University of Virginia

ResearchUVA
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Job Aid: Submitting an Agreement to OSP
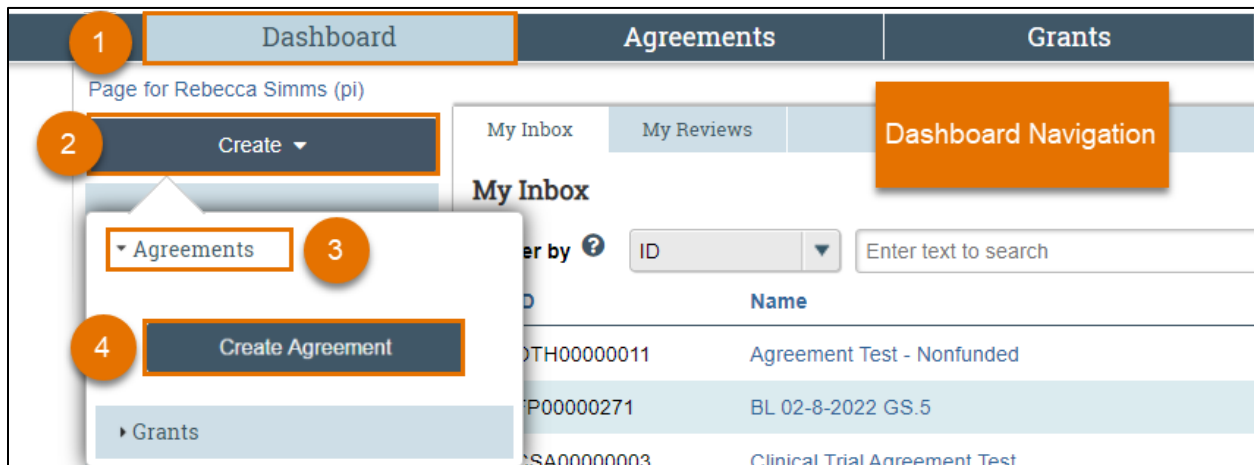
1   Agreement Submission Overview

The Agreements module is used to create, negotiate, and execute funded and non-funded agreements, including outgoing subawards and clinical trials. Creating an agreement consist of completing the Agreement SmartForm, which is a series of pages where you will answer questions about the agreement.

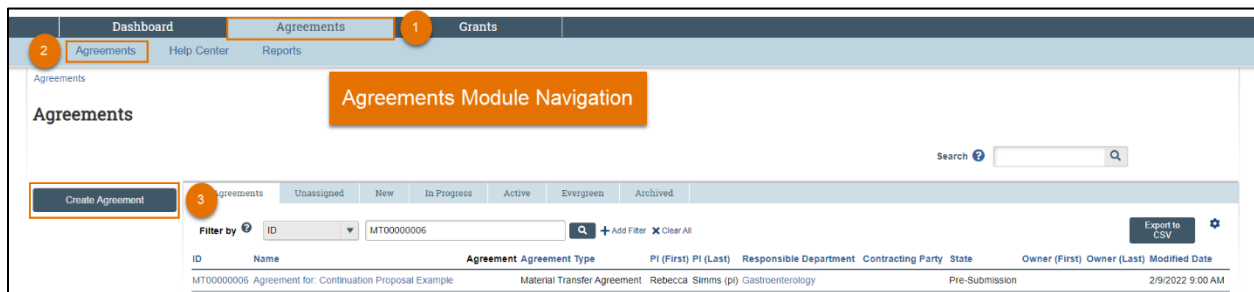🛑 *Important: This job aid outlines how the UVA Research Community will initiate agreements.*

📝 *Note: Certain types of agreements will be initiated by the UVA Research Community and other types of agreements will be initiated by the Office of Sponsored Programs (OSP). The* appendix *to this job aid outlines the agreement types and agreement initiator.*

2   How to Create an Agreement

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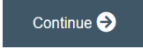

2. Complete the Agreement SmartForm pages. The section below walks you through each of the pages. When finished with each page, click **Continue** [Continue ➔] to navigate through the rest of the SmartForm pages.

💡 *Tip: Click on the **Help icons** ❓ throughout the SmartForm for additional information on how to answer the questions.*

3   How to Complete the Agreement SmartForm Pages

3.1   Agreement Upload Page

1. Agreement Manager/Principal Investigator – Enter or search for the PI's name.

2. Administrative Contact – This field is automatically populated with the person who created the agreement but can be changed if necessary.

3. Upload agreement draft – Upload a draft of the agreement document if available or use the **First draft to be generated internally** checkbox if applicable.

📝 *Note: For outgoing subawards, please click the* First draft to be generated internally *checkbox.*

4. Project Title or identifier – Click the help link for guidance on how to name the agreement record.

5. Agreement type – Select the agreement type.

6. **Description** – Provide a succinct description of the purpose of the agreement.

7. **Supporting documents** – Attach any supporting documents that may be required to review or issue the agreement. Documents uploaded here will also appear in the Documents tab of the workspace.

8. Does this request require UVA to provide funding (>$500) to an outside party for goods and services? – Answer Yes or No as appropriate. As described in the help text, this question is aimed at ensuring that the agreement should not be routed through the appropriate procurement office to secure goods and/or services, as opposed to the Office of Sponsored Programs.

3.2   General Information Page

1. Select a counterparty or the subrecipient – Select or enter the external party associated with this agreement. If needed, you can add additional counterparties below with question 6.

📝 *Note: For funded research agreements, the counterparty is also called the Sponsor to the research.*

📝 *Note: Research UVA PBH uses a literal search and counterparties fed into Research UVA PBH from UVA's financial system show some variability in how they are named. For example, the National Aeronautics and Space Agency (NASA) is listed in the system as "U.S. Nasa". A counterparty search for just NASA or even National Aeronautics and Space Agency will return no results, because the search function is looking for an exact match. As a result, try using search tools like the wildcard symbol (%) to help find the counterparty name in the list. The % wildcard will*

pull in search results whenever that text is included even if anything is before the wildcard or after depending on its use. If searching for an acronym, we suggest % (acronym) %. If that does not work, try searching for the full sponsor name like %Department of Defense%.

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

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

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

5. Responsible department/division/institute – This field will default to the department/division/institute of the Agreement Manager/PI entered on the *Agreement Upload* page. If the default field is not correct, select the UVA organizational unit responsible for this agreement.

6. Agreement collaborators – Add any UVA team members or leadership that may need read/edit access for the agreement (e.g., Department Administrators). If you are re-assigning the Administrative Contact/Primary Contact for any reason, add yourself to the collaborator list as well to maintain read/edit access to the agreement.

7. **Additional counterparties** – List any additional counterparties not listed in Question 1 above.

Note*: Additional counterparties could include other participants in a multi-party (3 or more) collaboration or Contract Research Organizations if signing **in addition to** a Sponsor for whom they are providing services.*

8. **Counterparty address** – Enter the address for the counterparty listed in Question 1.

3.3   Additional SmartForm Pages

Additional SmartForm pages may display based on the agreement type selected on the *Agreement Upload* page. Complete the questions on the additional pages as necessary and click **Continue** to navigate to the **Completion Instructions** page.

3.4   Completion Instructions Page

This page is informational only and requires no data entry. When ready, click **Finish** to complete the SmartForm. The *Agreements Workspace* now displays.

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

4 How to Submit the Agreement to OSP

1. If there is an existing Proposal/Award record also in the Grants module, use the "Manage Relationships" activity on the *Agreements Workspace* to link the records.

2. When the agreement is ready for Submitting Office (unit-level) review, click the **Manage Ancillary Review** activity.

   a. In Question 1, select the appropriate approver such as the cognizant Submitting Office Official as the Person field.

   b. In Question 2, select the review type of either PI Certification or Dean's Office. Note that department chair approvals may be categorized as Dean's Office.

   c. In Question 3, select that a response is required and add any relevant comments or documents.

   d. Click **OK** to move the Ancillary Review to the PI or cognizant Submitting Office Official's Dashboard for review. The steps described in this section may be repeated depending on the number of approvals required for the submitting unit.

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

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

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

5   Appendix

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

Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes
CDA	Confidentiality Agreement	Research Community Member	Also known as: Non-Disclosure Agreement, Confidentiality Agreement, Confidential Disclosure Agreement, Proprietary Information Agreement, or Secrecy Agreement
DUA	Data Use Agreement	Research Community Member	Also known as: Data Transfer and Use Agreement
MTA	Material Transfer Agreement	Research Community Member	
MPA	Multi-Purpose Agreement	Research Community Member	Used for agreements that facilitate the transfer of at least two of the following: data, research material, confidential/proprietary information
SRA	Sponsored Research Agreement	Office of Sponsored Programs	Also known as: Research Funding Agreement, Grant Funding Agreement, Grant Support Agreement
SUB	Outgoing Subaward	Research Community Member	Also known as: Outgoing Subcontract, Outgoing Subagreement
CSA	Clinical Trial Agreement	Research Community Member	Also known as: Clinical Research Agreement; Retrospective Chart Review, Registry Study Agreement
LA	Licensing Agreement	Research Community Member	Also known as: Software license agreement, End-user license agreement

Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes
MA	Master Agreement	Research Community Member of Office or Sponsored Programs	
TA	Teaming Agreement	Research Community Member	
EQP	Physical Asset Loan Agreement	Research Community Member	Also known as: Loan Agreement, Equipment Loan Agreement, Fixed Asset Loan Agreement
CON	Consortium Agreement	Research Community Member	
IP	Intellectual Property Management Plan Agreement	Research Community Member	Also known as: Allocation of Rights (AOR)
IFO	Internally Funded Outgoing Award	Research Community Member	Used for agreements in which UVA provides funding from internal sources to an external entity.
OTH	Other	Research Community Member	Other includes Cooperative Research & Development Agreements, Educational Partnership Agreements, Consultant Agreements, Memorandum of Understanding, Capstone, and Visiting Scientist