



IBIS Research

Community: Agreements User Guide

January 2024

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1. Overview

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


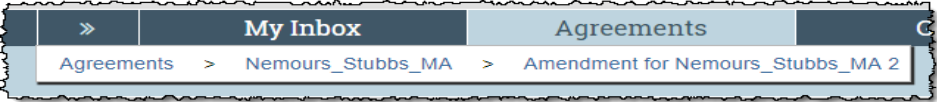
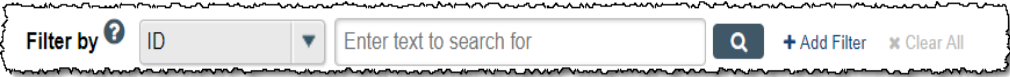


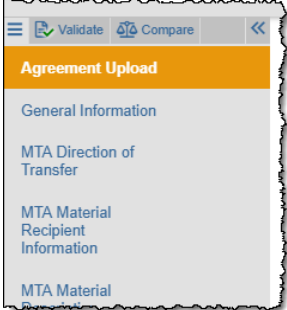
2. Understanding IBISResearch Agreements

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

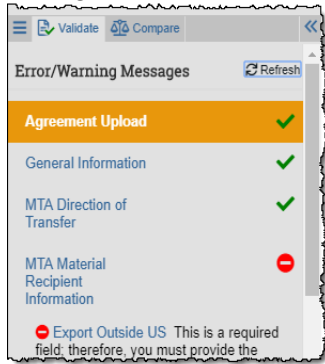
Agreements submitted by the University of Miami research community in the IBISResearch are routed to the Office of Research Administration.

2.1. Commonly Used Features

This section describes common functionality used throughout the system.

Function	Description
Navigation Bar	<p>Displays across the top of the system and provides access to the My Inbox and the Agreements page.</p> <p> Note: You can navigate to the IBISResearch Grants module from the tab on the top Navigation Bar.</p>
Breadcrumbs	<p>Display a trail of screen links for you to follow back to the starting point.</p> 
Filter by	<p>Provides the ability to filter and/or search by specific criteria.</p> <p>Click the +Add Filter link to add additional filters to further narrow a search.</p>  <p> Tip: To search for keywords, use the wild card feature by entering a “%” sign before and after the word(s).</p>
Help buttons	<p> Click to view additional guidance on how to complete a field in the system.</p>
SmartForm Navigation	<p>The SmartForm contains the following tools:</p> <ul style="list-style-type: none"> <p>Left navigation pane: Displays a list of all SmartForm pages for the agreement type selected. Click on the name of the page to navigate to that screen.</p>  <p>Validate button: Click to confirm all required fields were completed on each of</p>

the SmartForm pages. Red circles are displayed to indicate required fields are missing data. Click the page name or the question name for quick navigation.



- **Compare button:** Click to compare different versions of the SmartForm Pages.
- **Print menu:** Click to print the selected page or the project (all pages).
- **Exit:** Click to exit the SmartForm and return to the Agreements Workspace.
- **Save:** Click to save updates to the SmartForm.
- **Continue:** Click to navigate to the next page of the SmartForm.

2.2 Navigation

The following sections describe the *My Inbox*, *Agreements*, and *Agreements Workspace* pages.

2.2.1. My Inbox


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

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

ID	Name	Date Created	Date Modified	State
MTA00000006	NASA_Simms_MTA_Sending	6/6/2019 4:01 PM	6/6/2019 4:03 PM	Pre-Submission
CA00000001	Harris Corp_Simms_CA	6/6/2019 3:53 PM	6/6/2019 3:54 PM	Pre-Submission

The Table below describes the features on this page:

Feature	Description
Filter by fields	Provides the ability to filter and/or search by specific criteria.

<p>My Inbox grid</p>	<p>This grid contains the following columns:</p> <ul style="list-style-type: none"> • ID: Unique record ID number • Name: Record name • Date Created • Date Modified • State: Indicates the status of the record in the workflow • Coordinator: Indicates the assigned team member in the Office of Research Administration <p> Note: In the Agreements system, this is the same as “Owner”. Click the column headers to sort by column.</p>
<p>Create Agreement button</p>	<p>Click this button to open the Agreements SmartForm.</p>

Agreement IDs

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

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

2.2.2. Agreements


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

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

Agreements page



The table below describes the information displayed on each tab:

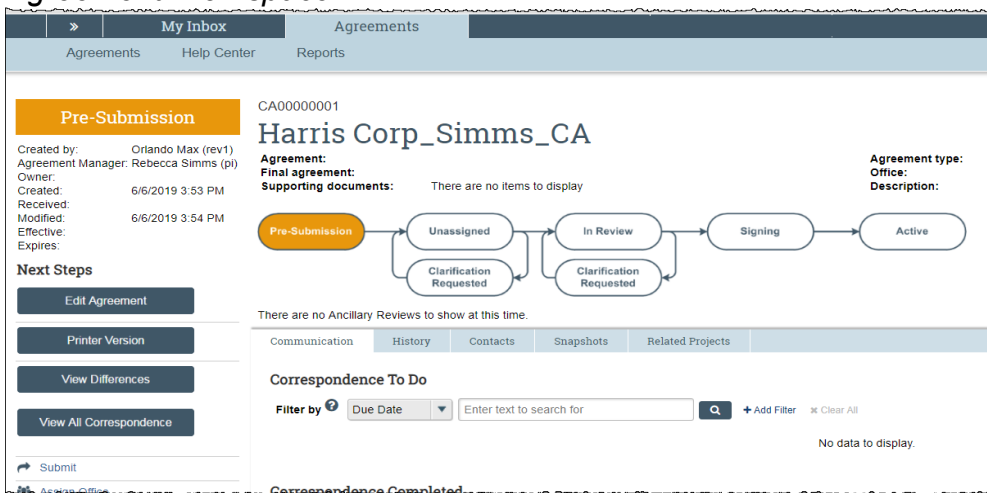
Tab	Description
All Agreements	Lists all agreements and amendments you have permission to view.
Unassigned	Lists agreements and amendments that have been submitted, but have not yet been assigned to an Owner in the Office of Research Administration.
New	Lists agreements and amendments the PI is working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

2.2.3. Agreements Workspace


The *Agreements Workspace* page displays various identification, status, and actions associated with a specific agreement.






Information displayed on the screen may vary due to the agreement, state, your user role, and your involvement with the agreement. To access this screen, select an agreement from either the *My Inbox* or *Agreements* pages.


Agreement Workspace



The table below describes the features on this page:

Feature	Description
State	Status of the agreement (displayed in the orange box).  Note: The state displayed may be more granular than those shown on the workflow map.
Personnel and Milestone dates	Lists key personnel and milestone dates associated with the agreement. The Agreement Manager is the assigned PI. The Owner is the assigned Contract Manager within the Office of Research Administration.
Next Steps (Buttons and Activities)	A series of action buttons and activities that can be taken on the agreement. These may vary based on the state and your user role. Action buttons: <ul style="list-style-type: none"> • Edit Agreement – Click the edit agreement button. If the agreement is no longer editable, this button updates to “View Agreements”.

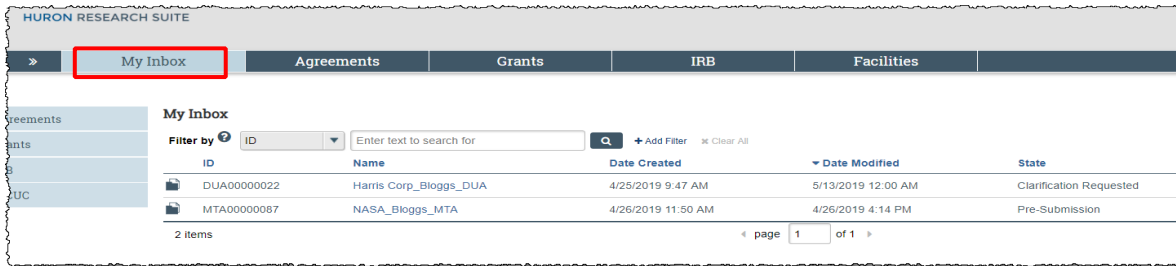
Feature	Description
	 Note: Study Staff (e.g. PIs) may only edit an agreement in the Pre-Submission and Unassigned states. <ul style="list-style-type: none"> • Printer Version – Click to view a printer-friendly version of the agreement SmartForm. • View Differences – Click to view changes made the agreement document. • View All Correspondence – Click to view a list of all correspondence on the agreement.  Note: Correspondence is used to track communication, meetings, notes, etc. with the internal and external parties. Correspondence can be manually entered (via the Log Correspondence activity) or automatically recorded (via email notifications). See the Activities section for additional information on the various activity links.
Identifying Information	Summary information about the agreement, including the ID, Name, Agreement type, and links to associated documents.  <p>CA00000001 Harris Corp_Simms_CA Agreement: UCF Agreement example.docx(0.01)  Final agreement: Supporting documents: There are no items to display Agreement type: Consulting Agreement Office: Description:</p>
Workflow Map	High level view of the agreement creation and approval process. All agreements and amendments, regardless of Agreement Type, follow this workflow. The state highlighted in orange indicates where the selected agreement is within the process.  <pre> graph LR Pre-Submission --> Unassigned Unassigned --> In Review In Review --> Signing Signing --> Active Unassigned --> Clarification_Requested_1[Clarification Requested] Clarification_Requested_1 --> Unassigned In Review --> Clarification_Requested_2[Clarification Requested] Clarification_Requested_2 --> In Review </pre>
Ancillary	Offices or individuals listed at the University of Miami that need to review the

Reviewers	agreement.
Tabs	<p>Resource tabs that contain different information about the agreement, as outlined below:</p> <ul style="list-style-type: none"> • Communications – Lists action items created by the Owner to help manage and track the review process. It is recommended to log all correspondence on this tab, such as emails and phone calls with contracting parties. • History – Lists all actions that have occurred on the agreement. Click the Activity name in the grid to view additional activity details. • Contacts – Lists personnel and the organization involved in the agreement. • Snapshots – Lists links to read-only copies of the Agreements SmartForm taken at key points in the workflow. • Related Projects – Lists other projects related to the agreement (e.g. other agreements, funding proposals, etc.). Click the project's ID or Name to navigate to that project's workspace. <p> Note: The Owner can create these relationships using the Manage Relationships activity on the workspace.</p> <ul style="list-style-type: none"> • Amendments – Lists all amendments associated with the agreement.

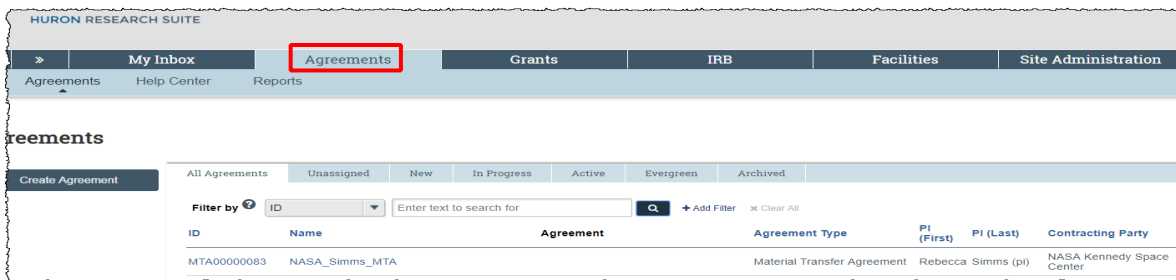
2.2.4. How to Access a Record

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

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




- **Agreements page** – All Agreements you are associated with can be found on this page. To access an agreement, click on the **ID** or **Name**.



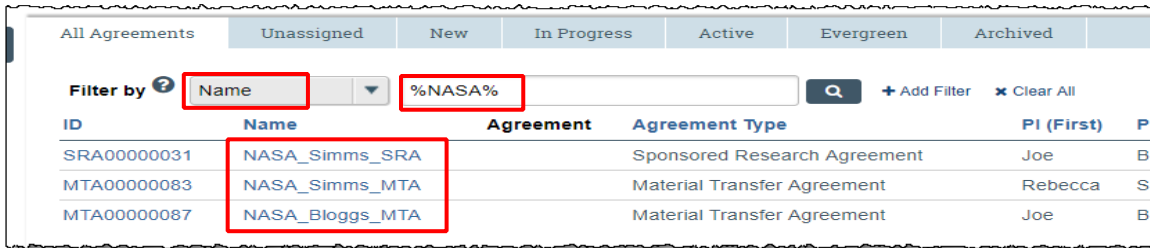
2.2.5. How to Search for a Record

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

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

The common searches are:

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



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



2.3 User Roles and Security

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

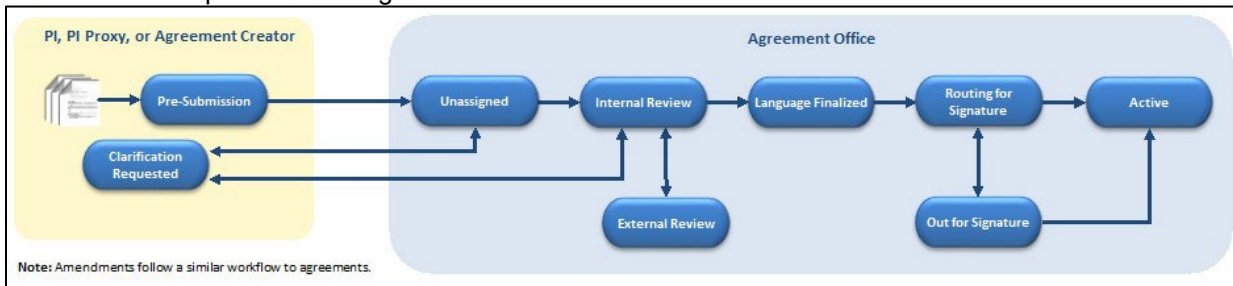
User Role	Description	Activities
Study Staff	<p>Users in the Research Community (researchers, administrators, etc.) involved in preparing agreements for review.</p> <p>Note: All Users in IBISResearch are users who can be assigned this role.</p>	<p>With this role, you are able to:</p> <ul style="list-style-type: none"> • Create and submit agreements • Create and submit amendments to agreements you created • Respond to clarification requests • Be selected as an agreement creator or collaborator, which lets you edit the agreement in Pre-submission, Unassigned, and Clarification Requested states, and also create an amendment • Copy any agreement accessible to you • Be selected as the Agreement Manager/Principal Investigator for an agreement, which lets you: <ul style="list-style-type: none"> ○ Edit the agreement in Pre-Submission, Unassigned, and Clarification Requested stats ○ Submit ○ Submit Changes ○ Create and Amendment ○ Assign PI Proxies ○ Manage Ancillary Reviews

<p>Agreement Reviewer</p>	<p>Users in the Office of Research Administration are responsible for reviewing agreements and ensuring that review and communication processes are completed properly.</p>	<p>This role enable you to:</p> <ul style="list-style-type: none"> • View all agreements assigned to the Office of Research Administration • Create and submit agreements • Create and submit amendments to agreements submitted by others • Assign the owner of a specific agreement • Generate an agreement document • Approve agreement language • Activate an agreement • Approve an amendment • Request clarification • Revise an agreement document • Finalize agreements • Terminate active agreements
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2.4. Workflow Map


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

The workflow map for the more granular states is illustrated below:



The states are defined as follows:

Workflow Map	State (orange box)	Description
Pre-Submission	Pre-Submission	Indicates the Agreement has been created, but has not yet been submitted to the Office of Research Administration for review.
Unassigned	Unassigned	Indicates the Agreement has been submitted to the Office of Research Administration for review, but has not yet been assigned to an Owner.
Clarification Requested	Clarification Requested	Indicates the Owner in the Office of Research Administration requests clarification about the agreement submitted. Clarifications can be requested during the Unassigned and/or In Review states.
In Review	Internal Review	<p>Indicates the Agreement has been assigned to an Owner within the Office of Research Administration for review.</p> <p>In this state, the Agreements Reviewer can:</p> <ul style="list-style-type: none"> • Generate the agreement for review • Edit the agreement or upload a revision

		<ul style="list-style-type: none"> • Email the agreement to other users for review • Setup correspondence reminders to follow up with internal, third party, or ancillary reviewers. <p>Add and notify ancillary reviewers of their reviews (if present) and update ancillary reviews.</p>
In Review	External Review	<p>Indicates the Agreement has been sent to an external party outside of UM for a review.</p> <p>In this state, the Owner can perform the same actions noted above in the Internal Review state.</p> <p>The Owner will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.</p>
Signing	Language Finalized	<p>Indicates all parties have agreed on the agreement language, all required ancillary reviews are complete, and the Owner has approved the language.</p> <p> Note: <i>Outstanding required ancillary reviews must be completed/accepted before the agreement can be moved to this state.</i></p>
	Routing for Signature (internal signatures)	<p>Indicates the agreement has been routed within UM for signature(s).</p> <p>In this state, the Owner can upload the final version of the signed document if signatures were obtained (via the Revise Agreement activity) and can convert the agreement to a PDF file (if not done before receiving signatures).</p>
	Out for Signature (external signatures)	<p>Indicates the agreement has been sent out to the third party for signature(s).</p> <p>In this state, the Owner can perform the same actions noted above in the Routing for Signature state.</p>
Active		<p>Indicates the Agreement has been signed by all internal and external parties and is in force.</p> <p>In this state:</p> <ul style="list-style-type: none"> • The Owner can terminate the agreement. • The Study Staff (e.g. PI, PI Proxy, or Agreement Creator) or Owner can create an amendment (provided there is no other active amendments to the agreement).
Approved		<p>Indicates the Amendment has been signed by all internal and external parties and is approved.</p>
Evergreen		<p>Indicates the Agreement contains an evergreen clause (language authorizing automatic renewal upon expiration).</p>
Discarded		<p>Indicates the Agreement is no longer being processed and is removed from the workflow.</p> <p>The Discard activity is available prior to the Active state.</p>

Terminated	Indicates the Agreement has been terminated. The Terminate activity is available after the Active state.
Expired	Indicates the Agreement has expired.

3. Creating and Submitting Agreements

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

Click on the link below and follow the steps for the appropriate Agreement:

1. [IBIS Submission Guidance-CDA](#)
2. [IBIS Guidance-Collaboration Agreement](#)
3. [IBIS Submission Guidance-CTA](#)
4. [IBIS Submission Guidance-JHS Work Order](#)
5. [IBIS Submission Guidance-MTA](#)
6. [IBIS Submission Guidance-OS \(New\)](#)
7. [IBIS Submission Guidance-SA \(New\)](#)

4. How to Create and Submit an Amendment

To create an amendment for an Outbound Subaward or a Sponsored Agreement click on the link and follow the steps below for the appropriate Amendment:

1. [IBIS Submission Guidance-OS \(Amend\)](#)
2. [IBIS Submission Guidance-SA \(Amend\)](#)

5. General Activities

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

5.1. Managing Ancillary Reviews

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

 Although an Ancillary Reviewer can be added by Study Staff (e.g. PI, Agreement Collaborators), **the Office of Research Administration will initiate ancillary reviews for agreements, as needed.** .

The sections below describe how to add an ancillary reviewer, notify an ancillary reviewer, notify an ancillary reviewer of an outstanding review, and how to submit an ancillary review.

 **Important:**

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

5.1.1. Adding an Ancillary Review

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

1. Access the agreement in the one of two ways:

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

Ancillary Reviews			
Review Type	Organization	Person	Reqd
Export Control		Andy Protocol (apa)	no
Other		Andre Conte (ac)	yes

5.1.2. Notifying Ancillary Reviewers

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

1. Access the agreement by click on the Agreements page and search by **ID** or **Name**, then click on the name.
2. On the Agreements Workspace page, click the **Notify Ancillary Reviewers** activity.
3. In the Notify Ancillary Reviewers window, complete the questions and click **OK**.
 - a. Question 1. Select ancillary reviewers to notify – Select all that apply.
 - b. Question 2. Message – Include a message to indicate why the notification is being sent.
 - c. Question 3. Supporting Documents – Include any documents, if applicable.



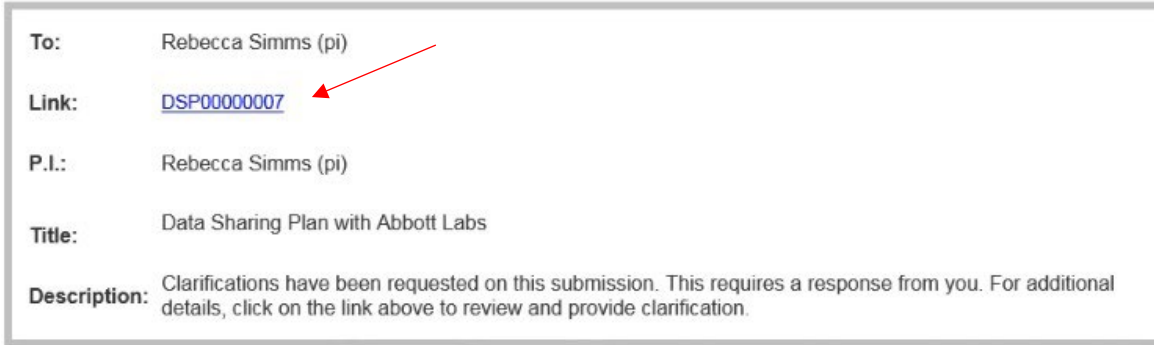
Note: The message and supporting documents included in this activity are included in the email notification sent to the ancillary reviewer.

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


5.1.3. Submitting an Ancillary Review

Follow the steps below to submit an ancillary review:

1. Access the agreement in one of the two ways:
 - a. From the system generated email, click on the Agreement ID Link.




- b. Click on the agreement name on the *My Inbox* page.
2. On the Agreements Workspace page, click the **Submit Ancillary Review** activity.
3. In the Submit Ancillary Reviews dialog box, complete the questions, Click **OK** to continue submit the review.
4. When the system returns to the Agreements Workspace page, the **History** tab will display a “Submitted Ancillary Review” activity.

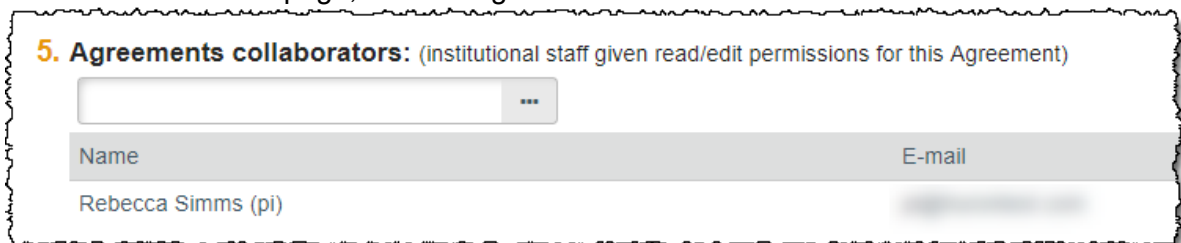
 **Note:** Agreement Owners have the ability to submit outstanding, required ancillary reviews on behalf of the ancillary reviewer(s).

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

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

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

1. Navigate to the *Agreements Workspace*. This can be done by accessing the agreement from *My Inbox* or searching for the agreement on the *Agreements* page. Click the agreement name to display the *Agreements Workspace*.
2. On the *Agreements Workspace*, select the **Edit Agreements** button.
3. Click the **Continue** button to navigate to the second page of the SmartForm.
4. On the *General Information* page, add the Agreements Collaborators to Question 5.



5. When complete, click **Save** and **Exit**.

5.3. Manage Relationships

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

Follow the steps below to associate records within IBISResearch:

1. On the *My Inbox* page, locate the agreement and click on the name.
2. On the *Agreements Workspace* page, click the Manage Relationship activity.
3. In the Manage Relationships window, use the Related Submissions field to either enter the ID or use the ellipsis (“...”)to search for the record.

4. When complete, click **OK**.

5.4. How to assign a PI Proxy

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

Follow the steps below to assign a PI Proxy:

1. Navigate to the *Agreements Workspace*. This can be done by accessing the agreement from *My Inbox* or searching for the agreement on the *Agreements* page. Click the agreement name to display the *Agreements Workspace*.
2. On the *Agreements Workspace*, select the **Assign PI Proxies** activity.
3. In the Assign PI Proxies window, select the team member to act as the proxy.



Note: Only team members previously added as [Agreement Collaborators](#) can be assigned as a proxy.

4. When complete, click **OK**.

5.6. How to Contact the Owner

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

Follow the steps below to contact the Owner:

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

6. Agreement Review

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

6.1. Assigning an Office and Owner

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

6.2. Requesting Clarification

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



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