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1. Overview

The IBISResearch Agreements User Guide is designed to guide users through the functionality of the Agreements module in IBISResearch, which includes step-by-step procedures for system access and use.

2. Understanding IBISResearch Agreements

IBISResearch Agreements is a contract management solution that supports management of financial and non-financial research-based agreements for all agreement types. Agreements are managed through a simplified workflow, while simultaneously tracking and logging third-party and internal communications.

Agreements submitted by the University of Miami research community in IBISResearch are routed to the Office of Research Administration.

2.1. Commonly Used Features

This section describes common functionality used throughout the system.

<table>
<thead>
<tr>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Navigation Bar</td>
<td>Displays across the top of the system and provides access to the My Inbox and the Agreements page.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> You can navigate to the IBISResearch Grants module from the tab on the top Navigation Bar.</td>
</tr>
<tr>
<td>Breadcrumbs</td>
<td>Display a trail of screen links for you to follow back to the starting point.</td>
</tr>
<tr>
<td>Filter by</td>
<td>Provides the ability to filter and/or search by specific criteria.</td>
</tr>
<tr>
<td></td>
<td><strong>Click the +Add Filter link to add additional filters to further narrow a search.</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Tip: To search for keywords, use the wild card feature by entering a “%” sign before and after the word(s).</strong></td>
</tr>
<tr>
<td>Help buttons</td>
<td>Click to view additional guidance on how to complete a field in the system.</td>
</tr>
<tr>
<td>SmartForm Navigation</td>
<td>The SmartForm contains the following tools:</td>
</tr>
<tr>
<td></td>
<td>• <strong>Left navigation pane:</strong> Displays a list of all SmartForm pages for the agreement type selected. Click on the name of the page to navigate to that screen.</td>
</tr>
<tr>
<td></td>
<td>• <strong>Validate button:</strong> Click to confirm all required fields were completed on each of the pages.</td>
</tr>
</tbody>
</table>
2.2 Navigation
The following sections describe the My Inbox, Agreements, and Agreements Workspace pages.

2.2.1. My Inbox
When you first log into the system, the My Inbox, page displays. The My Inbox page acts as a to-do list and contains a list of records that require actions from you to move them forward in the workflow. The State tells you where the agreement is in the approval process and indicates what action may be required from you.

Note: The My Inbox page reflects your to-do items from IBISResearch Grants or Agreements modules. Below is a view of the My Inbox page.

The Table below describes the features on this page:

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filter by fields</td>
<td>Provides the ability to filter and/or search by specific criteria.</td>
</tr>
</tbody>
</table>
My Inbox grid

This grid contains the following columns:
- ID: Unique record ID number
- Name: Record name
- Date Created
- Date Modified
- State: Indicates the status of the record in the workflow
- Coordinator: Indicates the assigned team member in the Office of Research Administration

⚠️ Note: In the Agreements system, this is the same as “Owner”. Click the column headers to sort by column.

Create Agreement button

Click this button to open the Agreements SmartForm.

Agreement IDs

The system assigns a unique ID to each submission record based on the Project Type, as outlined below.

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Notes</th>
</tr>
</thead>
</table>
| Agreement    | ID is prefixed with the Agreement Type acronym (e.g. “MTA” for Material Transfer Agreement).
|              | e.g. MTA00000052 |
| Amendment    | ID mirrors the Agreement ID and is suffixed with “AMX”, where “X” represents the Amendment number.
|              | e.g. MTA00000052AM1 |

2.2.2. Agreements

The agreements pages display all agreements and amendments you have permission to view. To access this screen, click the Agreements link in the top, navigation bar.

A Create Agreement button is available to begin completing the SmartForm for a new agreement.

Agreements page
The table below describes the information displayed on each tab:

<table>
<thead>
<tr>
<th>Tab</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Agreements</td>
<td>Lists all agreements and amendments you have permission to view.</td>
</tr>
<tr>
<td>Unassigned</td>
<td>Lists agreements and amendments that have been submitted, but have not yet been assigned to an Owner in the Office of Research Administration.</td>
</tr>
<tr>
<td>New</td>
<td>Lists agreements and amendments the PI is working on. The Pre-Submission state indicates they have not yet been submitted to the Office of Research Administration.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Lists agreements and amendments that have been assigned to an Owner (Reviewer) and are currently going through an internal or external review.</td>
</tr>
<tr>
<td>Active</td>
<td>Lists agreements that are in an Active state, meaning they are in force. Note: Amendments in force are in a state of “Approved” and are listed in the ALL Agreements tab.</td>
</tr>
<tr>
<td>Evergreen</td>
<td>Lists expired agreements that contain evergreen clauses (language authorizing automatic renewal upon expiration)</td>
</tr>
<tr>
<td>Archived</td>
<td>Lists agreements and amendments that have been discarded, terminated, or expired.</td>
</tr>
</tbody>
</table>

2.2.3. Agreements Workspace

The Agreements Workspace page displays various identification, status, and actions associated with a specific agreement. Information displayed on the screen may vary due to the agreement, state, your user role, and your involvement with the agreement. To access this screen, select an agreement from either the My Inbox or Agreements pages.

Agreement Workspace
The table below describes the features on this page:

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>State</strong></td>
<td>Status of the agreement (displayed in the orange box). <strong>Note:</strong> The state displayed may be more granular than those shown on the workflow map.</td>
</tr>
<tr>
<td><strong>Personnel and Milestone dates</strong></td>
<td>Lists key personnel and milestone dates associated with the agreement. The <a href="#">Agreement Manager</a> is the assigned PI. The <a href="#">Owner</a> is the assigned Contract Manager within the Office of Research Administration.</td>
</tr>
<tr>
<td><strong>Next Steps (Buttons and Activities)</strong></td>
<td>A series of action buttons and activities that can be taken on the agreement. These may vary based on the state and your user role. Action buttons: <strong>Edit Agreement</strong> – Click the edit agreement button. If the agreement is no longer editable, this button updates to “View Agreements”.</td>
</tr>
</tbody>
</table>

**Feature**                                    | Description                                                                                                                                                                                                 |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Note:</strong> Study Staff (e.g. PIs) may only edit an agreement in the Pre-Submission and Unassigned states.</td>
<td><strong>Note:</strong> Study Staff (e.g. PIs) may only edit an agreement in the Pre-Submission and Unassigned states.</td>
</tr>
<tr>
<td>• Printer Version – Click to view a printer-friendly version of the agreement SmartForm.</td>
<td>• Printer Version – Click to view a printer-friendly version of the agreement SmartForm.</td>
</tr>
<tr>
<td>• View Differences – Click to view changes made the agreement document.</td>
<td>• View Differences – Click to view changes made the agreement document.</td>
</tr>
<tr>
<td>• View All Correspondence – Click to view a list of all correspondence on the agreement.</td>
<td>• View All Correspondence – Click to view a list of all correspondence on the agreement.</td>
</tr>
</tbody>
</table>

**Note:** Correspondence is used to track communication, meetings, notes, etc. with the internal and external parties. Correspondence can be manually entered (via the Log Correspondence activity) or automatically recorded (via email notifications).

See the [Activities](#) section for additional information on the various activity links.

<table>
<thead>
<tr>
<th>Identifying Information</th>
<th>Summary information about the agreement, including the ID, Name, Agreement type, and links to associated documents.</th>
</tr>
</thead>
</table>

**Workflow Map**                              | High level view of the agreement creation and approval process. All agreements and amendments, regardless of Agreement Type, follow this workflow. The state highlighted in orange indicates where the selected agreement is within the process. |
Ancillary Reviewers

Offices or individuals listed at the University of Miami that need to review the agreement.

Tabs

Resource tabs that contain different information about the agreement, as outlined below:

- **Communications** – Lists action items created by the Owner to help manage and track the review process. It is recommended to log all correspondence on this tab, such as emails and phone calls with contracting parties.
- **History** – Lists all actions that have occurred on the agreement. Click the Activity name in the grid to view additional activity details.
- **Contacts** – Lists personnel and the organization involved in the agreement.
- **Snapshots** – Lists links to read-only copies of the Agreements SmartForm taken at key points in the workflow.
- **Related Projects** – Lists other projects related to the agreement (e.g. other agreements, funding proposals, etc.). Click the project’s ID or Name to navigate to that project’s workspace.

*Note: The Owner can create these relationships using the Manage Relationships activity on the workspace.*

- **Amendments** – Lists all amendments associated with the agreement.

2.2.4. How to Access a Record

You will be able to access and view agreements you are associated with, either as a PI, Agreement creator, PI Proxy, Agreement Collaborator, or Ancillary Reviewer. Owners have access to all agreement records.

- **My Inbox page** – This page acts as your to-do list. If an Agreement is listed here, you have an action to take. To access an agreement, click on the ID or Name.

- **Agreements page** – All Agreements you are associated with can be found on this page. To access an agreement, click on the ID or Name.
2.2.5. How to Search for a Record

Use the Filter by fields to search for an agreement by various information (e.g. ID, Agreement Name, State, etc.)

Click the Help text icon for more information about search options.

The common searches are:

- Searching for keywords – Use the wild card feature by entering a “%” sign before and after the key word.
  In the example below, the user searched for the word “NASA” from the agreement name, by selecting “Name” in the Filter by drop-down list and entering “%NASA%”.

- Excluding keywords – enter “!=” prior to the key word.
  In the example below, the user excluded agreements in the Pre-Submission state by selecting “State” in the Filter by drop-down list and entering “!=pre-submission”.

2.3 User Roles and Security

User roles determine what area of the system users can view and activities they can perform when an agreement is in a particular state. The Agreements-specific roles configured for University of Miami are defined in the table below.

<table>
<thead>
<tr>
<th>User Role</th>
<th>Description</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Study Staff</td>
<td>Users in the Research Community (researchers, administrators, etc.) involved in preparing agreements for review.</td>
<td>With this role, you are able to:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create and submit agreements</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Create and submit amendments to agreements you created</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Respond to clarification requests</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Be selected as an agreement creator or collaborator,</td>
</tr>
</tbody>
</table>
Note: All Users in IBISResearch are users who can be assigned this role.

which lets you edit the agreement in Pre-submission, Unassigned, and Clarification Requested states, and also create an amendment
- Copy any agreement accessible to you
- Be selected as the Agreement Manager/Principal Investigator for an agreement, which lets you:
  - Edit the agreement in Pre-Submission, Unassigned, and Clarification Requested stats
  - Submit
  - Submit Changes
  - Create and Amendment
  - Assign PI Proxies
  - Manage Ancillary Reviews

Agreement Reviewer

Users in the Office of Research Administration are responsible for reviewing agreements and ensuring that review and communication processes are completed properly.

This role enable you to:
- View all agreements assigned to the Office of Research Administration
- Create and submit agreements
- Create and submit amendments to agreements submitted by others
- Assign the owner of a specific agreement
- Generate an agreement document
- Approve agreement language
- Activate an agreement
- Approve an amendment
- Request clarification
- Revise an agreement document
- Finalize agreements
- Terminate active agreements

2.4. Workflow Map

The workflow map is an overview of the agreements lifecycle by state (status). More granular states are displayed in the orange box to the left of the diagram on the Agreements Workspace.

The workflow map for the more granular states is illustrated below:
The states are defined as follows:

<table>
<thead>
<tr>
<th>Workflow Map</th>
<th>State (orange box)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Submission</td>
<td>Pre-Submission</td>
<td>Indicates the Agreement has been created, but has not yet been submitted to the Office of Research Administration for review.</td>
</tr>
<tr>
<td>Unassigned</td>
<td>Unassigned</td>
<td>Indicates the Agreement has been submitted to the Office of Research Administration for review, but has not yet been assigned to an Owner.</td>
</tr>
<tr>
<td>Clarification Requested</td>
<td>Clarification Requested</td>
<td>Indicates the Owner in the Office of Research Administration requests clarification about the agreement submitted. Clarifications can be requested during the Unassigned and/or In Review states.</td>
</tr>
<tr>
<td>In Review</td>
<td>Internal Review</td>
<td>Indicates the Agreement has been assigned to an Owner within the Office of Research Administration for review. In this state, the Agreements Reviewer can: • Generate the agreement for review • 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.</td>
</tr>
<tr>
<td>In Review</td>
<td>External Review</td>
<td>Indicates the Agreement has been sent to an external party outside of UM for a review. In this state, the Owner can perform the same actions noted above in the Internal Review state. The Owner will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.</td>
</tr>
<tr>
<td>Signing</td>
<td>Language Finalized</td>
<td>Indicates all parties have agreed on the agreement language, all required ancillary reviews are complete, and the Owner has approved the language. 📝 Note: Outstanding required ancillary reviews must be completed/accepted before the agreement can be moved to this state.</td>
</tr>
<tr>
<td>Routing for Signature (internal, wet ink signatures)</td>
<td></td>
<td>Indicates the agreement has been routed within UM for wet ink signature(s). In this state, the 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).</td>
</tr>
<tr>
<td>Out for Signature (external, wet ink signatures)</td>
<td></td>
<td>Indicates the agreement has been sent out to the third party for wet ink signature(s). In this state, the Owner can perform the same actions noted above in the Routing for Signature state.</td>
</tr>
</tbody>
</table>
## 3. Creating and Submitting Agreements

Agreements can be created by any user in the system, although this task is typically completed by the Research Community (users with the Study Staff role, such as PIs, Research Administrators, etc.).

Follow the steps below to create and submit an agreement:

1. On the My Inbox or Agreements page, click the Create Agreement button.
2. The Agreements SmartForm displays. The SmartForm is a series of screens used to collect information about the agreement, which is then reviewed by the Office of Research Administration.

   Note: Fields noted with a red asterisk are required.
3. On the Agreement Upload page, complete the following fields:
   a. Agreement manager/Principal Investigator
   b. Agreement Creator: This defaults to the person creating it, but can be changed to the person best suited to answer questions regarding this agreement besides the PI (i.e., clinical coordinator, research nurse)
   c. Upload agreement draft – Upload a draft of the agreement document in MS Word format.

   Note: If UM will be generating the first draft of the agreement, click the Institution to generate first draft? checkbox. This is seldom, if ever selected. Most companies have an agreement template. If not provided, ask them and request it be in Word format.
   d. Title or internal reference number – Enter a short name for the agreement (shorter than 50 characters) in the format of: Contracting Party Name and PI Last name, First name. For example: Pfizer (Coleman, Tim)
   e. Agreement Type – Select the agreement type. This selection will determine what additional pages of the SmartForm are displayed.
      * Clinical Trial Agreement
• Data Use Agreement (directly related to a sponsored research)
• Inbound Material Transfer Agreement
• Inbound Non-Disclosure Agreement
• Jackson Work Order
• Master Agreement
• Outbound Subagreement
• Sponsored Agreement
• Other Agreement (this includes Collaboration Agreements, Memorandum of Understanding, Teaming Agreements, Interpersonnel Agreements (IPAs))

f. **Description:** Enter relevant information
g. **Supporting documents** - Upload any additional documents that may assist the Office of Research Administration.

   ![Note: For most agreements it is the scope of work. However, if Jackson is involved you need, CTO application, completed and signed, the Study Calendar in Excel Format.]

4. When complete, click Continue. The agreement is now created in the system and the unique record ID has been assigned, which is displayed in the top, right corner of the SmartForm. You can see the SmartForm toolbar to complete various tasks.

5. On the **General Information** page, complete the following fields and click Continue.
   a. **Select Organization** – Click the ellipsis button to select the contracting (external) party from the Organizations list. If not listed, you can type it in and ORA will add the Organization.

   ![Important: Although these appear not to be required fields. It is extremely important to complete this information. Not completing this section may delay processing the agreement.]
   • **Number 2. Contracting party contact name:** Enter information
   • **Number 3. Contracting party contact email:** Enter information
   • **Number 4. Contracting party contact phone:** Enter information
   • **Number 5. Agreements collaborators** – Add any UM department members that will need read/edit permissions for the agreement (e.g. Department Administrators, clinical coordinators, collaborating faculty).

   ![Note: Any of those listed as a collaborator may be assigned the PI Proxy role. Use the PI Proxy activity in the left navigation panel.]
   b. **Responsible department** – Select the UM organizational unit responsible for this agreement, which may or may not be the same as the PI’s home department. Please ensure that the responsible department is selected correctly.

6. Continue completing any additional pages of the SmartForm. Complete as much information as possible.

7. The Completion Instructions page provides guidance on the next steps in the process. Click **Finish** to complete the SmartForm.

   ![Important: Clicking Finish moves your agreement into the “Pre-Submission” state, but does not submit your agreement to the Office of Research Administration. This allows for additional edits and/or actions occur prior to the agreement submission (e.g. editing the agreement, adding Ancillary Reviews, etc.).]
For funded agreements, a funding proposal is created. The funding proposal is submitted for department review and approval. Once the department approves the funding proposal, the PI or team members may submit the agreement directly to ORA.

8. The Agreements Workspace displays. Note the agreement is in the Pre-Submission state.
9. Complete any additional tasks as necessary (e.g. edit the agreement, assign Ancillary Reviews, etc.).

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

### 4. General Activities

The following sections outline general activities or tasks that may be completed by any roles during the workflow.

#### 4.1. Managing Ancillary Reviews

In some cases, it may be necessary for other departments and/or offices within the university to review details of the agreement. This business process will be satisfied using the Manage Ancillary Review activity.

Although an Ancillary Reviewer can be added by Study Staff (e.g. PI, Agreement Collaborators), the Office of Research Administration will initiate ancillary reviews for agreements, as needed. The sections below describe how to add an ancillary reviewer, notify an ancillary reviewer, notify an ancillary reviewer of an outstanding review, and how to submit an ancillary review.

**Important:**
- The Research Community (e.g. PIs, Agreement Collaborators) can only add ancillary reviewers while the agreement is in the Pre-Submission and Unassigned states. After these states, an ancillary reviewer can only be added by the Owner (ORA).
- When Ancillary Reviewers are added during Pre-Submission, automatic email notifications are only sent to reviewers once the agreement has been submitted. If Ancillary Reviewers are added during the Pre-Submission state and a review and/or response is necessary prior to submission, the reviewers need to be manually notified using the Notify Ancillary Reviewers activity.

#### 4.1.1. Adding an Ancillary Review

Follow the steps below to add an ancillary reviewer to an agreement:

1. Access the agreement in the one of two ways:
   a. On the My Inbox page, locate the agreement and click on the name.
   b. On the Agreements page, search for the agreement and click on the name.
2. On the Agreements Workspace page, click on the Manage Ancillary Reviews activity.
3. In the Manage Ancillary Reviews window, click Add.
4. In the Add Ancillary Review window, complete the questions and note the following. Click OK to continue.
   
   a. **Question 1. Select either an organization or person as a reviewer** – Click the ellipsis button next to the Person field to select the appropriate individual (do not select an Organization).
   
   b. **Question 2. Review Type** – Select the applicable review type.
   
   c. **Question 3. Is a response required?** –
      
      i. Answering YES will notify the reviewer via email, create an action item in his/her IBISResearch Inbox and will require the reviewer to take an action to clear the item from his/her IBISResearch Inbox.
      
      ii. Answering No will only notify each Ancillary Reviewer via email of the agreement submission and provide him/her read access to the study.

5. In the Manage Ancillary Reviews window, repeat the steps above to add additional ancillary reviewers if necessary. When complete, click OK.

6. On the Agreements Workspace, the Ancillary Reviews display on the workspace under the workflow map.

4.1.2. Notifying Ancillary Reviewers

Follow the steps below to notify an ancillary reviewer of an outstanding review:

1. Access the agreement by click on the Agreements page and search by ID or Name, then click on the name.

2. On the Agreements Workspace page, click the **Notify Ancillary Reviewers** activity.

3. In the Notify Ancillary Reviewers window, complete the questions and click OK.
   
   a. Question 1. Select ancillary reviewers to notify – Select all that apply.
   
   b. Question 2. Message – Include a message to indicate why the notification is being sent.
   
   c. Question 3. Supporting Documents – Include any documents, if applicable.

   **Note:** The message and supporting documents included in this activity are included in the email notification sent to the ancillary reviewer.

4. The system will return to the Agreements Workspace. You can confirm the action was completed by reviewing the **History** tab.

4.1.3. Submitting an Ancillary Review

Follow the steps below to submit an ancillary review:

1. Access the agreement in one of the two ways:
   
   a. From the system generated email, click on the Agreement ID Link.
b. Click on the agreement name on the My Inbox page.

2. On the Agreements Workspace page, click the Submit Ancillary Review activity.

3. In the Submit Ancillary Reviews dialog box, complete the questions, Click OK to continue to submit the review.

4. When the system returns to the Agreements Workspace page, the History tab will display a “Submitted Ancillary Review” activity.

**Note:** Agreement Owners have the ability to submit outstanding, required ancillary reviews on behalf of the ancillary reviewer(s).

4.2. How to add an Agreement Collaborator (for read/edit access)

Follow the steps below to add an Agreement Collaborator (someone who needs read/edit access)

**Important:** Agreements remain editable to Study Staff (PI, Agreement Collaborator, etc.) while in the Pre-Submission and Unassigned states. After the agreement has been moved to the In Review state (which indicates an Owner has been assigned), the Owner will need to add any Agreement Collaborators.

1. Navigate to the Agreements Workspace. This can be done by accessing the agreement from My Inbox or searching for the agreement on the Agreements page. Click the agreement name to display the Agreements Workspace.

2. On the Agreements Workspace, select the Edit Agreements button.

3. Click the Continue button to navigate to the second page of the SmartForm.

4. On the General Information page, add the Agreements Collaborators to Question 5.

5. When complete, click Save and Exit.

4.3. Manage Relationships

Agreement records can be linked to related records like a Funding Proposal in IBISResearch.

Follow the steps below to associate records within IBISResearch:

1. On the My Inbox page, locate the agreement and click on the name.

2. On the Agreements Workspace page, click the Manage Relationship 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. When complete, click **OK**.

### 4.4. How to assign a PI Proxy

A PI Proxy may be assigned to complete activities or tasks on the PI’s behalf. Only the PI assigned to the agreement can assign a PI Proxy.

Follow the steps below to assign a PI Proxy:

1. Navigate to the *Agreements Workspace*. This can be done by accessing the agreement from *My Inbox* or searching for the agreement on the *Agreements* page. Click the agreement name to display the *Agreements Workspace*.
2. On the *Agreements Workspace*, select the **Assign PI Proxies** activity.
3. In the Assign PI Proxies window, select the team member to act as the proxy.
   
   **Note:** Only team members previously added as *Agreement Collaborators* can be assigned as a proxy.
4. When complete, click **OK**.

### 4.6. How to Contact the Owner

Owners in the Office of Research Administration may be contacted within the system.

Follow the steps below to contact the Owner:

1. Navigate to the *Agreements Workspace*. This can be done by accessing the agreement from *My Inbox* or searching for the agreement on the *Agreements* page. Click the agreement name to display the *Agreements Workspace*.
2. On the *Agreements Workspace*, select the **Contact Owner** activity.
3. In the Contact Owner window, enter a message and include any attachments (if applicable).
4. When complete, click **OK**.
5. The Owner will receive an email with the message and attachments included.

### 5. Agreement Review

Various agreement review tasks are completed by the Owner in the Office of Research Administration after the agreement has been submitted.

#### 5.1. Assigning an Office and Owner

When an agreement is submitted, it will appear in the inboxes for all Owners in the Office of Research Administration. The next step is for an Owner to be assigned, who will oversee the agreement through review and approval process. An Owner must be assigned in order for the agreement to move through the workflow.

#### 5.2. Requesting Clarification

While the Owner is reviewing the agreement, he/she may have some additional questions about the agreement or the contracting (external) party. When this is the case, the Owner may request clarifications from the PI and/or Agreement Collaborators.

**Important:** After the agreement has been sent to the PI/Agreement Collaborator for Clarifications Requested, the Owner does **not** have access to edit the agreement. The PI or Agreement Creator must submit the changes back to the Owner.
6. How to Create and Submit an Amendment

Follow the steps below to create and submit an amendment:

1. Access the agreement by clicking on the Agreements page and search by ID or name, then click on the name.
   
   **NOTE:** Amendments can only be created for Agreements in the Active state.

2. On the Agreements Workspace, click Create Amendment activity.

3. In the Create Amendment window, complete the fields and click OK. Use the comments field to explain the reason for the amendment (e.g., extending agreement expiration date, etc.).

4. When the system returns to the Agreements Workspace page, click on the Go to Amendment button.

5. The system navigates you to the first page of the Amendment SmartForm, which mirrors the Agreements SmartForm.

   Notice the Title (Question 4) on the first page has been prefixed with “Amendment for” and a new ID has been created which is displayed in the top, right corner. The Amendment has the same ID as the Agreement, but is suffixed with AMX where X is the Amendment number.

   Update the pages of the Amendment SmartForm, as necessary and click the Continue button on the 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 Presubmission state.

7. Complete any additional tasks as necessary.

8. When you are ready to submit the amendment, click the Submit activity. After the page refreshes, note the amendment is now in the Unassigned state.

   **Note:** The Amendment SmartForm can be edited by the Study Staff in both the Presubmission and Unassigned states. Once the amendment has been assigned to an Owner, the state updates to In Review and the Edit Amendment button label updates to View Amendment.

7. Types of Agreements & Unique IDs

<table>
<thead>
<tr>
<th>IBISResearch Module</th>
<th>Acronym</th>
<th>ID Example</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Agreements</td>
<td>CTA</td>
<td>CTA00000875</td>
<td><strong>Clinical Trial Agreement</strong> – Agreements covering the terms for a clinical trial to study investigational drugs or devices between the sponsor that may be providing the drug or device, the financial support and/or proprietary information and the institution that may be providing data and/or results. This excludes lab testing agreements.</td>
</tr>
<tr>
<td></td>
<td>DUA</td>
<td>DUA00000534</td>
<td><strong>Data Use Agreement</strong> – govern the transfer and use of specific data between organizations. ORA processes DUAs that are directly related to a sponsored research project. All other DUAs are processed by the Office of Privacy and Data Security (and should be submitted to that office accordingly).</td>
</tr>
<tr>
<td></td>
<td>MTA</td>
<td>MTA00000099</td>
<td><strong>Inbound Material Transfer Agreement</strong> – are contracts covering the terms for the exchange of materials between two organizations, when the recipient intends to use it for his or her own research purposes. MTAs provide the rights of both the receiver and the provider of these materials. ORA processes INBOUND MTAs where material is being</td>
</tr>
</tbody>
</table>
provided at no cost to UM. MTAs do not involve payment of funds for the materials. An "MTA" involving the payment of funds is a purchase agreement (and should be processed accordingly to the applicable central office).

**NDA**  
**NDA00000023**  
**Inbound Non-Disclosure Agreement** – also known as confidentiality agreements. Protect information that is not yet in the public domain by limiting further disclosure and use by the recipient. ORA handles NDAs, covering information disclosed from a third party to UM relating to research, intellectual property, and/or innovations.

**JWO**  
**JWO00000021**  
**Jackson Work Order** – is an agreement between Jackson Health System (under the Master Research Collaboration Agreement between UM and Jackson Health System). The Jackson Work Order (JWO) outlines terms and conditions in which the Jackson Health system will facilitate research and facilities for conducting studies which UM is engaged in. The Work Order also often includes a budget outlining funds UM will pay the Jackson Health System for the service provided by them.

**MA**  
**MA00005544**  
**Master Agreement** – also known as Master Sponsored Agreements are umbrella agreements where the parties agree on certain terms and conditions for future research projects to be awarded as tasks or work orders.

**SA**  
**SA00000156**  
**Sponsored Agreement** – is a contract between UM and another party to conduct research at UM, whereby UM is receiving funds to support the research. This includes applied research, basic research, developmental research, research training, research fellowship, instruction, and other sponsored agreements.

**OS**  
**OS00005521**  
**Outgoing Subagreement** – agreements issued by UM to another entity to perform portions of work under a sponsored project. The subagreement terms include the flow down of terms and conditions from a prime award agreement.

**OTH**  
**OTH0000549**  
**Other Agreements** – agreements for patient services, social services or infrastructure support that are neither for research, instruction, fellowships, clinical trials, nor research training. Includes, Collaboration Agreement, Memorandum of Understanding, Teaming Agreement, Interpersonal Agreements (IPAs) and others.