ERA: AGREEMENTS

“A High Performance Journey And Partnership”

March 17, 2022

Presenters:

Maria Mendes Hartstein, Subaward Administrator
Lynn Crow, Contracts Manager
The university research enterprise is driven by a range of agreements with extramural parties

- Funded
  - Grants
  - Cooperative agreements
  - Contracts
  - Gifts

- Nonfunded
  - Confidentiality agreements
  - Data use agreements
  - Material transfer agreements
  - Gifts

- Gifts may be conveyed via a written agreement (recommended) or not
Many Offices Handle Agreements at Princeton

- ORPA
- Technology & Licensing
- Procurement/Purchasing
- General Counsel
ERA AGREEMENTS: SUBAWARD FACTS

SUBAWARDS

30+ Departments

287 Active Subawards

TOTAL ERA REQUESTS
580
ERA AGREEMENTS
NON-FUNDED/OTHER AGMT FACTS

<table>
<thead>
<tr>
<th>Agreement Type</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA</td>
<td>21</td>
</tr>
<tr>
<td>MA</td>
<td>28</td>
</tr>
<tr>
<td>NDA</td>
<td>37</td>
</tr>
<tr>
<td>OTH</td>
<td>200</td>
</tr>
<tr>
<td>RA</td>
<td>184</td>
</tr>
<tr>
<td>SA</td>
<td>59</td>
</tr>
<tr>
<td>TOTAL</td>
<td>529</td>
</tr>
</tbody>
</table>
Agreements? Who? What? When?

➤ Who do I contact? Lynn Crow/department’s GCA and Maria Hartstein/Lisa Owen

➤ What do I need to do? CREATE your agreement request and SUBMIT in ERA

➤ When do I submit an Agreement? ACCURATE, APPROVED, AND COMPLETE

INPUT: GOOD INFORMATION ➔ OUTPUT: EFFICIENCY / LESS DELAYS
Guides By Role

The number and name of Guides and Frequently Asked Questions are subject to change as the Training team continues the development of these resources.

- Department Administrator (Developer) +
- Department Approver (Reviewer) +
- Principal Investigator +
- Central Administrator +
**Common Agreement States: What Do They Mean?**

<table>
<thead>
<tr>
<th>Pre-Submission</th>
<th>Unassigned</th>
<th>Internal Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Agreement creator is working on SmartForm.</td>
<td>• Agreement creator submitted SmartForm.</td>
<td>• Agreement has been assigned to contracts or subawards team</td>
</tr>
<tr>
<td>• Has not been submitted to ORPA.</td>
<td>• ORPA is reviewing SmartForm for completion, compliance, correctness.</td>
<td>• This does not mean they have started working on it.</td>
</tr>
<tr>
<td>• ORPA cannot work on agreement in this state.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Office of Research and Project Administration
Common Agreement States, continued

<table>
<thead>
<tr>
<th>External Review</th>
<th>Out for Signature</th>
<th>Active/Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Agreement has been sent to the other party.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• State changed manually.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Agreement go back and forth between Internal and External Review multiple times as it is negotiated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Finalized agreement has been sent out to the contracting party for their signature.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Active: Agreement is fully executed (signed by all parties).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Approved: amendment or task order has been fully executed.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Common Agreement States, continued

<table>
<thead>
<tr>
<th>Withdrawn</th>
<th>Discarded</th>
<th>Terminated/Expired</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Agreement creator has withdrawn SmartForm.</td>
<td>- Agreement isn’t moving forward.</td>
<td>- Agreement term has ended.</td>
</tr>
<tr>
<td>- Use if agreement is no longer needed.</td>
<td>- Why?</td>
<td></td>
</tr>
<tr>
<td>- Returns to Pre-submission state.</td>
<td></td>
<td>- Parties can’t reach an agreement.</td>
</tr>
<tr>
<td>- Will lose place in queue.</td>
<td>- Parties have decided agreement isn’t needed.</td>
<td>- Final. Cannot be “undiscarded”</td>
</tr>
</tbody>
</table>

Office of Research and Project Administration
Searching and Filtering Agreements in ERA

Search by ID: REQ, OTH, MRA, NDA, CA, RA, SA

Search by PI Last Name: MUST SPELL THE NAME CORRECTLY

Search by Contracting Party: MUST BE NAME ENTERED FOR ORGANIZATION

*Search by State: ALL THE STATES NOTES IN PRIOR SLIDES

1. ID: ID# - % - Last 3 Number (helpful when you don’t know how many “0”s)
2. ID:
3. ID: REQ (retrieves only subaward requests)
4. Sort by more than one filter!!!
5. Once filter, click on Hyperlink to get information in alphabetical or numerical order
Creating and Submitting an Agreement Request in ERA

**Step 1**
- Log in to Princeton ERA
- Execute the “CREATE AGREEMENT” Activity

**Step 2**
- Complete Smart Form
- The Request is now in “Pre-Submission Status”

**Step 3**
- Do you need to link your Agreement to a Funding Proposal?
- Execute the “MANAGE RELATIONSHIPS” Activity
Creating and Submitting an Agreement Request in ERA

**Step 4**
- Does your agreement need to be reviewed by another office?
- Execute the “ANCILLARY REVIEW” Activity

**Step 5**
- Execute the “SUBMIT” Activity

**Step 6**
- Your agreement is now in “Unassigned Status”
Creating a New ERA Agreement

1. Click on "Create Agreement".

2. Fill in the details:
   - ID: REQ00000295
   - Name: AWD1005401 - 1000 Initiation

3. Next Steps:
   - Edit Agreement
   - Printer Version
   - View All Correspondence

4. Pre-Submission:
   - Admin Contact: Louis Aaron
   - Principal Investigator: Braiden Aaronson
   - Owner: Created: 3/10/2022 7:53 PM
   - Effective: Expires: 3/10/2022 7:54 PM
   - Department: AAS-Chair

5. Communication:
   - Correspond
   - Filter by: ID

Office of Research and Project Administration
Linking a Funding Proposal or Other Agreement

If your agreement is related to a Princeton era funding proposal, before you submit your request, **link your funding proposal or another agreement**.

*Use the activity*

**Manage Relationships**

1. Related submissions:
   - Start typing the FP or Agreement ID or select the ellipses [...] to pull up the search

2. Comments:
   - Once selected, the FP will show up here.

The linked project is listed under the Related Projects Tab.
Submitting and Viewing Ancillary Reviews

Section 3.1.4

• Status in the Workspace

Section 3.3

• Ancillary Reviews (if grant)

Section 3.3.1

• Additional Ancillary Reviews

Watch the AGREEMENTS VIDEO on Ancillary Review
It’s only 4 min long!!!
Submitting an Agreement to ORPA
Requesting an Agreement Clarification

Clarification Requested Status: GCA or Subaward Administrator may ask the Admin Contact for additional information.

Unassigned

REQ000004:
AWD1

Admin Contact: Louis Aaron
Principal Investigator: Braiden Aaronson
Owner:
Created: 3/10/2022 7:53 PM
Received: 3/10/2022 8:10 PM
Modified: 3/10/2022 8:23 PM
Effective:
Expires: AAS-Chair

Next Steps

- Edit Agreement
- Printer Version
- View All Correspondence
- Assign Owner
- Manage Ancillary Reviews
- Email Agreement
- Request Clarification

Clarification Requested

REQ00000433
AWD10

Admin Contact: Louis Aaron
Principal Investigator: Braiden Aaronson
Owner:
Created: 3/10/2022 7:53 PM
Received: 3/10/2022 8:10 PM
Modified: 3/10/2022 10:20 PM
Effective:
Expires: AAS-Chair

Next Steps

- Edit Agreement
- Printer Version
- View All Correspondence
- Communication
- Correspondence

Office of Research and Project Administration
Responding to Clarification Request

![Diagram showing the process of responding to a clarification request.]

**Ancillary Reviews**

<table>
<thead>
<tr>
<th>Review Type</th>
<th>Organization</th>
<th>Person</th>
<th>Reqd</th>
<th>Accepted</th>
<th>Comments</th>
<th>Docs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assurances</td>
<td></td>
<td>Kristen Hubbard</td>
<td>yes</td>
<td>yes</td>
<td>The signed PI Assurance for Leah Boustan is attached.</td>
<td>ERA_assurance_boustan_Allegheny_RCT_signed.pdf</td>
</tr>
<tr>
<td>Assurances</td>
<td></td>
<td>Kristen Hubbard</td>
<td>yes</td>
<td>yes</td>
<td>The signed PI Assurance for Natalia Emanuel is attached.</td>
<td>ERA_assurance_emmanuel_Allegheny_RCT-signed.pdf</td>
</tr>
</tbody>
</table>

**Communication**

- Clarification Requested
  - Thompson-Siegel, Maureen
  - 3/3/2022 11:35 AM

- Assigned Owner
  - Looney, Paula M
  - 3/1/2022 9:23 AM
Discarding a Request

DISCARDING A RECORD = NO LONGER ABLE TO EDIT OR SUBMIT
Withdrawing a Request

1. Returns record to Pre-Submission State
2. Revise Smartform, Upload requested documents, etc
3. Click Submit
STRATEGIES FOR AGING AGREEMENTS

1. Run Periodic Report of all ERA requests
2. Determine age of agreement
3. Look at what action has been taken
4. Determine if escalation is required
ESCALATION STRATEGIES FOR AGREEMENTS

- Schedule Unilateral Meeting
- Contact Supervisor/Director
- Send Follow Up Emails

Options:
- Dept Admin Assistance
- PI Assistance
- ORPA Director Assistance
Clearing Aging Pre-Submission Records

- Run Periodic Report of Requests (Monthly)
- Contact Dept Admin for a “status” on the Request
- Submit/Discard/Keep Open per Dept Admin
Non-Funded/Other Agreements

Common types
- Sponsored Research Agreements
- NDAs/CDAs
- Data Use Agreements
- Negotiated Visitor Agreements
- Membership Agreements
- Memoranda of Understanding
Does this agreement need to go to ORPA?

- Agreement needs to be signed by institutional official
- Agreement is for research
- Terms and Conditions
- Not sure? Ask your friendly neighborhood GCA
Non-Funded/Other Agreements
ERA Checklist

- Draft agreement (MS Word preferred)
- Scope of Work (layman’s terms)
- Other docs or emails that may be helpful
- Funding proposal? Link it
- If no FP
  - PI assurances
- Humans subjects research?
  - IRB approval letter or documentation showing
    - IRB approval is in progress
  - IRB determination not human subjects research
Non-Funded/Other Agmt Review Process

1. Department submits ERA SmartForm
2. GCA reviews SmartForm
3. Agreement is assigned to reviewer
4. Reviewer negotiates contract
5. Agreement is finalized and signed
6. Reviewer activates agreement in ERA
SUBAWARDS REQUESTS

1. Subaward Initiation Requests: Goal = Draft Sent to Subrecipient within 30 days

2. Subaward Modification Requests: Goal = Draft sent to Subrecipient within 14 days

Communication: Dept executes “Contact Owner” Activity to request update.

ORPA Subs team responds to request in ERA record
Subaward Initiation and Modification Review Process

1. NOA Received
2. Dept Submits ERA Request
3. Subs Team Assigns Request
4. Subs Team Reviews Supporting Docs
5. Subs Team sends out Draft and Negotiates Agmt
6. Agreement Finalized
Subaward Smart Forms - Initiations

3. * Upload agreement draft: (or check the box below)
   [None]  Upload

   Institution to generate first draft?  ✔

4. Title or internal reference number:
   AWD1005555 - 1001113 - INITIATION

6. Description:
   Funding for Year 1 per attached SOW and Budget

6. Description:
   Funding for Year 1 in the amount of $50,000. Award did not fund total amount requested. Funding only a portion of the funding requested.
Subaward Smart Forms - Initiations

1. *Select an organization:
   AbVie Inc.

If you cannot find the organization in the list above, enter its information here:

   Contracting Party Name:

2. Contracting party contact name:
   Joe Smith

3. Contracting party contact e-mail:
   sm@university.edu

4. Contracting party contact phone:
   609-555-1212

Remember to update this information when you amend the subaward.
Creating A Subaward Amendment – Step 1

Go to the ORIGINAL Req #

Status can be Active or Expired

Execute “CREATE Amendment” Activity
CREATING A SUBAWARD AMENDMENT – Step 2

Execute the “Go To Amendment” Activity
Creating a Subaward Amendment – Step 3

Complete Smart Form

REQ# changes to Req # plus AM1, etc

Execute “SUBMIT” activity
Creating a Subaward Amendment – Step 4

Status Changes to “UNASSIGNED”

Subs team will assign Req# for completion
Amendments: The prior final agreement is automatically populated. Please don’t delete it.
Subaward SmartForm: Amendments

What should my Amendment description state?

INCORRECT

Amendments: The description should not be added to the Subaward Amendment Request form.

CORRECT

6. Description:

Add a short comment/instructions related to your request in the Description section of the Agreement Upload page in the Agreements Module.

If the comments/instructions are lengthy or require additional supporting information, please add the comment “See attached subaward instruction document below” and then upload your instructions document to the Supporting section of the Agreement Upload page in the Agreements Module.

SUB0000521
Non-Federal Sponsor: Mercedes Benz
F&A: 30% (reduced)
IRB/IACUC: N/A

ADD COMMENT FOR THE SECOND INCREMENT OF FUNDING HERE:

Subaward to Columbia University from AWD1005401 / Coeus IP00031610. Investigation of Lithium Plating Under Varying Conditions at Princeton University Laboratory Using Alpha-En Electrochemical Cell
Subaward Special Notes

➤ When you have a prior Subaward Request in ERA that is not yet Activated or Approved, you cannot create an amendment.

➤ If the subs team incorrectly adds an Effective Date or Expiration Date for your subaward request, once the request is activated or approved, it can no longer be changed until the next amendment is requested.

➤ Once the subrecipient has been added to the ERA organization database, if your Request is already with the subs team, please use the Contact Owner activity to let us know that the organization must be updated in the SmartForm.
Subaward Amendments: Supporting Docs

What should I delete from the Supporting Docs section?
- Original Subaward Initiation form or prior amendment form.
- Subrecipient documents uploaded with the subaward initiation.
- Supporting docs that have expired: IRB/IACUC; Sow/Budget if no longer applicable; FSQ and Financials; Schedule of Payments for prior funding; and prior approval documents.

What should I add to the supporting Docs section?
- Any new or revised SOW/Budget/Budget Justification documents.
- New approval documents: Sponsor Approvals; IRB/IACUC.
- New subrecipient documents: FSQ and Financials.
- Redacted Award Document; if applicable.
Required Subaward Approvals: Types

- PI CHANGES
- SUB NOT ORIGINALLY PROPOSED
- ADDITIONAL OR SUPPLEMENTAL FUNDING

CONTACT YOUR GCA TO SUBMIT APPROVALS TO THE SPONSOR
Required Subaward Approvals: More Types

CONTACT YOUR GCA TO SUBMIT APPROVALS TO THE SPONSOR
Required Subaward Approvals: Process

What Steps Need to be Taken Before Submitting a REQ
1. Send an OPAR to your GCA for approval
2. Receive a Revised NOA from Award Specialist or Sponsor Approval from GCA
   “Green light” to submit your ERA Agreement Request.
3. Submit your ERA Amendment request in ERA

What to Upload in Princeton ERA
Upload the SIGNED OPAR or Sponsor Approval documentation in the ERA Smart Form
SUBAWARD ANCILLARY REVIEWS

Indirect Cost Waivers

Subrecipient wants different IP terms and Subs team needs OTL to help negotiate new terms

AR TO ELIZABETH ADAMS

AR SENT FROM SUBS TEAM TO RIA

Subaward team is waiting for sponsor approvals or update IRB/IACUC approvals

AR FROM SUBS TEAM AS REMINDER
SUBAWARD CLARIFICATIONS

MISSING DOCS

Subrecipient / Vendor Classification Forms (Initiations)
- Internal Documents

Schedule of Payments for Fixed Price Subs (Amendments)
- Internal Documents

IRB/IACUC Approvals (Amendments)
- External Documents
SUBAWARD CLARIFICATIONS

SUPPORTING DOCS  Sponsor Approvals (OPAR, NOA, Sponsor Email to GCA
• Internal/Sponsor Documents

SUPPORTING DOCS  Revised SOW, Budget or Budget Justifications
• External Documents

SUPPORTING DOCS  FSQ and Financial Docs for Non-Single Audited Entities
• External Documents
Subaward Agreement Guides: How do I?

1. How do I search and filter on my dashboard?
   *Agreements Section 1.4.2 (P.6)*

2. What are the three ways I can create a Subaward Agreement in ERA?
   *Agreements Section 2.1 (P.7)*

3. How do I add an Organization that is not yet in Princeton ERA?
   *Agreements Section 2.2.3 (P.13)*

4. What are some of the differences in Agreements SmartForm applicable to subawards?
   *Agreements Section 2.4 (P.20-23)*

5. How do I create a subaward amendment in ERA?
   *Agreements Section 4.2.1 (P.44 – 48)*

6. What are the differences in Process if my original subaward request is an amendment instead of an initiation?
   *Agreements Section 4.2.2 (P. 48-49)*
Do:

- Let us know if there is an urgency to get your request completed and the reason
- Let us know if you need to discard your request
- Check the History tab on Agreements dashboard to see the status
- Check to see if there are any AR responses required
- Respond to clarifications
- Verify that the information in the ERA request is ACCURATE, APPROVED and COMPLETE

Don’t:

- Submit a request without a scope of work
- Submit a request without an award (NOA)
- Submit a request without all approvals
- Sign the agreement before it’s uploaded
Resources and New Opportunities

➤ Office Hours/Open Zoom for Agreements Questions
  ➤ Subawards: March 30 at 10-11 AM and April 5 at 1:30-2:30 PM
  ➤ Non-Funded/Other Agreements: March 25 at 1-2 PM and April 7 at 2:30-3:30

➤ Subaward Brown Bags
  ➤ Subaward Invoice Approvals and Role of the Designee
    ➤ April 8 at 10-11 AM and April 25 at 1-2 PM

Register in the Employee Learning Center
Questions?