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1 What is the Princeton ERA Agreements Module?

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

Create New Agreement
- Fill in details on the SmartForm pages
- Upload supporting documentation

Link to Other Records
- Link to Funding Proposal, if applicable
- Link to other Agreement(s), if applicable

Complete PI Assurance
- If needed, obtain PI Assurance
- Submit PI Assurance via Ancillary Review

Submit to ORPA
- 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, Data Sharing Plan, 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><strong>Master Research Agreement (MRA)</strong></td>
<td>May be appropriate where a single sponsor intends to fund multiple research projects at the University over a long period of time for specific purposes, but desires an open-ended scale or scope of work for individual projects. In these situations the sponsor commits to funding defined periods of performance for a project pursuant to a detailed statement of work (SOW). However, the terms and conditions are predetermined by the MRA and generally are not subject to renegotiation.</td>
<td>Standard</td>
</tr>
<tr>
<td><strong>Scope of Work (SOW)</strong></td>
<td>Used in conjunction with a master research agreement (MRA). The scope of work (SOW) will be linked to both a Funding Proposal and the MRA agreement record.</td>
<td>Standard</td>
</tr>
<tr>
<td><strong>Non-Disclosure Agreement (NDA)</strong></td>
<td>Also known as a confidentiality agreement (CA), confidential disclosure agreement (CDA), proprietary information agreement (PIA), or secrecy agreement, is a legal contract between at least two parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for certain purposes, but wish to restrict access to or by third parties. It’s a contract through which parties agree not to disclose information covered by the agreement.</td>
<td>Branching</td>
</tr>
<tr>
<td><strong>Subaward</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><strong>Collaboration Agreement</strong></td>
<td>Used between institutions irrespective of whether sponsored funding is anticipated. In addition to programmatic issues, this type of agreement could include additional terms, such as those included in a Facility Use Agreement or intellectual property.</td>
<td>Standard</td>
</tr>
<tr>
<td><strong>Data Sharing Plan (DSP)</strong></td>
<td>These are sometimes requirements of federal program announcements. Essentially, they contain information</td>
<td>Branching</td>
</tr>
</tbody>
</table>
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.

**Facility Use Agreement (FUA)**

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.

**Research Agreement (RA)**

This type should be used for funded and non-funded agreements that are tied to an extramural source separate from a Master Research Agreement. These agreements include specified terms, conditions and/or milestones that may need to be negotiated. This would include foundation awards, industry contracts and other financial assistance agreements.

**Service Agreement**

This type should be selected when contracting with external parties for the use of Princeton facilities.

**Other**

Use this type for any other agreement not specifically identified. Common examples include a Data Use Agreement (DUA), or a Memorandum of Understanding (MOU).

**Migrated Non-Funded Agreement**

*Do not use*

This agreement type was used for the migration of non-financial agreements from Coeus. This agreement type should NOT be used for any new agreements created in Princeton ERA.

### 1.4 Navigating the Agreements Tab

When logged in to the Dashboard, you can navigate to the Agreements tab to enter the Agreements Module. Remember, that 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. This is not used by ORPA at this time.
- **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 funding proposal ID
- Search by Name (short title) using key words – use the wild card feature by entering a “%” sign before the key word. For example, search %brain study
- Search by State

You can also use the various tabs to search by agreements in Unassigned, New, In Progress, Active, or Archived statuses. (Note that ORPA does not use “Evergreen” clauses in contracts, therefore no items will appear on the Evergreen tab.)

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 workspace.

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 and Data Sharing Plans.

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.
Enter the name of the PI on the agreement.

Defaults to the record creator.

In most cases, select “Institution to generate first draft”.

Enter the agreement title (note: reference the chart below for student agreements or subaward titles.)

Select the appropriate agreement type.

Enter a description to explain the record. This is not required, but helpful to your GCA.

Upload a Scope of Work, and any other supporting documentation.

Enter the responsible department, center, or institute.

When completed, select Continue.
<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. If this is a student submission, the advisor should be entered as the PI.</td>
</tr>
<tr>
<td>Admin Contact</td>
<td>This field defaults to the person creating the agreement record. The Admin Contact is the only person who can submit the record, and is the only person who will receive automated email notifications from Princeton ERA as various milestones are reached. Note that the Admin Contact may be updated by anyone listed as an Agreement Collaborator. In addition, the Princeton ERA team may mass update the Admin Contact for all records associated with a department in case of personnel change.</td>
</tr>
<tr>
<td>Upload Agreement Draft</td>
<td>In most cases, the box for “Institution to generate first draft?” should be selected. In the less likely event that a draft agreement is available from the contracting organization, upload it here.</td>
</tr>
</tbody>
</table>
| 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.                                                   |
| Responsible Department / Division / Institute | Enter the responsible (submitting) department, center, or institute.                                                                                                          |

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 ID Format
The agreement record ID 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>SOWxxxxxxx</td>
</tr>
<tr>
<td>Non-Disclosure Agreement</td>
<td>NDAxxxxxxx</td>
</tr>
<tr>
<td>Subaward</td>
<td>REQxxxxxxx</td>
</tr>
<tr>
<td>Collaboration Agreement</td>
<td>CAxxxxxxx</td>
</tr>
<tr>
<td>Data Sharing Plan</td>
<td>DSPxxxxxxx</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>SAXxxxxxxx</td>
</tr>
<tr>
<td>Other</td>
<td>OTHxxxxxxx</td>
</tr>
<tr>
<td>Migrated Non-Funded Agreement</td>
<td>MIGxxxxxxx</td>
</tr>
</tbody>
</table>

2.2.3 General Information Page

Select the contracting party name. If not in the system, leave the “Select an organization” field blank and enter the name in the Contracting Party Name box.

These fields are not required, but helpful for your GCA.

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

When completed, select Continue.
<table>
<thead>
<tr>
<th>General Information Field</th>
<th>What it means / how to fill it in</th>
</tr>
</thead>
</table>
| 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 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 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 for clarification 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.                                                                                                                   |
| Agreements collaborators                  | Enter the names of other departmental users who need access to this record.                                                                                                                                                    |

### 2.2.4 Agreement Information

*Note that this page should be left blank for subawards.* Other record types may require this information. See table below, or check with your GCA for additional details.
<table>
<thead>
<tr>
<th>Agreement Information Question</th>
<th>What it means / how to fill it in</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is this part of a master agreement?</td>
<td>Master agreements are used on rare occasions at Princeton. While the answer to this question is generally no, if unsure, check with your PI or your GCA.</td>
</tr>
<tr>
<td>Is this part of a model agreement?</td>
<td>Princeton does not use model agreements at this time. Check “no” or leave blank.</td>
</tr>
<tr>
<td>Does this project involve taxable use?</td>
<td>We are not using this field at this time. Check “no” or leave blank.</td>
</tr>
</tbody>
</table>
| Will any other sponsored support be used in this project?               | For **non-funded agreements**: Are the PI, student(s), collaborators, or any other project-related labor, or any materials used in this project funded by sponsored funds? If so, check “yes” and disclose the source via the Supporting Documents.  
For **funded research agreements**: Check “no”.                                                                 |
| Will any other third party IP or material be used in this project?      | If the agreement requires the listing of third party IP or material, check “yes” and provide this information in the agreement. If unsure, leave blank.          |
| Is there student participation associated with this project?            | Select “yes” if this is a student project or otherwise relevant student participation should be disclosed.                                                        |
2.3 Completing the NDA and DSP Branching SmartForms

When selecting the Non-Disclosure Agreement or the Data Sharing Plan agreement type on the Agreement Upload page, additional SmartForm pages will appear.

For help with completing the Agreement Upload page, see section 2.2.1 Agreement Upload Page.

2.3.1 Non-Disclosure Agreement SmartForm

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.
The agreement record number begins with NDA.

Add a detailed description provided by the PI.

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

Add a detailed description provided by the PI.

Select Yes or No.

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.

2.3.2 Data Sharing Plan SmartForm

Before starting a data sharing plan record, in addition to the information that is normally collected for other types of agreements, be sure to collect the following:

- Description from the PI regarding how the information will be gathered, used, or made available.
- Data management plan, if applicable.
- Description from the PI of the funding requirements, including compensation for data management personnel or other resource sharing and allocation, if applicable.
- If there is an external funder associated with this project, who is the funder?
- Who owns the data? Select from the choices of consortium, funder, institution, local community, partnership, or researcher. If the owner is consortium, local community, or partnership, provide details.
- Description from the PI of the plans for data storage, archiving, and security.
- Will data be made available to non-employees? If yes, who will be given access to the data? Provide a description of the plans to manage approval for access.
- Description from the PI of any confidentiality concerns that should be considered as part of this agreement, if applicable.

2.3.2.1 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.
2.3.2.2 DSP Agreement Information

- The agreement record number begins with DSP.
- Add a detailed description provided by the PI.
- Upload the data management plan.
- Add a detailed description provided by the PI.
- Add the organization funding the project, if applicable.

When completed, select Continue.
2.3.2.3 DSP Additional Information

1. *Who owns the data?*
   - Select from the choices of Consortium, Funder, Institution, Local Community, Partnership, or Researcher

2. *Describe plans for data storage, archiving, and security:*
   - Add a detailed description provided by the PI.

3. *Will data be made available to non-employees?*
   - Select Yes or No. If yes, answer:
     - 3a. Who will be given access to the data?
     - 3b. Describe plans to manage approval for access.

4. *Describe any confidentiality concerns that should be considered as part of this agreement:*
   - Add a detailed description provided by the PI.

Click Finish to complete the agreement setup and return to the Workspace.
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 9, 10, and 11 will appear at the bottom of the Agreement Upload Page.

Enter the name of the PI on the award.

Defaults to the record creator.

In nearly all cases, select “Institution to generate first draft”.

Enter the title in the required format (see chart below).

Select “Subawards”.

Add a description that describes the request to your Subaward Administrator.

See chart below for items to upload as supporting documentation.

Enter the responsible department, center, or institute.

See additional subaward related questions on the next 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. If this is a student submission, the advisor should be entered as the PI.</td>
</tr>
<tr>
<td>Admin Contact</td>
<td>This field defaults to the person creating the agreement record. The Admin Contact is the only person who can submit the record, and is the only person who will receive automated email notifications from Princeton ERA as various milestones are reached. Note that the Admin Contact may be updated by anyone listed as an Agreement Collaborator. In addition, the Princeton ERA team may mass update the Admin Contact for all records associated with a department in case of personnel change.</td>
</tr>
<tr>
<td>Upload Agreement Draft</td>
<td>In most cases, the box for “Institution to generate first draft?” should be selected. In the less likely event that a draft agreement is available from the contracting organization, upload it here.</td>
</tr>
</tbody>
</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 Subawards.                                                                                                                                                                                                                                        |
| 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 9/1/2020”. 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. |
| 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](https://www.orpa.princeton.edu/forms) 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](https://www.orpa.princeton.edu).  
- 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.

<table>
<thead>
<tr>
<th>Responsible Department / Division / Institute</th>
<th>Enter the responsible (submitting) department, center, or institute.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does this subaward involve human subjects research?</td>
<td>This is an additional subaward-specific field. If yes, upload the relevant IRB approval or exemption under Supporting Documents.</td>
</tr>
<tr>
<td>Does this subaward involve animal research?</td>
<td>This is an additional subaward-specific field. If yes, upload the relevant IACUC approval under Supporting Documents.</td>
</tr>
<tr>
<td>Is this subaward to be issued as a fixed price subaward?</td>
<td>This is an additional subaward-specific field. If yes, upload the Schedule of Payments under Supporting Documents.</td>
</tr>
</tbody>
</table>

### 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”.

- The title is shown here.
- The agreement record number begins with REQ.
- Select the contracting party name. If not in the system, leave the “Select an organization” field blank and enter the name in the Contracting Party Name box.
- Enter the administrative contact at the subrecipient organization. These fields are mandatory for subawards.
- Enter the names of other departmental users who need access to this record.
- When completed, select Continue.
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. Enter information for the administrative contact at the subrecipient organization.
Contracting party contact e-mail | This field is always required for subawards. Enter information for the administrative contact at the subrecipient organization.
Contracting party contact phone | This field is always required for subawards. Enter information for the administrative contact at the subrecipient organization.
Agreements collaborators | Enter the names of other departmental users who need access to this record.

2.4.3 Subaward Agreement Information Page
The Agreement Information Page is not required to be completed for a subaward.

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 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 show in the orange rectangle in the top left corner. In the picture shown here the record is in “Pre-Submission” state.

2) Admin 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 or subaward administrator selects it to review via the Assign Owner activity and assigns it to themselves. The name of the assigned GCA 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.
10) Department: The department selected on the Agreement Upload page.

3.1.2 Available Actions and Activities

**Next Steps**

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

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><strong>Edit Agreement or View Agreement</strong></td>
<td>These buttons allow you to edit or view the agreement, depending on the state of the agreement 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><strong>Printer Version</strong></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><strong>View All Correspondence</strong></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. <em>Additional information on linking records is available in Section 3.4 Managing Relationships.</em></td>
</tr>
</tbody>
</table>
### Manage Ancillary Reviews

In any state prior to being activated

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.

### Submit Ancillary Review

In any state prior to being activated

Executing this activity will allow you to approve an Ancillary Review which was requested from you. Additional information on managing and submitting ancillary reviews is available in Section 3.3 Managing and Submitting Ancillary Reviews.

<table>
<thead>
<tr>
<th>Activity</th>
<th>State in which it can be executed</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notify Ancillary Reviews</td>
<td>In any state prior to being activated</td>
<td>Executing this activity will allow you to send a reminder to those individuals who were requested to submit an Ancillary Review.</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</td>
</tr>
<tr>
<td>Withdraw</td>
<td>Unassigned, Internal Review, External Review, Language Finalized, and Out for 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 Requested (Unassigned &amp; In Review)</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>Contact Owner</td>
<td>Clarification Requested (In Review), Internal Review, External Review, Language Finalized, Out for Signature, Active, Expired</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>
<tr>
<td>Create Amendment</td>
<td>Active, Expired Will not appear if there is already an in-progress amendment on the active agreement</td>
<td>Executing this activity will create an amendment to the agreement record. Additional information on amending an agreement record is available in Section 4. Amending an Agreement Record.</td>
</tr>
</tbody>
</table>

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

DSP00000002

**Agreement for: Test for creating agreement**

<table>
<thead>
<tr>
<th>Agreement:</th>
<th>Agreement type: Data Sharing Plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement:</td>
<td>Office: Office of Research and Project Administration</td>
</tr>
<tr>
<td>Final agreement:</td>
<td>Description: This is my DSP</td>
</tr>
</tbody>
</table>

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) Supporting documents: Any documents uploaded to the Supporting Documents field on the Agreement Upload page will populate here.
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) Description: The information typed into the Description box on the Agreement Upload page.

### 3.1.4 View Ancillary Review Status in the Workspace

<table>
<thead>
<tr>
<th>Ancillary Review</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>Eszter Rudy</td>
<td></td>
<td>yes</td>
<td>yes</td>
<td>Attached is the signed PI Assurance for Martha Gibbs.</td>
<td></td>
</tr>
<tr>
<td>Compliance Review</td>
<td>RIA – IRB</td>
<td>Chad Pettengill, Paul Hrynaiak, Susan Kesling</td>
<td>yes</td>
<td></td>
<td>Please review for IRB.</td>
<td></td>
</tr>
</tbody>
</table>

With the exception of 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 show “yes”.
5) Comments: Any comments entered the Comments box when requesting or approving the AR review. Comments added when the AR is requested will be replaced by any comments added when the AR is submitted.
6) Docs: Any supporting documents uploaded when the AR is requested or submitted appear here. Documents uploaded when the AR is requested will be replaced by documents uploaded when the AR is submitted or will appear blank if no documents are uploaded when submitting.

### 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 Communication 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.
3.1.6 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 or Subaward Administrator may ask the Admin Contact for additional information.
4) **In Review Status**: The record is being reviewed by the GCA 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**
- **Out for 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 agreement 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 in the Agreements module. The paper-based PI Assurances method must be used, which means you as the departmental administrator will add the ancillary review to yourself, then after receiving the signed PI Assurances statement from the PI, you will upload the signed PI Assurances as an attachment when you execute the Submit Ancillary Review activity.

![Image](image_url)

**Execute the Manage Ancillary Reviews activity.**
1. Identify each organization or person who should provide additional review.  
Select “Add”.

2. Comments:

3. Supporting Documents:

There are no items to display.
The Ancillary Review for a PI Assurance is always to the departmental administrator.

Select "Assurances".

Select "Yes".

Enter a comment which will help you identify the PI or student signing the PI Assurance. This comment will show in the Workspace.

Leave blank.

Select OK to save the AR request.
1. Identify each organization or person who should provide additional review

The AR is now listed on the Manage Ancillary Reviews page.

2. Comments:

Include the review type and comments in the comments box. These comments do not appear in the email sent to the ancillary reviewer, but they do appear on the History tab.

3. Supporting Documents:

Use Drag and Drop to easily upload any attachments relevant to ancillary reviews. These attachments do not appear in the email sent to the ancillary reviewer, but they do appear on the History tab.

Select OK again to save the AR request and return to the Workspace.

Execute the Submit Ancillary Review activity once the PI Assurance has been signed and returned to you.

The AR for the PI Assurance is now listed in the Workspace.
3.3.1 Add Additional Ancillary Reviews

Within the Agreements module, department administrators will typically only add ancillary reviews for the PI Assurance. If you believe additional ancillary reviews may be required, discuss with your GCA or subaward administrator to confirm.
To add additional ancillary reviews, select the “Manage Ancillary Review” activity on the left side of the workspace and follow the steps below:

1. **Press Add.**
2. **Select an Organization or specify a person.** See the chart for guidance.
3. **Select a review type**
4. **Unless this Ancillary Review is an FYI, select Yes.**
5. **These comments appear in the email to the Ancillary Reviewer—sign your name so the reviewer knows who is requesting the review. These comments also appear on the agreements workspace, but are overwritten by the reviewer’s comments when they submit their review. These comments do not appear in the History tab.**
6. **Upload all attachments the reviewer needs to complete their review. These attachments appear on the agreements workspace + are overwritten by any files uploaded when the reviewer submits their review. These attachments are not included in the email to the reviewer + do not appear in the History tab.**
7. **Click OK.**
8. **Include the review type and comments for the ancillary reviewer here. These comments will always appear on the History tab.**
9. **Drag + drop any attachments for the reviewer here. These attachments will always appear on the History tab.**
10. **Click OK. This triggers the email to be sent.**

After clicking OK in #10 and submitting the agreement via the Submit activity, an email is sent from erasupport@princeton.edu (not from your email address) to the person specified in #1, or the people associated with the “organization” in #1. Only the comments in #5 are included in the email. No attachments are included in the email. The comments in #8 + the attachments in #9 will always appear on the History tab. The comments in #5 + the files in #6 will appear on the Agreements workspace (which makes it easy for the reviewer to see everything they need in one place to complete their review) but will be overwritten by any comments + files uploaded by the reviewer while completing their review.

All ancillary reviews will appear on the Agreements Workspace, including a column stating if they have been Accepted.

| Ancillary Reviews | 
|-------------------|---|
| **Review Type**   | Organization | Person | Req | Accepted | Comments | Docs |
| Ad Hoc Review     | Kyle Burkhardt | yes | Please review for (ABC) reason. Thanks, Stacey | ![attachment](add-AR-file1.pdf) ![attachment](add-AR-file2.pdf) |
| Ad Hoc Review     | Zachary Davis | yes | yes | Looks good to me | ![attachment](Submit-AR-attachment.pdf) |

The system will not automatically send reminders for un-accepted ancillary reviews, but if needed you can use the “Notify Ancillary Reviewers” activity to send an email reminder to the reviewer.

### 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 a Funding Proposal and an agreement record if applicable.
Execute Manage Relationships activity.

Start typing the FP or Agreement ID or select the ellipses [...] to pull up the search.

Once selected, the FP will show up here.

Select OK to save the activity.
3.5 Discard or Withdraw an Agreement Record

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

**Withdrawning** 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:
<table>
<thead>
<tr>
<th>Notification Name</th>
<th>Notification Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification of Ancillary Review Submitted</td>
<td>Unlike the Grants module, Princeton ERA will send a notification when the ancillary reviewer completes their review. Triggered by ancillary reviewer executing the Submit Ancillary Review activity.</td>
</tr>
<tr>
<td>Owner Assigned</td>
<td>Notification sent when an agreement owner is assigned. Triggered by the Assign Owner activity.</td>
</tr>
<tr>
<td>Clarifications Requested</td>
<td>Notification to let the user know clarifications to the agreement are requested. Triggered by the Request Clarification activity.</td>
</tr>
<tr>
<td>Language Approved</td>
<td>Notification sent when agreement language is approved. Triggered by the Approve Language activity.</td>
</tr>
<tr>
<td>Agreement Activated</td>
<td>Notification sent when agreement is activated. Triggered by the Activate activity.</td>
</tr>
<tr>
<td>Agreement Approved</td>
<td>Notification sent when an agreement amendment is Approved. Triggered by the Approve activity.</td>
</tr>
<tr>
<td>Notification of Expiration Reminder</td>
<td>Notification the agreement end date is approaching; sent 90, 60, and 30 days before agreement ends. Automatic based on expiration date.</td>
</tr>
<tr>
<td>Agreement Expired</td>
<td>Reminder sent when the agreement is past its expiration date. Automatic based on expiration date.</td>
</tr>
</tbody>
</table>

### 4 Amending an Agreement Record

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 launch the following pop-up window:

Select OK to create the amendment.
“AM1” has been added to the end of the agreement record number.

“Amendment” is added to the beginning of the title. The amendment number is added to the end of the title. This field is editable.

This information populates from the original record. Review, and make any changes as needed. Refer to Section 2.2.1 Agreement Upload page for additional information.

When completed, select Continue.
This information populates from the original record. Review, and make any changes as needed. Refer to Section 2.2.3 General Information Page for additional information.

When completed, select Continue.

This information populates from the original record. Review, and make any changes as needed. Refer to Section 2.2.4 Agreement Information for additional information.

Click Finish to complete the amendment set-up and return to the Workspace.
Once the SmartForms are completed, you will be returned to the Workspace:

The record is in Pre-Submission state.

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 no longer present in the Workspace.

The record is in Approved state.

The workflow bubbles are not available.
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.

Once successfully executed, a “Go To Amendment” button will appear. Select it to view and edit the amendment record.
You will be taken to the Agreement Upload page.

- **Original agreement populates here. Do not delete it.**
- **Add a description relevant to the amendment record.**
- **Update supporting documents as needed.**
<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>Defaults from the original record.</td>
</tr>
<tr>
<td>Admin Contact</td>
<td>Defaults from the original record.</td>
</tr>
<tr>
<td>Upload Agreement Draft</td>
<td>The prior fully executed agreement will already be uploaded here. <strong>Do Not Delete it</strong> as doing so will remove the original agreement from the original record as well. Once the subaward amendment record is submitted to the Subaward Administrator and the subaward amendment agreement is drafted, the Subaward Administrator will upload the revised agreement here. This will not overwrite the prior agreement but instead create a history that will be viewable for this amendment and future amendments.</td>
</tr>
</tbody>
</table>
| Title or Internal Reference Number | 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-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. |
| Agreement Type                  | Defaults from the original record.                                                                                                                                                                                                |
| 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 9/1/2020”. 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. |
| Supporting Documents            | Prior supporting documents from the original agreement record will already be uploaded here. Delete the prior supporting documents, unless still relevant (ex. the original budget document may be relevant to amendments), and upload new supporting documents related to the amendment being requested. Review the subaward amendment checklists inside the Subaward Amendment forms on the Forms section of the ORPA website for the types of documents to upload here as well as their naming conventions. |
| Responsible Department / Division / Institute | Defaults from the original record.                                                                                                                                                                                                |
| Does this subaward involve human subjects research? | Defaults from the original record.                                                                                                                                                                                                |
| Does this subaward involve animal research?  | Defaults from the original record.                                                                                                                                                                                                |
| Is this subaward to be issued as a fixed price subaward? | Defaults from the original record.                                                                                                                                                                                                |

Once completed, select Continue to 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.

Department Collaborators – Update if department personnel has changed.

Once completed, select Continue to be taken to the Agreement Information Page, which should continue to be left blank. 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.

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...</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>1st amendment</td>
<td>REQxxxxxxxxxxx</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>2nd / 3rd / etc amendment</td>
<td>REQxxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Coeus</td>
<td>pre ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxxxxxx</td>
<td>2nd / 3rd / etc amendment</td>
<td>REQxxxxxxxxxxxAM1</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>REQxxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Coeus</td>
<td>post ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxxxxxx</td>
<td>1st amendment</td>
<td>REQxxxxxxxxxxxAM1</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>REQxxxxxxxxxxx</td>
<td>Active</td>
</tr>
<tr>
<td>Princeton ERA</td>
<td>Post ERA go-live</td>
<td>post ERA go-live</td>
<td>REQxxxxxxxxxxx</td>
<td>1st amendment</td>
<td>REQxxxxxxxxxxxAM1</td>
<td>Approved</td>
</tr>
</tbody>
</table>