* now displays.

 **Important:** Do not submit the agreement. Follow the instructions below to request PI certification and approval from the cognizant Submitting Office Officials according to your unit's business process via the *Manage Ancillary Review Activity* (review process). The recipients of the *Ancillary Review* will review your agreement and approve the *Ancillary Review*. Once you have approvals from the PI and cognizant Submitting Office Officials according to your unit's business process, execute the "Submit" activity to move the agreement to OSP for review and negotiation.

3. If there is an existing Proposal/Award record also in the Grants module, use the [Manage Relationships](#) activity on the *Agreements Workspace* to link the records.
4. When the agreement is ready for Submitting Office (unit-level) review, click the **Manage Ancillary Review** activity. In Question 1, select the appropriate approver such as the cognizant Submitting Office Official as the Person field. In Question 2, select the review type of either PI Certification or Dean's Office. Note that department chair approvals may be categorized as Dean's Office. Select that a response is required in Question 3 and add any relevant comments or documents. Then Click **OK** to move the *Ancillary Review* to the PI or cognizant Submitting Office Official's Dashboard for review. The steps described in this section may be repeated depending on the number of approvals required for the submitting unit.

 **Note:** In the case of requesting a *Clinical Trial Agreement (CSA)*, a *Funding Proposal* in the *Grants Module* will likely be associated with the *CSA*, however the *CSA* in the *Agreements Module* may precede the submission of the *Funding Proposal*. If the *Funding Proposal* has already been approved, the *CSA* may be submitted without using the *Manage Ancillary Review* process for unit-level review as it will have already been approved in the *Funding Proposal*. If the *Funding Proposal* has not yet been approved, then proceed with the unit-level approval process described above according to your unit's business process.

 **Note:** You are now finished with the agreement creation process. After submitting your agreement to OSP, the state will update to *Unassigned*.

Unassigned

MT00000008

MTA for mice

Primary contact: Rebecca Simms (pi)
 Manager/PI: Rebecca Simms (pi)
 Owner:
 Created: 2/9/2022 9:23 AM
 Received: 2/9/2022 9:37 AM
 Modified: 2/9/2022 9:37 AM
 Effective:
 Expires:

Next Steps

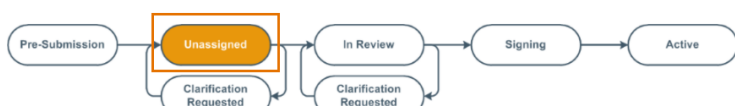
Edit Agreement

Agreement: Test attachment.docx(0.01) ...

Final agreement:

Contracting party: University Of Miami

Agreement type: Material Transfer Agreement
Office: Office of Sponsored Programs
Responsible Department/Division/Institute: Huron Consulting, Inc.
Description:



Important: Agreements remain editable to you while in the Pre-Submission and Unassigned states. After the agreement has been moved to the Internal Review state (which indicates an Agreement Owner has been assigned), you will have view only access to the agreement.

6 How to add an Agreement Collaborator

Follow the steps below to add an Agreement Collaborator (someone who needs read/edit access). As noted above, these steps can be completed while the agreement is in an editable state (Pre-Submission or Unassigned states).

1. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace*, click the **Edit Agreement** button.
3. Click the **Continue** button to navigate to the second page of the SmartForm (*General Information* page).
4. On the *General Information* page, add the Agreement Collaborators to Question 6.

6. Agreements collaborators: (institutional staff given read/edit permissions for this Agreement)

...

Name	E-mail	Phone
There are no items to display		

5. When complete, click **Save** and **Exit**.

7 How to contact the Agreement Owner

Once an Agreement Owner has been assigned to an agreement, you may contact the Agreement Owner within the system.

Note: The Agreement Owner is the OSP team member designed as the owner of a specific agreement.

Follow the steps below to contact the Agreement Owner:

1. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace*, click the **Contact Owner** activity.

Clarification Requested

CTA00000004
Agreement for: Test of FP Notification 08-23-2021

Primary contact: Ava Lambert
 Manager/PI: Rebecca Simms (pi)
 Owner: MaryBeth Spaulding
 Created: 12/1/2021 10:29 AM
 Received: 12/2/2021 10:28 AM
 Modified: 3/1/2022 12:00 AM
 Effective:
 Expires:

Next Steps

Edit Agreement

Printer Version

View All Correspondence

Manage Access

Contact Owner

Submit Changes

Assign PI Proxies

Withdraw

Discard

Copy Agreement


Manage Relationships

Agreement: IRB approval.pdf(0.01) ...

Final agreement:

Contracting party: Spencer Foundation

Agreement type: Clinical Trial Agreement
Office: Office of Sponsored Programs
Responsible Department/Division/Institute: Gastroenterology
Description: Testing MBS



Correspondence History Contacts Snapshots Related Projects Documents

Correspondence To Do

Filter by Due Date + Add Filter × Clear All

Due Date	Owner	Type	Status	For Person	Summary	D
No data to display.						

Correspondence Completed

Filter by Due Date + Add Filter × Clear All

Due Date	Owner	Type	Status	For Person	Summary	D
----------	-------	------	--------	------------	---------	---

3. In the *Contact Owner* window, enter a message and include any attachments (if applicable).
4. When complete, click **OK**.

Contact Owner

1. * Message:

2. Attachments:

+ Add

Name
There are no items to display

OK **Cancel**

5. The Agreement Owner will receive an email with the message and attachments included.

8 How to Submit a response to the Agreement Owner when Clarification is Requested

Follow the steps below to submit a response for clarification to the Agreement Owner:

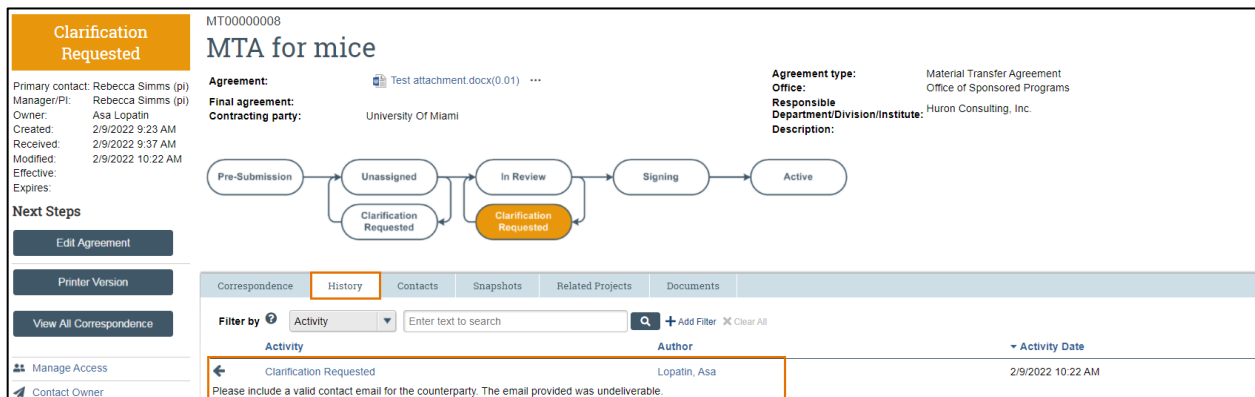
Note: Only PIs or the Administrative Contact/Primary Contact can submit changes when clarifications are requested. Agreement Collaborators can update the “Administrative Contact” field on the SmartForm to their name if needed. After updating the SmartForm, navigate to the Agreements Workspace and look for the “Submit Changes” activity.

Note that the email notification requesting clarifications will go to the PI, Study Team, and Primary Contact.

1. Access the agreement in one of three ways:
 - a. From the system generated email, click on the Agreement ID **Link**, or
 - b. Click on the agreement name on the *Dashboard*,
 - c. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace*, review the “Clarification Requested” activity listed on the History tab. This activity includes comments from the Agreement Owner with the additional information needed.

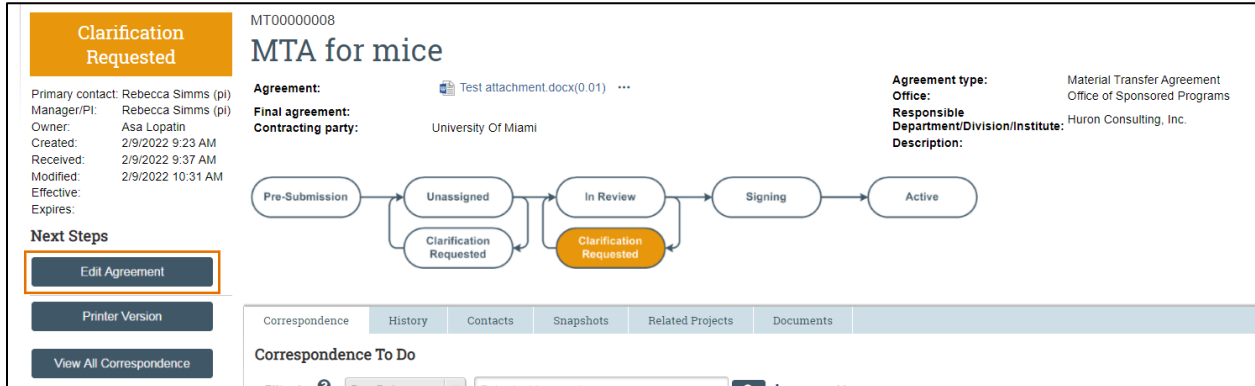


Tip: Click the name of the Activity (e.g., “Clarification Requested”) to see additional details about the activity.



The screenshot displays the 'Clarification Requested' interface for agreement ID MT00000008, titled 'MTA for mice'. On the left, a sidebar lists contact information for Rebecca Simms (PI) and Asa Lopatin (Owner), along with creation and modification dates. A 'Next Steps' section includes buttons for 'Edit Agreement', 'Printer Version', and 'View All Correspondence'. The main area features a workflow diagram with stages: Pre-Submission, Unassigned, In Review, Signing, and Active. A 'Clarification Requested' activity is highlighted in orange within the 'In Review' stage. Below the diagram, a 'History' tab is active, showing a table of activities. The table has columns for 'Activity', 'Author', and 'Activity Date'. One activity is listed: 'Clarification Requested' by 'Lopatin, Asa' on '2/9/2022 10:22 AM'. The activity description reads: 'Please include a valid contact email for the counterparty. The email provided was undeliverable.'

3. Provide the information for the clarification requested and note the following points:
 - a. **Editing the Agreement** – When the Agreement Owner requests clarification the agreement SmartForm unlocks and is in an editable state again. Click the **Edit Agreement** button in the *Agreements Workspace* to open the SmartForm and edit any fields.



Clarification Requested

MT00000008
MTA for mice

Primary contact: Rebecca Simms (pi)
 Manager/PI: Rebecca Simms (pi)
 Owner: Asa Lopatin
 Created: 2/9/2022 9:23 AM
 Received: 2/9/2022 9:37 AM
 Modified: 2/9/2022 10:31 AM
 Effective:
 Expires:

Agreement: Test attachment.docx(0.01) ...
Final agreement:
Contracting party: University Of Miami

Agreement type: Material Transfer Agreement
Office: Office of Sponsored Programs
Responsible Department/Division/Institute: Huron Consulting, Inc.
Description:

Pre-Submission → Unassigned → In Review → Signing → Active
 Clarification Requested (highlighted in orange)

Next Steps

Edit Agreement
 Printer Version
 View All Correspondence

Correspondence | History | Contacts | Snapshots | Related Projects | Documents

Correspondence To Do

Filter by: Due Date | Enter text to search | + Add Filter | X Clear All

- i. If updating a document within the SmartForm, use the **Upload Revision** button to upload the revised version of the document. A new version number and Track Changes (for MS Word documents) will be automatically generated for easy review.



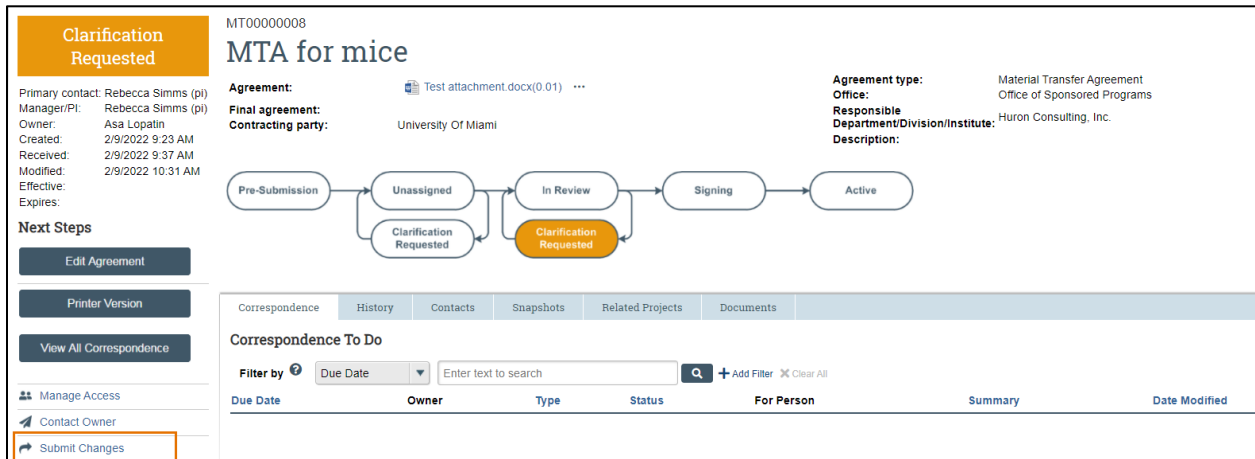
3. * Upload agreement draft: (or check the box below) ?

Test attachment.docx(0.01) ... 1

Download Copy
 Upload Revision 2
 Delete

internally?

4. When you are ready to submit the updates, click the **Submit Changes** activity located on the *Agreements Workspace*. A Submit Response dialog box displays where additional Notes and/or Supporting documents can be provided. When finished, click **OK**.



Clarification Requested

MT00000008
MTA for mice

Primary contact: Rebecca Simms (pi)
 Manager/PI: Rebecca Simms (pi)
 Owner: Asa Lopatin
 Created: 2/9/2022 9:23 AM
 Received: 2/9/2022 9:37 AM
 Modified: 2/9/2022 10:31 AM
 Effective:
 Expires:

Agreement: Test attachment.docx(0.01) ...
Final agreement:
Contracting party: University Of Miami

Agreement type: Material Transfer Agreement
Office: Office of Sponsored Programs
Responsible Department/Division/Institute: Huron Consulting, Inc.
Description:

Pre-Submission → Unassigned → In Review → Signing → Active
 Clarification Requested (highlighted in orange)

Next Steps

Edit Agreement
 Printer Version
 View All Correspondence

Correspondence | History | Contacts | Snapshots | Related Projects | Documents

Correspondence To Do

Filter by: Due Date | Enter text to search | + Add Filter | X Clear All

Due Date	Owner	Type	Status	For Person	Summary	Date Modified
No data to display.						

Manage Access
 Contact Owner
Submit Changes

5. The agreement state returns to its prior state of either Unassigned or In Review and an email is sent to the Agreement Owner to notify them of the update.

9 How to Manage Relationships

Agreement records can be linked to related records in the Grants module or to other agreements in the Agreements module.



Note: Agreement amendments and follow-on proposals cannot be linked using this activity. Instead, the Relationship must be established in the underlying Agreement Workspace.

Follow the steps below to manage relationships between records:

1. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace* page, click the **Manage Relationships** activity.
3. In the *Manage Relationships* window, use the Related Submissions field to either enter the ID or use the ellipsis (“...”) to search for the record.
4. Check the boxes next to the record(s) you want to relate with the agreement.

Manage Relationships
- x

1. Related submissions:

ID	Name	Owner	Organization
There are no items to display			

2. Comments:

3. Supporting documents:

+ Add

Name	Description
There are no items to display	

Select One or More Projects

Filter by ID Go Clear Advanced

Deselect All

Total Selected: 3 1-25 of 391

ID	Name	Organization	Project Type
<input checked="" type="checkbox"/>	FP00000116 08-24-2021 Test	Gastroenterology	Funding Proposal
<input checked="" type="checkbox"/>	NDA00000025 08-27-2021 Test for Amendment	The Rector & Visitors of the University of Virginia	Agreement
<input checked="" type="checkbox"/>	AWD00000061 09-20-2021 Test DAK	Gastroenterology	Funding Award
<input type="checkbox"/>	FP00000141 09-20-2021 Test DAK	Gastroenterology	Funding Proposal
<input type="checkbox"/>	FP00000143 09-21-2021 DAK Test	The Rector & Visitors of the University of Virginia	Funding Proposal
<input type="checkbox"/>	AWD00000024 09-22-2021 DAK Test	Gastroenterology	Funding Award
<input type="checkbox"/>	FP00000144 09-22-2021 DAK Test	Gastroenterology	Funding Proposal
<input type="checkbox"/>	FP00000151 10.18 Example Proposal	Biochemistry	Funding Proposal
<input type="checkbox"/>	FP00000184 11-17-2021 Test Proposal	Gastroenterology	Funding Proposal

5. When complete, click **OK**. Linked records can be reviewed on the Related Projects tab of the *Agreements Workspace*.

Correspondence
History
Contacts
Snapshots
Related Projects
Documents

Related Projects

Filter by ID Enter text to search + + Add Filter × Clear All

ID	Name	Owner	Organization	Project Type	Project Status	Modified Date
NDA00000025	08-27-2021 Test for Amendment	Orlando Max (rev1)	University of Virginia	Agreement	Expired	8/29/2021 12:00 AM
AWD00000061	09-20-2021 Test DAK	Ava Lambert	Gastroenterology	Funding Award	Draft	1/21/2022 9:40 AM
FP00000116	08-24-2021 Test	Ava Lambert	Gastroenterology	Funding Proposal	Not Submitted	8/27/2021 3:55 PM

10 Reviewing Correspondence

Agreement Owners (OSP staff) can log correspondence items on an agreement to track to-do tasks or completed tasks, such as emails and phone calls with the counterparty. All users can view correspondence.

Correspondence logged by the Agreement Owner can be reviewed on the Communication tab within the *Agreements Workspace* and is organized into “To Do” and “Completed” sections.

Below is an example correspondence logged by the Agreement Owner:

Correspondence	History	Contacts	Snapshots	Related Projects	Documents
Correspondence To Do					
Filter by Due Date <input type="text" value="Enter text to search"/> + Add Filter Clear All					
Due Date	Owner	Type	Status	For Person	Summary
2/18/2022 12:00 AM	Asa Lopatin		Waiting on Response		MTA sent for relatedness review
Correspondence Completed					
Filter by Due Date <input type="text" value="Enter text to search"/> + Add Filter Clear All					
Due Date	Owner	Type	Status	For Person	Summary
2/9/2022 12:00 AM	Asa Lopatin	Email Out	Completed		Emailed counterparty

11 How to Create and Submit an Agreement Amendment

Follow the steps below to create and submit an agreement amendment:

1. Navigate to the *Agreements Workspace*.



Note: Amendments can only be created for Agreements in the Active, Expired, and Evergreen states.


2. On the *Agreements Workspace* page, click the **Create Amendment** activity.
3. The system navigates you to the first page of the Amendment SmartForm, which mirrors the Agreements SmartForm. Notice the Amendment has the same ID as the Agreement, but is suffixed with “AMX”, where “X” is the Amendment number
4. On the Amendment Information page, upload any applicable documents and enter an Amendment Description.



Note: If a draft amendment is uploaded, signatures are typically necessary, and the amendment will follow the same workflow as an agreement.

5. Update the pages of the Amendment SmartForm as necessary and click the **Continue** button on each page. On the Completion Instructions page, click the Finish button to navigate to the *Amendment Workspace* page.
6. On the *Amendment Workspace*, note the amendment is in the Pre-Submission state.

7. Complete any additional tasks as necessary. When you are ready to submit the amendment, route for any unit/school level review, following the process described in Section 3.2(4). After submission, the amendment will be in the Unassigned state.

 **Note:** As with the Agreement SmartForm, the Amendment SmartForm can be edited by the Research Community in both the Pre-Submission and Unassigned states.


12 How to Withdraw an Agreement

Use the “Withdraw” activity to remove an agreement or amendment from the workflow. Completing this activity will return the agreement to the Pre-Submission state and the “Submit” activity will become available again (for when the record is ready to be resubmitted into the workflow). Potential reasons to withdraw an agreement include change in the scope or nature of the project, changing the agreement type, sponsor communication indicating the need for delay, etc. This list is not exhaustive.

 **Note:** This activity is only available to the PI or Administrative Contact/Primary Contact.

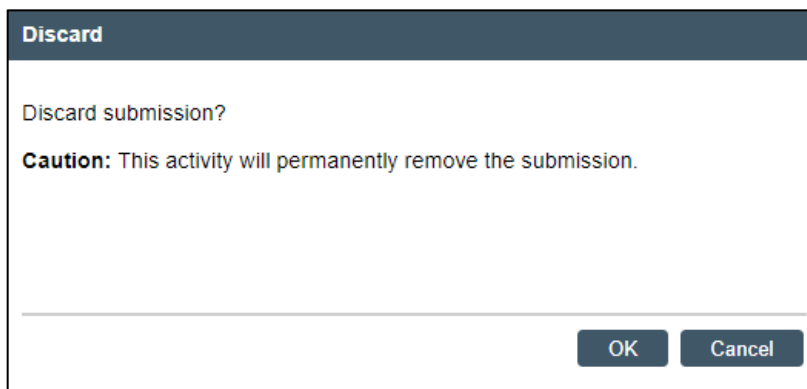
13 How to Discard an Agreement

Use the “Discard” activity to remove an agreement or amendment from with workflow before it has been moved to the Active or Approved state. Completing this activity will permanently remove the submission from the workflow. Potential reasons to discard an agreement include departing PI, acquiring materials from another source, or the agreement is no longer needed. This list is not exhaustive.

 **Note:** This activity is available to all roles and results in a permanent action. **The SmartForm data is deleted and cannot be resubmitted after using this activity. Instead users must submit a completely new request.**

Follow the steps below to discard an agreement:

1. On the *Agreements Workspace*, click the **Discard** activity.
2. In the Discard window, click **OK**.



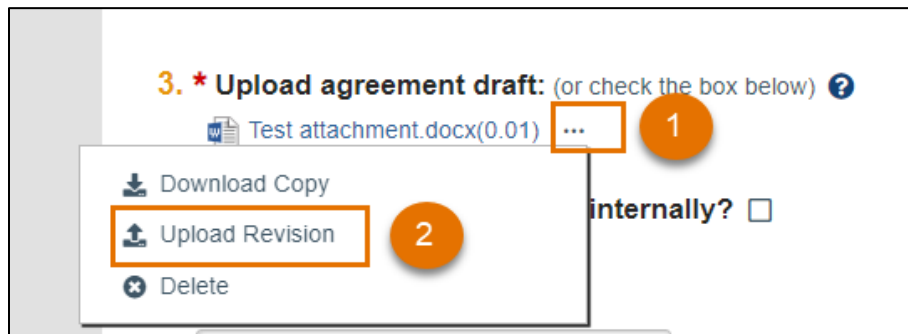
The screenshot shows a dialog box titled "Discard" with a dark header. The main content area contains the text "Discard submission?" followed by a "Caution" message: "Caution: This activity will permanently remove the submission." At the bottom right of the dialog box, there are two buttons: "OK" and "Cancel".

3. When the system returns to the *Agreements Workspace*, the state is updated to Discarded.

14 How to Manage Documents on Agreements

Documents can be uploaded to the Agreements module via the SmartForms and through various activities on both the agreement and amendment records; however, it is important to note that only documents uploaded in certain places within the system ([described below in Section 12.1](#)) display on the Documents tab of the *Agreements Workspace*.

Note: Throughout the agreement and amendment processes, you will notice an ellipsis (...) where documents are present. This ellipsis allows you to perform three tasks as shown below. At times, you may need to upload a revised document, and you may do so by clicking on the ellipsis and selecting **Upload Revision**.



Once **Upload Revision** has been selected, a slide-in window appears where you can select and upload the new document:

Note: You can Upload Revisions on the SmartForm when it is still in an editable state.

The subsections below describe how to best locate and manage documents associated with agreements and amendments.

14.1 Managing Documents on an Agreement

Documents displayed on the Documents tab of the *Agreements Workspace* can be uploaded in the following places:

- Supporting documents on the Agreement Upload SmartForm
- Approve Language
- Administrative Change – Upload Revision

Note: Documents can be managed in this activity. Documents uploaded here will also appear in the Documents tab of the workspace.

- Supporting documents and the final file uploaded via the Amendment Information SmartForm

Documents attached using the following activities only display in the History tab:



Note: Some activities are restricted based on user role so you may not have all these activities present on your Agreements Workspace.

- Assign Owner
- Ancillary Reviews (located in the Supporting Docs column in the Documents table)
- Email Agreement
- Move to External Review
- Move to Internal Review
- Contact Owner
- Request Clarification (when the contact person Submits Changes and includes an attachment, that file also appears in the History tab)
- Log Correspondence (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Revise Agreement
- Copy Agreement
- Generate Agreement (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Manage Relationships

14.2 Managing Documents on an Amendment

Unlike the parent agreement, the *Amendments Workspace* does not have a Documents tab. Documents displayed on the *Amendments Workspace* can be uploaded via the Amendment Information SmartForm.



Note: For Amendments - supporting documents and the final document file uploaded on the Amendment Information SmartForm will also appear on the Documents tab of the parent Agreements Workspace.

Documents attached using the following activities only display in the History tab of the *Amendment Workspace*:

- Assign Owner
- Manage Ancillary Reviews (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Email Agreement
- Move to External Review
- Move to Internal Review

- Contact Owner
- Request Clarification (when the contact person Submits Changes and includes an attachment, that file also appears in the History tab)
- Log Correspondence (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Revise Agreement
- Generate Agreement (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Approve Language (must “View More Details” and then view the Documents tab that is present in the Activity Details page)



Note: For Amendments, supporting documents uploaded via the “Approve Language” activity will also appear on the Documents tab of the parent *Agreements Workspace*.

15 ResearchUVA Powered by Huron Glossary

The following table provides additional information about terminology used within ResearchUVA Powered by Huron:

Term	Definition	Notes
Activities	Actions that can be executed by a user to update a record.	
Agreement	A record created in ResearchUVA Powered by Huron to manage funded agreements, non-funded agreements, internally funded outgoing awards, and outgoing subawards.	Agreements have separate IDs from related Grants module records.
Award	A record created in ResearchUVA Powered by Huron after a sponsor has indicated they will fund the research submitted in the proposal.	Awards and Funding Proposals are contained in the Grants module. Awards have separate IDs from the associated Proposal and, if applicable, the associated Agreement record in ResearchUVA Powered by Huron.

Term	Definition	Notes
Help Center	Contains Huron-generated reference guides and videos which provide step-by-step instructions on how to use the system. Please refer to the resources section of the ResearchUVA PBH website [link] , and this guide, for UVA-specific guidance.	
ResearchUVA Powered by Huron	An Electronic Research Administration (eRA) system used for research administration at UVA.	ResearchUVA Powered by Huron includes two modules: Grants and Agreements. This Reference Guide covers the Agreements module.
ID	Auto-generated identification number created by ResearchUVA Powered by Huron for each record created (e.g., FP00000001, AWD00000017).	Proposal IDs and Award IDs replace the ID from Proposal Central.
My Inbox	Dashboard for users that contains to-do list for any user.	
Proposal (or Funding Proposal)	A record created in ResearchUVA Powered by Huron that contains submission information for a research project that will be submitted to a sponsor for funding.	Proposals have separate IDs from their associated Awards.
Record	A submission created within ResearchUVA Powered by Huron. Examples include proposals, awards, award modification requests, award modifications, agreements, etc.	
SmartForm	A series of pages completed with information about the record (e.g., proposal, award, etc.).	
State	The status of a record.	
Workflow	The process through which a record passes from beginning to end.	

Term	Definition	Notes
Workspace	Contains key information associated with the record (State, Title, ID, etc.) and contains various buttons and links to perform Activities.	