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1 What is the Princeton ERA Agreements Module?

This section provides an overview of the Princeton ERA Agreements Module to the departmental user.

The Agreements Module is used to process research-related agreements handled by ORPA, including funded and non-funded agreements, as well as subaward initiations and amendments. You can think of agreements as a collection of a variety of mechanisms through which collaborations are formalized. At times they may formalize just one aspect of the research relationship, instead of the entire collaboration, and to that point, some agreements are broad, while others are much more narrow. As a quick shorthand, keep in mind that if it’s negotiated, it’s an agreement. Note that some grants require negotiation as well and are linked in the agreements module, such as some foundation awards like the Moore Foundation, Templeton Foundation, or the Simons Foundation.

1.1 Overview of the Agreements Workflow Process

- Fill in details on the SmartForm pages
- Upload supporting documentation
- Link to Funding Proposal, if applicable
- Link to other Agreement(s), if applicable
- If needed, obtain PI Assurance
- Submit PI Assurance via Ancillary Review
- Submit record to ORPA

1.2 Before You Begin

Before you begin, collect the following information on the agreement:

- Is this an agreement for a faculty member or a student? If it’s for a student, be sure to list the student’s advisor as the PI.
- Is there a draft agreement, or will ORPA generate it?
- What is the title of the agreement, or of the project associated with the agreement?
- Did the PI provide the scope of work and any other necessary supporting documents?
- Do you know the name of the contracting organization and the contact information?
If your agreement is a Non-Disclosure Agreement or a Subaward, additional information will be required. Be sure to check the corresponding sections of the manual first.

1.3 Agreement Types

The type chart below lists the agreement types available to the user, a description of how each type should be used, and whether or not the type uses standard or branching SmartForms. While most agreement types use the standard Agreement Upload, General Information, and Agreement Information pages, some types branch into forms that are specific only to their own type.

<table>
<thead>
<tr>
<th>Type</th>
<th>How is it used?</th>
<th>Standard forms or branching?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master Research Agreement (MRA)</td>
<td>Used to set out standard terms and conditions that apply to future projects between the parties. Any project specific information is attached to the MRA by way of pre-approved form addendum in the MRA (statement of work (SOW)). The terms and conditions are predetermined by the MRA and generally are not subject to renegotiation.</td>
<td>Standard</td>
</tr>
<tr>
<td>Scope of Work (SOW)</td>
<td>Also known as a task order, project addendum, project contract, or annex, SOWs are used in conjunction with a master research agreement (MRA). The scope of work (SOW) will be linked to both a Funding Proposal, if funded, and the MRA agreement record.</td>
<td>Standard</td>
</tr>
<tr>
<td>Non-Disclosure Agreement (NDA)</td>
<td>Also known as a confidential disclosure agreement (CDA) or Proprietary Information Agreement (PIA), is an agreement between at least two parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for specific, narrow purposes, but wish to restrict access to or by third parties. It is an agreement through which parties agree not to disclose information covered by the agreement. NDAs are not funded. The terms of an NDA may be incorporated into or superseded by the terms of a subsequent agreement between the parties.</td>
<td>Branching</td>
</tr>
<tr>
<td>Subaward <strong>Used for both initiations and amendments</strong></td>
<td>These are agreements between an institution that has a sponsored agreement (prime awardee) and another institution (subrecipient) to which it transfers a portion of the work. The subaward agreement includes elements of the prime agreement between the sponsor and the prime awardee by incorporating many of the terms and conditions that have been agreed to by the external sponsor and the prime awardee. A subaward covers the entirety of the relationship between the prime awardee and the subrecipient, including payments, financial reporting, intellectual property, publication rights, data retention, and many others.</td>
<td>Standard, with additional questions on the Agreement Upload page</td>
</tr>
<tr>
<td>Collaboration Agreement</td>
<td>Used for unfunded research projects between Princeton and at least one other party. It typically</td>
<td>Standard</td>
</tr>
<tr>
<td>Agreement Type</td>
<td>Description</td>
<td>Type</td>
</tr>
<tr>
<td>---------------</td>
<td>-------------</td>
<td>------</td>
</tr>
<tr>
<td>Data Sharing Plan (DSP)</td>
<td>These are sometimes requirements of federal program announcements. Essentially, they contain information concerning the means by which data developed under a sponsored project will be made available to others requesting access. While the data sharing plan is not in and of itself evidence of collaboration, it does open the possibility for new collaborations to be established based on the data having been shared.</td>
<td>Standard</td>
</tr>
<tr>
<td>Facility Use Agreement (FUA)</td>
<td>When a researcher from one institution wishes to use a piece of equipment or a laboratory at another institution, the latter will often require that a facility use agreement is executed. The provisions of such agreements would cover insurance and liability issues, the cost of access, the ownership of intellectual property, and any limitations or restrictions that may be imposed on the visiting researcher. Institutions may find it difficult to balance the need to facilitate research by encouraging collaborations while at the same time ensuring that its facilities are held harmless from damages, and that the institution is protected from any liability caused by the visiting researcher in the conduct of the research.</td>
<td>Standard</td>
</tr>
<tr>
<td>Research Agreement (RA)</td>
<td>This type should be used for funded awards/agreements between Princeton and a sponsor for the purposes of funding and conducting research at Princeton. This would include foundation awards, industry contracts and other financial assistance agreements not under a master. RAs should always be linked to an FP.</td>
<td>Standard</td>
</tr>
<tr>
<td>Service Agreement</td>
<td>This type should be selected when Princeton is providing research–related services that does not represent a facility use agreement (FUA).</td>
<td>Standard</td>
</tr>
<tr>
<td>Other</td>
<td>Use this type for any other agreement not specifically identified. Common examples include teaming agreements, software license agreements (related to a sponsored project), equipment loan agreements, and product design kit agreements.</td>
<td>Standard</td>
</tr>
<tr>
<td>Migrated Non-Funded Agreement</td>
<td>This agreement type was used for the migration of fully executed unexpired non-financial agreements from Coeus at the time of Princeton ERA go–live. This agreement type should NOT be used for any new agreements created in Princeton ERA.</td>
<td>N/A</td>
</tr>
</tbody>
</table>
1.4 Navigating the Agreements Tab

When logged in to the Dashboard, you can navigate to the Agreements tab to enter the Agreements Module. The Dashboard will show you a list of all funding proposals or agreements that you can take action on (My Inbox) and just those requiring review action (My Reviews). Under the Agreements tab, you will see all agreements that you have access to, not just those requiring action.

1.4.1 The Agreements Module Tabs

The following additional tabs are available to you under the Agreements Module:

- All Agreements: Shows you a list of all agreements you have access to.
- Unassigned: Shows items which have been submitted to ORPA, but ORPA has not yet assigned to a GCA or Subaward Administrator. These records are in the “Unassigned” Workflow bubbles.
- New: Shows all agreements in the “Pre-Submission” Workflow bubble.
- In Progress: Shows all agreements under review by ORPA. These records are in the “In Review”, “In Review / Clarification Requested”, or “Signing” Workflow bubbles.
- Active: Shows all fully executed agreements. These records are in the “Active” Workflow bubble.
- Evergreen: Shows items with evergreen clauses.
- Archived: Shows items which are discarded, terminated, or expired.
1.4.2 Searching the Agreements Module
To search for agreements that are not in your Inbox, navigate to the Agreements tab. Here you can view all agreements that you have access to.

Use the Filter by fields to search for a record by various information. Click the “?” help text for search tips.

A few helpful ways to search are:
- Search the Agreement ID
- Search by Name (agreement title) using key words – use the wild card feature by entering a “%” sign before the key word. For example, search %test
- Search by State (agreement status)

You can also use the various tabs to search by agreements in Unassigned, New, In Progress, Active, or Archived statuses.

2 Creating an Agreement
This section describes the process for creating an agreement by the departmental user.

2.1 Multiple Ways to Create an Agreement
A new Agreement record can be created in one of three ways:

1) By logging in to the Princeton ERA Dashboard, selecting the “Create” dropdown, and selecting “Create Agreement”.
2) By logging in to the Princeton ERA Agreements Module and selecting “Create Agreement”.

3) By executing the “Create Agreement” activity in a Funding Proposal.
This will launch a screen allowing you to select the type of agreement you would like to create.

The agreement will populate on the Related Projects tab, and the agreement ID will be created. Select the agreement to be taken to the Agreement Upload page.

2.2 Completing the Standard Smart Forms
Creating a new Agreement record will launch the “Agreement Upload” page, which is required to be completed for all agreement types. Note that if Subaward is selected as the type, the Agreement Upload page will include additional, subaward-related questions. For additional information, see Section 2.4 Creating a Subaward Initiation. Once this page is completed, most agreement type selections default to the standard SmartForms, except for Non-Disclosure Agreements.

2.2.1 Agreement Upload Page
Below is the blank Agreement Upload page which launches when an Agreement is created. In this section we will walk through how to complete the fields on this page.
Agreement Upload Field | What it means / how to fill it in
--- | ---
Principal Investigator | Enter the PI’s full name or last name, or use the % sign as the wildcard. The ellipses can be used to launch the search pop-up, or you can type into the field for a list of selections to appear.

If this is a student submission, the advisor should be entered as the PI.

Primary Contact | This field defaults to the person creating the agreement record. The Primary Contact is the only person who can submit the agreement, and is the only person who will receive automated email notifications from Princeton ERA.
as various milestones are reached. Note that the Primary Contact may be updated by anyone listed as an Agreement Collaborator. In addition, the Princeton ERA team may mass update the Primary Contact for all records associated with a department in case of personnel change.

Upload Agreement Draft
In most cases, the box for “First draft to be generated internally?” should be selected. In the less likely event that a draft agreement is available from the contracting organization, upload it here.

Title or Internal Reference Number
Enter the project or agreement title.
- If this is a student project, add “- [student name]” after the title.
- If this is a subaward, the title should use the following format:
  For initiations: AWD100xxxx – Project number – INITIATION
  For amendments: AWD100xxxx – Project number – AMENDMENT [#]

Agreement Type
Select the appropriate agreement type. Once a type is selected, hovering over it will provide a help bubble to describe the appropriate use of the selection.

Description
This field is not required, but may be helpful to enter any relevant notes for your GCA or Subaward Administrator. Note that if a description is entered, additional lines will be inserted above your notes by the Subaward team during review, listing the relevant subaward attributes.

Supporting Documents
Any supporting documents required for the agreement should be uploaded here. Most agreements will require a Scope of Work. Many agreements will require other documentation as well.

Once the Agreement Upload fields have been completed and the Continue button has been selected, the following items will appear:

1) An agreement ID will be created
2) Additional standard smart forms will be created:
   a. General Information page
   b. Agreement Information page

2.2.2 Agreement Record Number Format

The record number is created based on the agreement type, and will use the following format:

<table>
<thead>
<tr>
<th>Type</th>
<th>Agreement ID format</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master Research Agreement</td>
<td>MRAxxxxxxxxxx</td>
</tr>
<tr>
<td>Scope of Work</td>
<td>SOWxxxxxxxxxx</td>
</tr>
<tr>
<td>Non-Disclosure Agreement</td>
<td>NDAxxxxxxxxxx</td>
</tr>
<tr>
<td>Subaward</td>
<td>REQxxxxxxxxxx</td>
</tr>
<tr>
<td>Collaboration Agreement</td>
<td>CAxxxxxxxxxx</td>
</tr>
<tr>
<td>Data Sharing Plan</td>
<td>DSPxxxxxxxxxx</td>
</tr>
<tr>
<td>Facility Use Agreement</td>
<td>FUAxxxxxxx</td>
</tr>
<tr>
<td>Research Agreement</td>
<td>RAXxxxxxxx</td>
</tr>
<tr>
<td>Service Agreement</td>
<td>SAXxxxxxxxxx</td>
</tr>
<tr>
<td>Other</td>
<td>OTHxxxxxxxx</td>
</tr>
<tr>
<td>Migrated Non-Funded Agreement – only for Coeus migrated agreements</td>
<td>MIGxxxxxxxxxx</td>
</tr>
</tbody>
</table>
2.2.3 General Information Page

**General Information Field** | **What it means / how to fill it in**
---|---
Select an organization & Contracting Party Name | Select the organization with which the agreement is being signed. You can type into the box for a drop-down list to be populated (use the % sign as the wildcard), or select the ellipses to display the search box. If the contracting party is not in Princeton ERA, follow these steps:
1) Leave the “Select an organization” box blank. Selecting the “TBD” option will return an error and prevent you from moving on to the next page.
2) Enter the name in the Contracting Party Name box.
3) Email erasupport@princeton.edu to request the new organization to be added with the organization name, type, address, and phone/email info.

4) Once the ERA team notifies you that the new organization has been added, update the “Select an organization” box to include the name of the organization and remove the name from the Contracting Party Name box. Do not submit the record with a blank “Select an organization” box. The agreement record will be returned by ORPA if it is submitted with a blank organization.

| Contracting party contact name | For most agreements, this field is not required but helpful to your GCA. For subawards, this field is always required. |
| Contracting party contact e-mail | For most agreements, this field is not required but helpful to your GCA. For subawards, this field is always required. |
| Contracting party contact phone | For most agreements, this field is not required but helpful to your GCA. For subawards, this field is always required. |
| Additional Contracting Parties | If there are more contracting parties involved in an agreement, please answer yes and then add the contracting parties in the Contracting Parties section. If there are no additional contracting parties, answer no. |
| Responsible department/division/institute | This defaults as the PI’s home dept. Update it to the responsible (submitting) department, center, or institute, as required. |
| Agreements collaborators | Enter the names of other departmental users who need access to this record. |

2.2.4 Completion Instructions Page

Select “Finish” to return to the Workspace and complete the required activities there.

2.3 Completing the NDA Branching Smart Forms

When selecting “Non-Disclosure Agreement” on the Agreement Upload page, additional forms known as branching forms will appear.

For help with completing the Agreement Upload page, see section 2.2.1 Agreement Upload Page.
2.3.1 Non-Disclosure Agreement SmartForms

Before starting a non-disclosure agreement record, in addition to the information that is normally collected for other types of agreements be sure to collect the following:

- What is the purpose of the exchange? Provide a description.
- Who will be disclosing information: Princeton University, Contracting Party, or both?
- A brief description of the confidential technology or information to be disclosed.
- Is it mandatory to receive or disclose confidential information to accomplish the purpose stated above?
- Is there a deadline to have the agreement signed?
- Is there any possibility that the contracting entity’s confidential information may co-mingle with similar work or information in your possession?
- Will confidential information be shared with non-employees, including students? If yes, provide details.
- Has an invention disclosure been submitted by the PI related to the information that will be received or disclosed? If yes, provide the disclosure number(s).
- Does the PI plan to submit an invention disclosure prior to receipt or disclosure of confidential information? If yes, provide submission date.

2.3.1.1 General Information Page
This page is identical to the General Information Page on the standard smart forms.

For help with completing the General Information Page, see section 2.2.3 General Information Page.

2.3.1.2 NDA Agreement Information
This is the first branching smart form specific to the Non-Disclosure agreement type.
1. Describe the purpose of the exchange:

Add a detailed description provided by the PI.

2. Who will be disclosing information?

Select from the choices of Contracting Party, Institution, or Both.

3. Provide a brief description of the confidential technology or information to be disclosed:

Add a detailed description provided by the PI.

4. Is it mandatory to receive or disclose confidential information to accomplish the purpose stated above?

Select Yes or No.

5. Is there a deadline to have the agreement signed?

Select Yes or No. If yes, a required deadline date field appears.

When completed, select Continue.
2.3.1.3  NDA Additional Information
The final branching smart form for a Non-Disclosure Agreement is the NDA Additional Information form.

2.3.1.4  General Information Page
This page is identical to the General Information Page on the standard smart forms.

*For help with completing the General Information Page, see section 2.2.3 General Information Page.*
2.4 Creating a Subaward Initiation

For subaward amendments, see Section 4.2 Amending a Subaward Agreement.

The negotiation of subaward initiations and amendments are processed in the Princeton ERA Agreements Module, regardless of the proposal having been submitted via Coeus or Princeton ERA. The negotiation of amendments to subawards active prior to Princeton ERA go-live are also processed in Princeton ERA.

2.4.1 Subaward Agreement Upload Page

When creating a subaward, select the “Subaward” agreement type, as shown below. Once selected, additional questions 8, 9, and 10 will appear at the bottom of the Agreement Upload Page.

<table>
<thead>
<tr>
<th>Agreement Upload Field</th>
<th>What it means / how to fill it in</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator</td>
<td>Enter the PI’s full name or last name, or use the % sign as the wildcard. The ellipses can be used to pull up the search pop-up, or you can type into the field for a list of selections to appear.</td>
</tr>
<tr>
<td>Primary Contact</td>
<td>This field defaults to the person creating the agreement record. The Primary Contact is the only person who can submit the agreement, and is the only person who will receive automated email notifications from Princeton ERA</td>
</tr>
</tbody>
</table>
as various milestones are reached. Note that the Primary Contact may be updated by anyone listed as an Agreement Collaborator. In addition, the Princeton ERA team may mass update the Primary Contact for all records associated with a department in case of personnel change.

<table>
<thead>
<tr>
<th>Upload Agreement Draft</th>
<th>In most cases, the box for “First draft to be generated internally?” should be selected. In the less likely event that a draft agreement is available from the contracting organization, upload it here.</th>
</tr>
</thead>
</table>
| Title or Internal Reference Number | Enter the title in the following format:  
  For initiations: AWD100xxxx – Project number – INITIATION  
  For amendments: AWD100xxxx – Project number – AMENDMENT [#] |
| Agreement Type | Select the subaward agreement type. |
| Description | Add a comment that describes the request to your Subaward Administrator, ex. “Please add funding for Year 2 in the amount of $200,000 and extend the subaward POP through 9/1/2023”. In the event that the request requires additional information to be processed, you should add to the description box the following comment: “Instructions attached to Supporting Documents” and upload any additional information in the Agreement Upload Supporting Documents field. Note that additional lines will be inserted above your notes by the Subaward team during review, listing the relevant subaward attributes. |
| Supporting Documents | Refer to the subaward initiation and amendment checklists inside the Subaward Initiation and/or Amendment forms on the [Forms section of the ORPA website](http://example.com) for what to upload to the Supporting Documents section. Be sure to upload each document individually. Do not combine documents. All uploaded documents must follow the subaward document naming conventions detailed on the [Princeton ERA website](http://example.com).  
  - If a subaward is not linked to a Princeton ERA Funding Proposal because the original proposal was submitted in Coeus, or if the documents in the linked Funding Proposal have changed, all documents must be uploaded to this section.  
  - If a subaward is linked to a Princeton ERA Funding Proposal and those documents are current, only the initiation or amendment form, and any additional supporting documentation should be uploaded. Whether or not a proposal is linked to an FP, the PI Certification within the Subaward Initiation form must be signed by the PI. |
| Does this subaward involve human subjects research? | This is an additional subaward-specific field. If yes, upload the relevant IRB approval or exemption under Supporting Documents. |
| Does this subaward involve animal research? | This is an additional subaward-specific field. If yes, upload the relevant IACUC approval under Supporting Documents. |
| Is this subaward to be issued as a fixed price subaward? | This is an additional subaward-specific field. If yes, upload the Schedule of Payments under Supporting Documents. |

2.4.2 Subaward General Information Page

The Subaward General Information Page looks just like the standard smart forms, but note that the record number begins with “REQ”.
General Information Field | What it means / how to fill it in
--- | ---
Select an organization & Contracting Party Name | Select the organization with which the agreement is being signed. You can type into the box for a drop-down list to be populated, or select the ellipses to pull up the search box. If the contracting party is not in Princeton ERA, follow these steps:
1) Leave the “Select an organization” box blank. Selecting the “TBD” option will return an error and prevent from moving on to the next page.
2) Enter the name in the Contracting Party Name box.
3) Email erasupport@princeton.edu to request the new organization to be added.
4) Once the ERA team notifies you that the new organization has been added, update the Select an organization box to include the name of the organization and remove the name from the Contracting Party Name box. Do not submit the record with a blank “Select an organization” box. The agreement record will be returned for clarification by ORPA if it is submitted with a blank organization.

Contracting party contact name | This field is always required for subawards.
Contracting party contact e-mail | This field is always required for subawards.
Contracting party contact phone  This field is always required for subawards.

Additional Contracting Parties  If there are more contracting parties involved in an agreement, please answer yes and then add the contracting parties in the Contracting Parties section. If there are no additional contracting parties, answer no.

Responsible department/division/institute  Enter the responsible (submitting) department, center, or institute. Update it to the responsible (submitting) department, center, or institute, as required.

Agreements collaborators  Enter the names of other departmental users who need access to this record.

2.4.3 Subaward Completion Instructions Page
Select "Finish" to return to the Workspace and complete the required activities there.

2.4.4 Managing Relationships for a Subaward
A subaward initiation for a proposal processed in Princeton ERA should always be linked with the original Funding Proposal. For instructions on how to link a Funding Proposal to an agreement record, see Section 3.4 Managing Relationships.

If the original proposal was submitted in Coeus, a Funding Proposal will not be available for linking. All supporting documents, including the documents submitted with the original Coeus proposal, must be uploaded into the Supporting Documents section of the Agreement Upload page.

2.4.5 PI Certification for Subawards
Note that the subaward PI certification continues to be required as a physical signature on the Subaward Initiation and Amendment forms. An Ancillary Review for PI Assurances should not be entered for subaward initiation or amendment records in Princeton ERA.

3 The Workspace and Activities
This section describes the Agreements Workspace and the various activities which may be executed from the Workspace by the departmental user.
3.1 Areas of the Workspace

3.1.1 View Agreement State, Admin Contact, PI, Dates, and Department in the Workspace

The top left corner of the Workspace provides the following information:

1) The record’s state is shown in the orange rectangle in the top left corner. In the picture shown here the record is in “Pre-Submission” state.
2) Primary Contact: This field defaults to the individual who created the record, but can be switched out on the Agreement Upload page by anyone added to the record as a “Collaborator”.
3) Principal Investigator: The PI on the agreement.
4) Owner: Initially this is blank until a GCA, Contracts Manager, or Subaward Administrator selects it to review via the Assign Owner activity and assigns it to themselves. The name of the assigned GCA, Contracts Manager, or Subaward Administrator will then populate in this field.
5) Created: The date and time when the agreement record was created.
6) Received: The date and time when the agreement was submitted to ORPA.
7) Modified: The latest date and time when the agreement record was modified.
8) Effective: The effective date of the agreement, once signed.
9) Expires: The expiration date of the agreement, once signed.

3.1.2 Available Actions and Activities
The following buttons are available on the left side of the Workspace:

<table>
<thead>
<tr>
<th>Button</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Edit Agreement or View Agreement</td>
<td>These buttons allow you to edit or view the agreement, depending on the state of the agreement record and who is accessing the record. The record stays editable to the departmental user until it moves into “Internal Review” state after being assigned to a GCA or a Subaward Administrator.</td>
</tr>
<tr>
<td>Printer Version</td>
<td>This button launches a pop-up window with a printable version of the Agreement Upload, General Information, and Agreement Information pages. The uploaded documents are available as active links.</td>
</tr>
<tr>
<td>View All Correspondence</td>
<td>This button launches a pop-up window with a printable version of all correspondence caught by the email catcher. Attached documents are available as active links.</td>
</tr>
</tbody>
</table>

The following activities may be executed from the left side of the Workspace:

<table>
<thead>
<tr>
<th>Activity</th>
<th>State in which it can be executed</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Copy Agreement</td>
<td>In any state</td>
<td>Executing this activity will copy the record.</td>
</tr>
<tr>
<td>Manage Relationships</td>
<td>In any state</td>
<td>Executing this activity will allow you to link the record to a Funding Proposal or to another Agreement record. Additional information on linking records is available in Section 3.4 Managing Relationships.</td>
</tr>
<tr>
<td>Manage Access</td>
<td>In any state</td>
<td>Executing this activity will allow you to change the Primary Contact or add Agreement Collaborators.</td>
</tr>
<tr>
<td>Manage Ancillary Reviews</td>
<td>In any state prior to being activated</td>
<td>Executing this activity will allow you to enter a request for an Ancillary Review. Additional information on managing and submitting ancillary reviews is available in Section 3.3 Managing and Submitting Ancillary Reviews.</td>
</tr>
<tr>
<td>Submit Ancillary Review</td>
<td>In any state prior to being activated</td>
<td>Executing this activity will allow you to approve an Ancillary Review which another person requested from you. Additional information on managing and submitting ancillary reviews is available in Section 3.3 Managing and Submitting Ancillary Reviews.</td>
</tr>
<tr>
<td>Submit</td>
<td>Pre-submission, Clarification Requested (Unassigned &amp; In Review)</td>
<td>Executing this activity submits the record directly to ORPA. If you had to manually type in the Contracting Party on the General Information page because you were unable to select it from the Contracting Party list, do not submit the agreement to ORPA. File a ticket with <a href="mailto:erasupport@princeton.edu">erasupport@princeton.edu</a> and request the contracting party to be added to Princeton ERA. Once you receive a response that the party has been added to Princeton ERA, return to the General Information page, search and select the sponsor in the Contracting Party box and then remove the name you manually typed in, press Save and then Submit.</td>
</tr>
<tr>
<td>Withdraw</td>
<td>Unassigned, Internal Review, External Review, Language Finalized, and External Signature</td>
<td>Executing this activity will withdraw the record and return it to Pre-Submission state. Additional information on discarding or withdrawing a record is available in Section 3.5 Discard or Withdraw a Record.</td>
</tr>
<tr>
<td>Discard</td>
<td>Pre-Submission, Clarification</td>
<td>Executing this activity will discard the record and it will no longer be available for use. Additional information on discarding or withdrawing a record is available in Section 3.5 Discard or Withdraw a Record.</td>
</tr>
<tr>
<td><strong>Requested</strong></td>
<td><strong>(Unassigned &amp; In Review)</strong></td>
<td></td>
</tr>
<tr>
<td>----------------</td>
<td>--------------------------------</td>
<td></td>
</tr>
<tr>
<td><em>discarding or withdrawing a record is available in Section 3.5 Discard or Withdraw a Record.</em></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Contact Owner</strong></th>
<th><strong>Clarification</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Requested (In Review), Internal Review, External Review, Language Finalized, External Signature, Active, Expired</strong></td>
<td>Executing this activity allows you to send a note to the record owner (GCA or Subaward Administrator). This will send an email notification to the record owner, and will be logged under the History tab.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Create Amendment</strong></th>
<th><strong>Active, Expired</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Will not appear if there is already an in-progress amendment on the active agreement</strong></td>
<td>Executing this activity will create an amendment to the agreement record. <em>Additional information on amending an agreement record is available in Section 4. Amending an Agreement Record.</em></td>
</tr>
</tbody>
</table>

### 3.1.3 View Agreement Title, Agreement Document, Supporting Documents, and Agreement Type in the Workspace

**ZD Subaward**

The top middle and right areas of the Workspace provide the following information:

1) Agreement record number
2) Agreement title
3) Agreement: This field shows the last modified version of the agreement. Click the ellipses [...] to download a copy, view the history of previous versions, or, if the two files are Word documents, to compare with a previous version.
4) Final Agreement: This field contains the final, executed PDF of the agreement. Click the ellipses [...] to download a copy.
5) Contracting Party: This field displays the contracting party selected on the General Information page Q1, or manually typed into Q1a.
6) Agreement Type: This field shows the agreement type which was selected on the Agreement Upload page.
7) Office: The office reviewing the agreement record, which is always Office of Research and Project Administration.
8) Responsible Department/Division/Institute: The responsible (submitting) department, center, or institute.
9) Description: The information typed into the Description box on the Agreement Upload page.
3.1.4 View Ancillary Review Status in the Workspace

Except for PI Assurances, most Ancillary Review (AR) processes are kicked off by ORPA during the review stage. The reviews which have been requested and their status are listed in this section of the Workspace. The following information is available for each request:


2) **Organization / Person**: The AR review can be requested from an organization (for example, RIA – IRB) kicking off a notification to every individual associated with that organization. Alternatively, the AR can be requested from a specific person. If an organization is selected, the associated individuals will be listed in the “Person” column in the Workspace.

3) **Reqd**: If yes, the AR review is required to be accepted and completed prior to the record becoming active.

4) **Accepted**: When the AR review is submitted and approved, this column will display “yes”.

5) **Comments**: Any comments entered into the Comments box when requesting or approving the AR review.

6) **Docs**: Any supporting documents uploaded with the AR are available as a link in this column.

### 3.1.5 View Agreement Record Tabs

The following tabs are available for viewing in the Workspace of an agreement record:

#### 3.1.5.1 Correspondence Tab

Communication by ORPA relevant to this agreement record using the appropriate format to be caught by the email catcher functionality will populate under this tab.
3.1.5.2 History Tab

The complete history of the agreement record, including each activity which has been executed will populate here. Activities which included an attachment upload will populate under the History tab as a live link.

3.1.5.3 Contacts Tab

Each internal and external contact on the record is listed on the Contacts Tab, including name, organization, email, and phone, if entered. External parties are populated from the General Information page.

3.1.5.4 Snapshot Tab

Automatically generated snapshots of previous versions of the agreement record are saved on this tab.
3.1.5.5 Related Projects Tab

Any funding proposal or agreement linked to the record is shown on the Related Projects Tab. You can navigate to the related project by selecting the ID or name link.

3.1.5.6 Documents Tab

- A new documents tab has a row for the parent agreement and each amendment that has attachments.
- If an amendment does not have documents, the amendment will not be listed on the documents tab.
- The final file and the supporting document files are displayed.

3.1.6 Workflow Map Bubbles

The Workflow Map bubbles show the major steps the agreement record moves through from the pre-submission phase through to activation. These bubbles are the same for original records as well as for amendments.

1) Pre-Submission Status: Agreement creator is working to complete the SmartForms.
2) Unassigned Status: Record has been submitted to ORPA, but has not yet been assigned to a GCA or Subaward Administrator.
3) Clarification Requested Status: GCA, Contracts Manager, or Subaward Administrator may ask the Admin Contact for additional information.
4) In Review Status: The record is being reviewed by the GCA, Contracts Manager, or Subaward Administrator. During this phase ORPA is communicating with the contracting organization to negotiate and sign the agreement.
5) Signing Status: The agreement language has been agreed upon and the contracting organization and ORPA are ready to sign the agreement.
6) Active Status: The agreement has been fully executed.
3.2 Agreement Record States by Workflow Status

**Pre-Submission Status**
- Pre-Submission State: The record will always be in Pre-Submission State while it is in the Pre-Submission workflow bubble.

**Unassigned Status**
- Unassigned State: The record will always be in Unassigned State while it is in the Unassigned Workflow Bubble.

**Clarification Requested Status**
- Clarification Requested State: The record will always be in Clarification Requested State while it is in the Clarification Requested workflow bubble.

**In Review Status**
- Internal Review State: The record is being reviewed by the GCA or Subaward Administrator.
- External Review State: The agreement has been sent out to the contracting party for their review. *Note that an agreement record may move back and forth between Internal Review and External Review States multiple times as agreement or contract language is negotiated.*
- Language Finalized State: The agreement language has been finalized and it is ready to move into the signing phase.

**Signing Status**
- External Signature State: The finalized agreement has been sent out to the contracting party for their signature.

**Active Status**
- Active State: The agreement has been signed by the contracting party as well as by Princeton University, thus it is fully executed. The agreement is active.
- Approved State: A fully executed agreement amendment record moves into approved state.

** Archived Status**
- Discarded State: The record has been discarded and may no longer be edited or submitted.
- Terminated State: The agreement has been ended after being activated. Typically done by ORPA when agreement will not continue.
- Expired State: The amendment end date has passed.

3.3 Managing and Submitting Ancillary Reviews for PI Assurances

Ancillary Reviews for PI Assurances are managed and submitted by the departmental administrator. PI Assurances are required under the following scenarios:

1) The agreement record is not linked to a Funding Proposal.
2) The compliance information in the Funding Proposal to which the record is linked has changed.

PI Assurances are required to be signed by the PI, any co-PI(s), and by the student when the agreement pertains to a student dissertation project.

Unlike the Grants module, PI Assurances cannot be electronically signed by the PI no co-PIs in the Agreements module. The paper-based Assurances method must be used, which means you as the departmental administrator will add the ancillary review to yourself (the department administrator), then
after receiving the signed PI Assurances statement from the PI, you will upload the signed PI Assurances as a PDF attachment when you execute the Submit Ancillary Review activity.
Add Ancillary Review

1. *Select either an organization or a person as reviewer:
   Organization: ...  Person: Zachary Davis ...
   The Assurance Ancillary Review will always go to a Departmental Administrator

2. Review type:
   Assurances  Select Assurances

3. *Is a response required?
   Yes  No  Clear
   Select Yes

4. Send notification now?
   Yes  No  Clear
   Select Yes to have the email notification sent now. If you select No, it will be sent when you submit the Agreement to the ORPA GCA

5. Comments:
   ZD Test Ancillary Review
   Enter in a comment that will help you identify the PI or student signing the PI Assurance. This comment will show in the workspace.

6. Supporting documents: Leave blank
   + Add
   Required

* Required  Click OK  OK  OK and Add Another  Cancel
1. Identify each organization or person who should provide additional review

<table>
<thead>
<tr>
<th>Review Type</th>
<th>Org</th>
<th>Person</th>
<th>Reqd</th>
<th>Accepted</th>
<th>Notify Now</th>
<th>Notified</th>
<th>Comments</th>
<th>Docs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assurances</td>
<td>Zachary Davis</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>ZD Test Ancillary Review</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Comments:

Comments added here will not show on the Ancillary Review, but will show in the history tab section.

3. Supporting Documents:

Attachments added here will not show on Ancillary Review, but will show on history tab section

---

**Pre-Submission**

**REQ00000453AM1**

**AWD1009999 - Project 999999999 - Amendment 1**

- **Primary contact:** Zachary Davis
- **Principal Investigator:** Cecilia Pratt (testpi3)
- **Owner:**
- **Created:** 9/13/2022 4:45 PM
- **Modified:** 9/16/2022 4:23 PM

**Next Steps**

- **Edit Amendment**
- **Print Version**
- **View All Correspondence**

**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>Zachary Davis</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>ZD Test Ancillary Review</td>
<td></td>
</tr>
</tbody>
</table>

**Agreement type:** Subawards
**Office:** Office of Research and Project Administration
**Responsible:** AST, Astrophysical Sciences
**Department/Division/Institute:**
**Description:** ZD Description for Subaward
**Amendment description:** ZD Subaward Amendment

**Pre-Submission**

- **Unassigned**
- **In Review**
- **Clarification Requested**
- **Signing**
- **Active**

**Ancillary Review now appears on Workspace**

---

After the Pi Assurance form has been completed and returned to you, execute the Submit Ancillary Review activity.
3.4 Managing Relationships
Agreement records can be linked to Funding Proposals in the Grants Module, other agreement records in the Agreements Module, or both Funding Proposal and Agreement records if applicable.
3.5 Discard or Withdraw an Agreement Record

An agreement may be discarded or withdrawn prior to activation phase by the primary contact or agreement owner by executing the respective activities in the Workspace.

Withdrawing a record returns it to Pre-Submission state. Departmental administrators may use this if they realize significant changes are needed.

Discarding a record moves it to Discarded state which may not be undone. Once a record is discarded, it can no longer be edited and/or submitted.

3.6 System Notifications

At various stages of processing of the agreement record, Princeton ERA will send notifications from erasupport@princeton.edu to the person listed as the “Admin Contact” on the record. Notifications are sent at the following stages:
This section describes the process to amend an active agreement record by the departmental user.

4.1 Amending an Agreement Record
You may amend an agreement record when it is being extended for an additional period of time.
This will take you to the following page:

**Amendment Information**
- Upload draft amendment file: (or check the box below) [None] [Upload]
- Amendment file draft to be generated internally? [ ]
- Supporting documents:
  - [Add]
  - [Name]
- Amendment Description:

**Agreement Upload**
- Principal investigator:
- Title or internal reference number:
  - Amendment for 2D Agreement Test 1
- Agreement type:
  - Other
- Description:

This is an optional field. If we are just changing the ERA record then this can be left blank. Otherwise, almost always check off Institute to Generate First Draft. This will not overwrite the original Agreement.

Add any supporting documents that would be helpful for your GCA.

Explain the reason the amendment is being made.

If needed, the PI can be changed here. This will update original agreement.

Edit title as needed. Only for amendment, not original.

If needed, the agreement type can be changed. Will update original.

If needed the agreement description can be updated. Will update original.
The Completion Instructions SmartForm appears next.

Click on the Finish button and you will be returned to the Workspace:
The following activities are available on this screen:

- **Discard**: Execute the discard activity if the amendment should be discarded.
- **Manage Ancillary Reviews**: Execute the manage ancillary reviews activity if PI Assurances should be added to the record.
- **Submit**: Execute the submit activity when the record is ready to be submitted to ORPA.

Once an amendment has been fully executed it moves into “Approved” state, unlike an original record which, when fully executed, moves into “Active” state. When an amendment is fully executed, the workflow bubbles are now still present in the Workspace.
4.2 Amending a Subaward Agreement
For subaward initiations, see section 2.4 Creating a Subaward Initiation.

4.2.1 Creating a Subaward Amendment
To create a subaward amendment in Princeton ERA, begin by navigating to the prior initiation REQ # in the Agreements Module and execute the Create Agreement Activity.

You will be taken to the Agreement Information page.

This is an optional field. If we are just changing the ERA record then this can be left blank. Otherwise, almost always check off Institute to Generate First Draft. This will not overwrite the original Agreement.

Add any supporting documents that would be helpful for your subaward administrator.

Explain the reason the amendment is being made.
<table>
<thead>
<tr>
<th>Agreement Information Field</th>
<th>What it means / how to fill it in</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upload Agreement Draft</td>
<td>This is an optional field. If we are just changing the ERA record then this can be left blank. Otherwise, almost always check off Institute to Generate First Draft. This will not overwrite the original Agreement.</td>
</tr>
<tr>
<td>Supporting Documents</td>
<td>Upload new supporting documents related to the amendment being requested. Review the subaward amendment checklists inside the Subaward Amendment forms on the <a href="#">Forms section of the ORPA website</a> for the types of documents to upload here as well as their naming conventions.</td>
</tr>
<tr>
<td>Description</td>
<td>Add a comment that describes the request to your Subaward Administrator, ex. “Please add funding for Year 2 in the amount of $200,000 and extend the subaward POP through 9/1/2020”. In the event that the request requires additional information to be processed, you should add to the description box the following comment: “Instructions attached to Supporting Documents” and upload any additional information in the Agreement Upload Supporting Documents field. Note that additional lines will be inserted above your notes by the Subaward team during review, listing the relevant subaward attributes.</td>
</tr>
</tbody>
</table>

Once completed, select Continue to be taken to the Agreement Upload page.
### Agreement Upload Field

<table>
<thead>
<tr>
<th>Title or Internal Reference Number</th>
<th>What it means / how to fill it in</th>
</tr>
</thead>
<tbody>
<tr>
<td>The words “Amendment for” will be appended to the beginning of the title. Remove this, and instead follow the below format: AWD100xxxx – Project number – AMENDMENT [#]. The amendment number in the title should always match the request being processed, not the Princeton ERA record number. For example, if you are: Now submitting a 2nd amendment, where the initiation was processed pre-Princeton ERA go live the 1st amendment was processed as the original Princeton ERA record then the amendment title should be: AWD100xxxx – Project Number – AMENDMENT 2 even though the agreement record number will be REQxxxxxxxxAM1.</td>
<td></td>
</tr>
</tbody>
</table>

Then click continue and you will be taken to the General Information page.

All fields default from the original record, however note the below for possible changes:

Subrecipient Administrative Contact Information – An admin contact can change and often does throughout the course of an agreement. This is an opportunity for you to add a new subrecipient admin contact, if applicable. Be sure to always review for each amendment to ensure that the Subaward Administrators are sending revised agreements to the correct subrecipient contact.
Once completed, select Continue to be taken to the Completion Instructions SmartForm page. Select Finish to return to the Workspace.

- Note that the Manage Relationships activity will not be available in an amendment record; this is established and modified in the original record.
- Note the Agreements Collaborators will not be available in the amendment record; updates to Agreements Collaborators can be made in the Manage Access activity in the original parent agreement.

You can now submit the record to the Subaward Team.

Note that if applicable, the Funding Proposal record is linked on the Subaward Initiation record, and does not show in the Amendment record.

Once the record is submitted to the Subaward Team, the below process will be followed:
1) The record will be assigned to a member of the Subaward Team.
2) The Subaward Team will edit the Agreement Upload Page if the title is not in the following format:
   a. #4 – Title – Change from ”Amendment for AWD100XXX – Project number – Initiation” to “AWD100XXX – Project number – Amendment 1”
3) Once Subaward Team creates the amendment, Subaward Team will execute the “Revise Agreement” activity to upload the amended subaward document. This ensures that the prior history of the initiation of the agreement remains on the record.
4) Subaward Team follows the same process as during the subaward initiation for completing the activities to fully execute the amended subaward document. The state of the record will be “APPROVED”.
5) Note the following Approve Activity distinctions:
   a. For unilateral amendments: Subaward Team will use the same date for internal and external signatures.
   b. For bilateral amendments: Subaward Team will execute Approve activity after fully executed amendment is received from subrecipient, therefore the approval dates will be different for internal and external signatures.
6) Subaward Team uploads audit documents via the “Log Correspondence” activity after the amendment is approved.
4.2.2 Creating an Amendment to a Pre-Princeton ERA Initiation

When a subaward modification, now called amendment, is processed in Princeton ERA for a subaward where the initiation was processed prior to Princeton ERA go live as if you were requesting an initiation. Meaning, in effect, create a new agreement record and follow the steps above for creating a subaward initiation, but keep in mind the following:

1. On the Agreement Upload page, be sure to check “institution to generate first draft”
2. Continue to follow the title naming convention, but instead of initiation use amendment and the number (i.e. AWDXXXXXXX – Project # – Amendment [#])
3. Under Supporting Documents, use the checklist in the Subaward Amendment document on the ORPA Forms website. Uploading the Subaward Amendment form is always required for all amendments, however other relevant documentation (such as scope of work, budget, and budget justification) should be uploaded only in the event that they have changed since the initiation.
4. You will not link the record to a Funding Proposal, since the proposal was not processed in Princeton ERA.
5. The final state of the agreement record will be “Active” rather than “Approved”.

4.2.3 Subaward Initiation and Amendment Record IDs

A subaward amendment will be created in Princeton ERA even if the subaward initiation was processed prior to Princeton ERA go-live. The subaward record naming and approval states in Princeton ERA in these cases will not match the actual status of the subaward. See below for more details:

<table>
<thead>
<tr>
<th>If the proposal was submitted in...</th>
<th>The subaward initiation was processed in...</th>
<th>The first mod / amendment was processed...</th>
<th>The initial ERA record number was...</th>
<th>You are now processing a...</th>
<th>The new ERA record number will be...</th>
<th>And the fully executed state will be...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coeus</td>
<td>pre ERA go-live</td>
<td>Not yet processed</td>
<td>No previous ERA record</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; amendment</td>
<td>REQxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Coeus</td>
<td>pre ERA go-live</td>
<td>pre ERA go-live</td>
<td>No previous ERA record</td>
<td>2&lt;sup&gt;nd&lt;/sup&gt; / 3&lt;sup&gt;rd&lt;/sup&gt; / etc amendment</td>
<td>REQxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Coeus</td>
<td>pre ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxx</td>
<td>2&lt;sup&gt;nd&lt;/sup&gt; / 3&lt;sup&gt;rd&lt;/sup&gt; / etc amendment</td>
<td>REQxxxxxxxxxxAM1</td>
<td>Approved</td>
</tr>
<tr>
<td>Coeus</td>
<td>post ERA go-live</td>
<td>Not yet processed</td>
<td>No previous ERA record</td>
<td>Initiation</td>
<td>REQxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Coeus</td>
<td>post ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxx</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; amendment</td>
<td>REQxxxxxxxxxxAM1</td>
<td>Approved</td>
</tr>
<tr>
<td>Princeton ERA</td>
<td>post ERA go-live</td>
<td>Not yet processed</td>
<td>No previous ERA record</td>
<td>Initiation</td>
<td>REQxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Princeton ERA</td>
<td>Post ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxx</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; amendment</td>
<td>REQxxxxxxxxxxAM1</td>
<td>Approved</td>
</tr>
</tbody>
</table>
5 Additional Agreement Functionality

5.1 Manage Access

- There is a new activity as of the August 2022 upgrade called “Manage Access” which is available to the primary contact, owner, and collaborators.
- It is available only on the parent agreement.
- Updates made to access on the parent will automatically apply to the amendments.
5.2 Alternate row shading
Any screen that has multiple rows of data, such as your Dashboard or the Agreements tab now has alternate row shading, so it’s easy to see the data on each row.

5.3 Pinned lists
The Recently Viewed bar on the left side of your Dashboard has always existed, but now there are two tabs: The Recent tab and the Pinned tab. You can pin your favorite or frequently referenced agreements on this tab, up to 10 agreements. Note that when you are in the Grants module, your Recent and Pinned lists are for FPs, and when you are in the Agreements module, your Recent and Pinned lists are for agreements. (How do you know which module you are in? The URL has the word Grants or Agreements in it, respectively).
• Click on the pin icon in your Recent list to pin an Agreement to your Pinned list.
• Click on the pin icon in your Pinned list to remove an Agreement from your Pinned list.
• If you want to pin an Agreement and it’s not in your Recent list, search for and view the Agreement, then it will appear on your Recent list so you can pin it.

5.4 Breadcrumbs

Breadcrumbs are persistently displayed on the workspace. The breadcrumb is a clickable link that allows for easy navigation from the amendment back to the parent agreement.

5.5 Site Search

• Site search is a way to search for terms in Agreements records (e.g. titles) and attachments.
• Click on the Agreements tab.
• Enter search terms in the search box and click on the magnifying glass or press enter.
A list of agreements with the term somewhere in the name of the agreement or attachments uploaded to the agreement will appear.

In this example, I searched for the word “pine” which was in a document called “trees”.

Always search on “anything” even if you are looking for a word in an attachment or document. “Documents” in this case does not mean documents or attachments.

Questions?

Contact erasupport@princeton.edu and we’ll assist!