MN-GEMS

MN Grants Electronic Management System

MN-GEMS Reference Guide:

Agreements Guide - Unfunded Research Agreements (UFRAs) for the Research Administration Community

Last Updated March 13, 2024

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1 Introduction

This guide describes how members of the University of Minnesota (UMN) Research Administration Community will interact with the UMN Grants Electronic Management System (MN-GEMS) Agreements module. The Agreements module is used to create an agreement request, negotiate, and execute funded and unfunded (non-funded, non-monetary) agreements.

Tip: You can access and open MN-GEMS records you have permission to based on your user role. Reference the Overview reference guide on the MN-GEMS website for general information on navigation, user roles, searching, and workflow. The Overview guide also contains a glossary of MN-GEMS terminology.

Note: Certain types of agreements will be initiated by the UMN Research Administration Community and other types of agreements will be initiated by Sponsored Projects Administration (SPA). Reference the Understanding Agreement Types and Initiation section of this guide for more guidance on agreement creation.

2 Understanding Agreement Types and Initiation

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

Agreement Type	Agreement Definition	Agreement Initiator
Confidential Disclosure Agreement (CDA) Non Disclosure Agreement (NDA)	Confidential Disclosure Agreement (CDA)/Non Disclosure Agreement (NDA) is a legally binding contract in which the University and a person or organization promises to treat specific information as a secret and promises not to disclose the secret to others without proper authorization.	PI/Department/ Division

Agreement Type	Agreement Definition	Agreement Initiator
Data Use Agreement Data Transfer Agreement	Data Use Agreement (DUA) is an agreement between the UMN and an external party to govern how data is shared. These agreements may address various legal requirements imposed by HIPAA, FERPA, or other laws or regulations that govern the protected data. They also generally outline use limitations to protect the parties. A DUA in MN-GEMS is a stand-alone agreement. If data sharing terms and conditions are included in a different agreement type, use the other agreement type instead.	PI/Department/ Division
Material Transfer Agreement (MTA)	This is a document that governs the transfer of tangible research materials to the University from another person or organization for the University's intended research purposes. The MTA defines the rights of the provider and the recipient with respect to the materials and any derivatives or inventions following the recipient's use of the materials	PI/Department/ Division
Unfunded Research Collaboration Agreement	An unfunded collaboration research agreement is a contract that establishes the rights and responsibilities of research collaborators that are participating in a specific collaborative research project whereby no funds are exchanged between the collaborators.	PI/Department/ Division

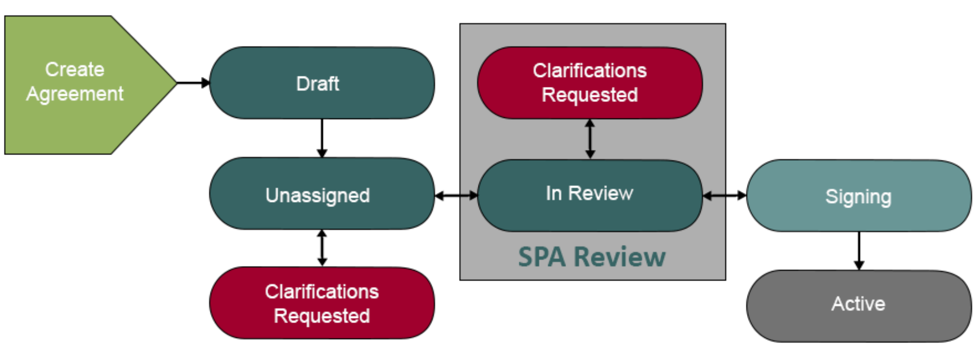
Agreement Type	Agreement Definition	Agreement Initiator
Unfunded Clinical Trial Supply Agreement/ Compassionate Use-Expanded Access Protocol/ Other Clinical Activity	These types of unfunded agreements deal with the supply of materials (typically drugs or devices) for the use in human participants. Most commonly, these will be considered clinical trials. Occasionally, the products are supplied for expanded access or compassionate use for a single patient or small population falling outside of the originally intended approvals for use of the drug or device.	PI/Department/ Division
Consortium Membership Network Agreement	An agreement to join a consortium, membership or network of organizations for a specified purpose.	PI/Department/ Division
Unfunded Memorandum of Understanding (MOU) Letter of Understanding (LOU)	An unfunded MOU, LOU, MOA, or other similarly named document is a written summary or formalized text that captures the terms of undertakings by two or more parties which may have been negotiated up to this point only in spoken form or by informal discussions.	PI/Department/ Division
Intellectual Property Mgmt. Plan - IP Agreement	Intellectual Property (IP) agreements or management plans facilitate the use and ownership of any intellectual property (IP) developed under a research or collaborative arrangement. (Most commonly, these processed as UFRAs are unfunded arrangements pursuant to a funded award with a separate, unfunded external party. In the event of an IP agreement where funds are exchanged with the contracting party, refer to (Funded-non B&I Reference Guide.)	PI/Department/ Division

Agreement Type	Agreement Definition	Agreement Initiator
Equipment Loan Agreement	Legally binding contract that allows one party to temporarily transfer the possession and use of their property or equipment to another party.	PI/Department/ Division
University-Wide Master Agreement	An unfunded master agreement defines the terms and scope for a single sponsor or external party to support multiple research-related projects over a long period of time.	SPA
Other Agreement	This category covers any variance of an unfunded agreement. This captures legally enforceable terms for which UMN and an external party are collaborating to support UMN research where the external party is not financially supporting UMN activities.	PI/Department/ Division SPA

3 Understanding Agreements Workflow and States

3.1 Agreements Workflow Diagram

The diagram below illustrates the agreements and amendment workflow.



3.2 Agreements Workflow State Definitions

The following table provides additional information about each of the workflow states:

System Workflow State	Workflow Map State	Description	Notes
Pre-Submission	Pre-Submission	Indicates the Agreement request has been created but has not yet been submitted to SPA for review and negotiation.	Any user can create a new agreement.
Unassigned	Unassigned	Indicates the record (agreement or amendment) has been submitted to SPA, however it has not yet been assigned to an Agreement Owner.	The Agreement Owner is the SPA GCO designed as the reviewer of a specific agreement.
Clarification Requested	Clarification Requested	Indicates the Agreement Owner is requesting additional information from the agreement PI or Primary Contact.	Only PIs, the Primary Contact can submit changes when clarifications are requested. Clarifications can be requested during the Unassigned or Internal Review states.
Internal Review	In Review	Indicates the Agreement request has been assigned to an Agreement Owner within SPA for review. In this state, the Agreement Owner can: ● Generate or upload an agreement for review.	

System Workflow State	Workflow Map State	Description	Notes
		• Review an uploaded draft agreement. • Edit the agreement or upload a revision. • Email the agreement to other users for review. • Setup correspondence reminders to follow up with internal, third party, or ancillary reviewers. • Add and notify ancillary reviewers of their reviews (if needed) and update ancillary reviews.	
External Review (This appears as a State but is not reflected as a workflow bubble.)	In Review	Indicates the Agreement has been sent to the external contracting party for a review. In this state, the Agreement Owner can perform the same actions noted above in the Internal Review state. The Agreement Owner will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.	
Language Finalized	Signing	Indicates all parties have agreed on the agreement language, all required	

System Workflow State	Workflow Map State	Description	Notes
		ancillary reviews are complete, and the Agreement Owner has approved the language.	
Internal Signature	Signing	Indicates all parties have agreed on the agreement language, all required ancillary reviews are complete, and the Agreement Owner has approved the language. The record (agreement or amendment) has been routed within UMN for signatures. In this state, the Agreement Owner can upload the final version of the signed document if wet ink signatures were obtained (via the "Revise Agreement" activity) and can convert the agreement to a PDF file (if not done before receiving signatures).	
External Signature	Signing	Indicates the record (agreement or amendment) has been sent out to the contracting party signature(s). In this state, the Agreement Owner can perform the same	

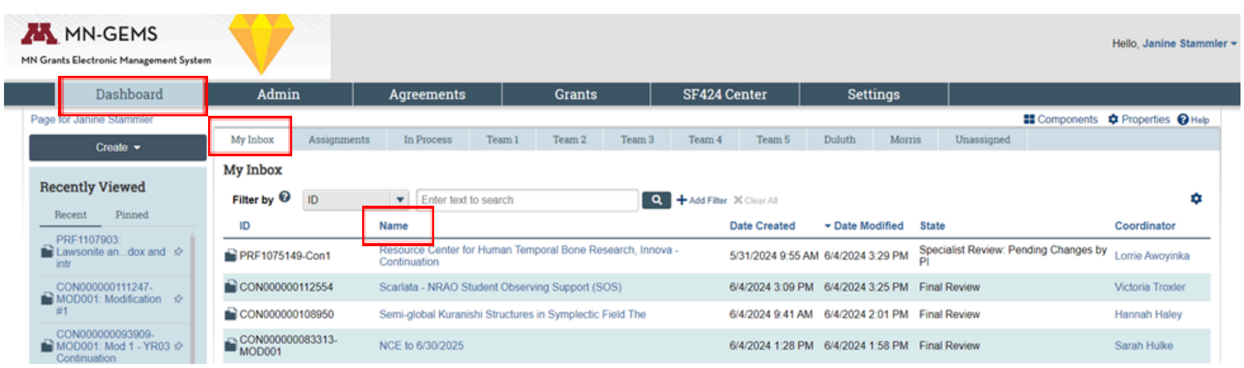
System Workflow State	Workflow Map State	Description	Notes
		actions noted above in the Internal Signature state.	
Active	Active	Indicates the Agreement has been signed by all internal and external parties and is in force. In this state: • The Agreement Owner can terminate the agreement. • The PI or Primary Contact or Agreement Owner can create an amendment (provided there is no other active amendment(s) to the agreement). (The system supports only one pending amendment per parent Agreement. Subsequent amendments may occur following approval of the prior amendment.)	Used for parent Agreement records.
Approved	Approved	Indicates the Amendment has been signed by all internal and external parties and is approved.	Used for Agreement amendment records.
Evergreen	N/A	Indicates the Agreement contains an evergreen clause (language authorizing automatic renewal or	

System Workflow State	Workflow Map State	Description	Notes
		perpetual survival upon expiration).	
Discarded	N/A	Indicates the Agreement is no longer being processed and is removed from the workflow.	The "Discard" activity is available prior to the Active state.
Terminated	N/A	Indicates the Agreement has been terminated.	The "Terminate" activity is available after the Active state
Expired	N/A	Indicates the Agreement has expired.	This state appears following the expiration date established by SPA upon activating the Agreement.

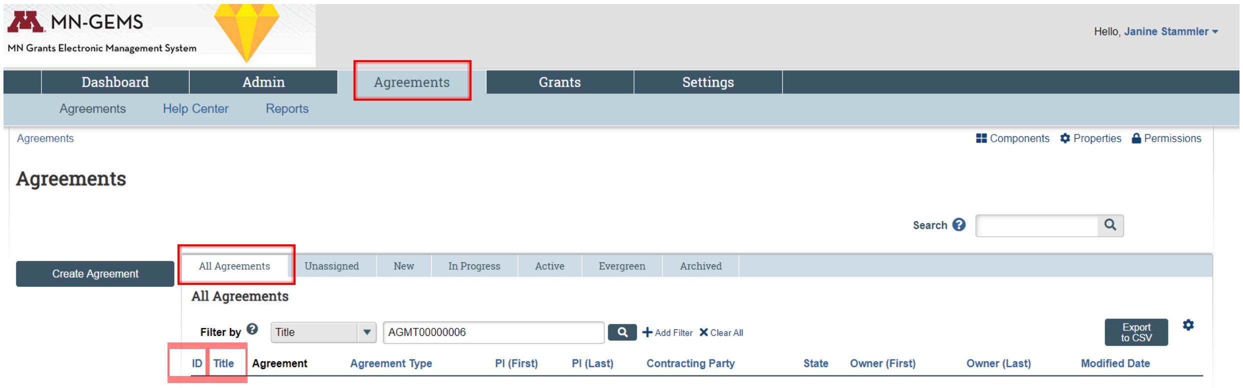
4 How to Access a Record

Locate or search for records on the Dashboard or Agreements Module pages as shown below.

- **Dashboard, My Inbox page** – This page acts as your to-do list and contains records from any of the MN-GEMS modules (Grants and Agreements) that require an action from you. To access a record, select the record **Name**.



- **Agreements Module page** – Agreements records can be accessed on this page. To access a record, select the record **ID** or **Title.**



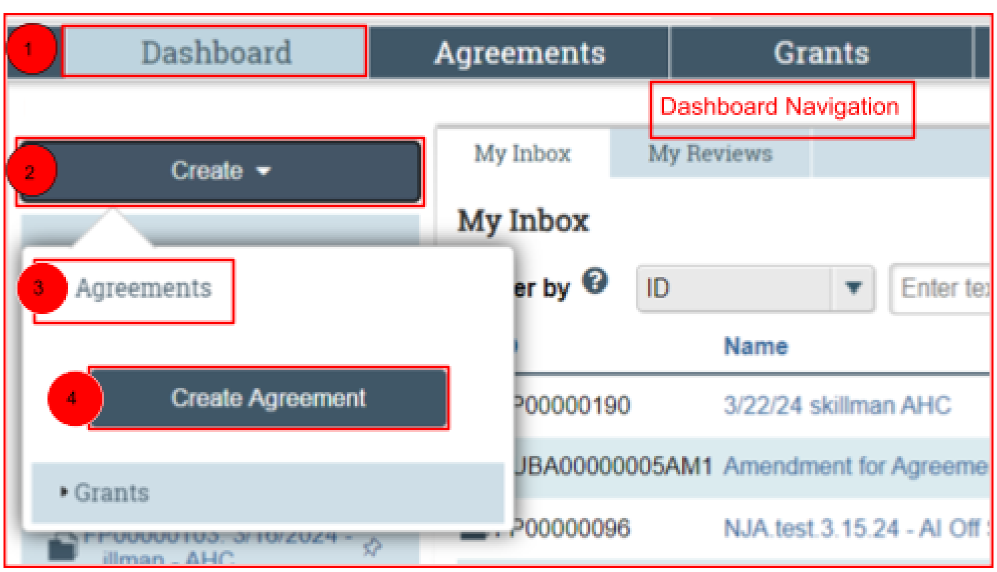
5 How to Create an UnFunded Agreement

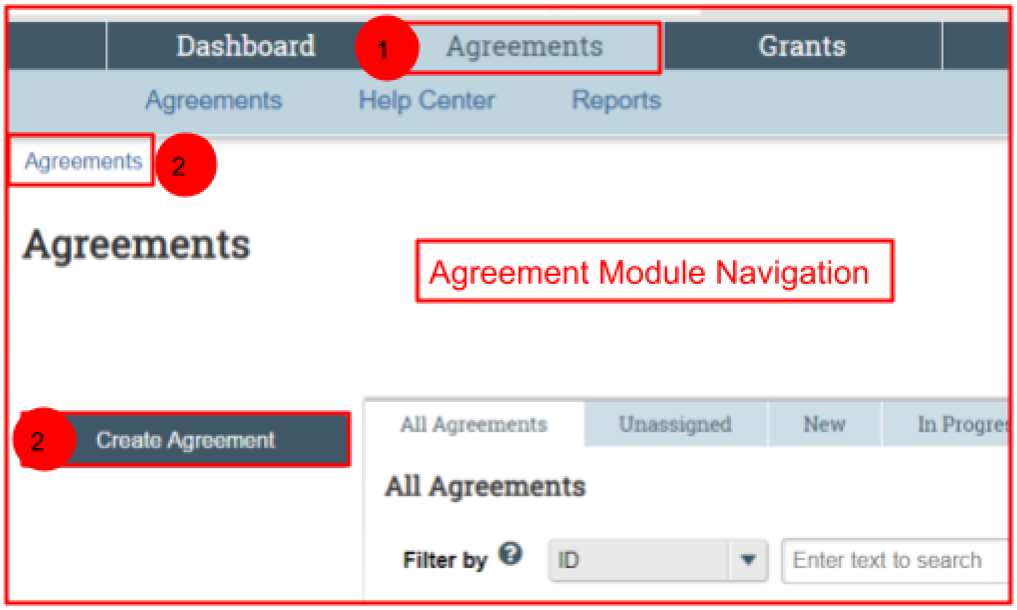
Agreements may be initiated by SPA or by members of the UMN Research Community as detailed in section 1. Understanding Agreement Types and Initiation. The instructions below cover the two common methods that members of the Research Community will use to create an agreement.

5.1 Create an Agreement in the Agreements Module

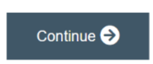
Follow the steps below to create an agreement directly in the Agreements module:

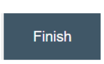
1. On the Dashboard page or Agreements Module page, select the **Create Agreement** button.





2. Complete the Agreements SmartForm (series of agreement submission pages).

Note: All types of agreement records use the **Agreement Upload**, **General Information** and **Completion Instructions** pages. Additional SmartForm pages display after the General Information page based on the agreement type selected on the Agreement Upload page. All UFRA agreements display the additional SmartForm pages of **Agreement Information**, **Compliance Review**, and **Additional Information**. Complete the questions on the additional pages as directed in the question text and associated help text bubbles and select **Continue** 

at the bottom of each page to navigate through the SmartForm pages (the Completion Instructions page has a Finish 

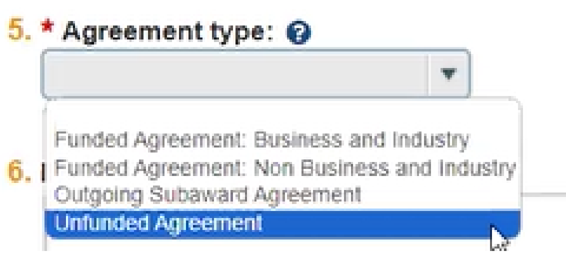
button instead of a Continue button).

5.2 Agreement Upload Page

Complete the questions and note the following points and select **Continue** at the bottom of the page.

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

1. **Principal Investigator** – Enter or search for the PI's name.
2. **Primary Contact** – This field is automatically populated with the person who created the agreement but can be changed if necessary. Note that the person creating the agreement will need to add themselves as an editor to retain access to the record if they choose someone else as the Primary Contact.
3. **Upload agreement draft** – Upload a draft of the agreement document if available or use the **Request to have SPA create a draft Agreement** checkbox if SPA should generate the draft agreement.
4. **Title or reference number** – Enter the short title or internal reference number of the project the agreement is for. The project title or reference number is visible and identifies the agreement throughout MN-GEMS, such as in the MN-GEMS Dashboard, Agreements Module page, and in reports.
5. **Agreement type** – Select the agreement type. ***



Note: Select which of the four types of agreement options applies to your agreement. To view the definition of an Agreement type, select the specific type and hover over its name.

6. **Description (in lay terms)** – Include the long title here, if applicable, and/or a brief description of the agreement being requested. Note that the first 48 characters of this field will appear above the Workflow map in the Workspace.
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 Agreements Workspace.

5.2.1 General Information Page

1. **Contracting Party** – select or enter the external party associated with this agreement. Enter the external party name if the contracting party name is not listed in the selector.

   Questions 2 – 4, enter the contact information for the counterparty.

5. **Additional Contracting Parties** – If there are multiple signing parties to the agreement, add the additional contracting party(ies) here.
6. **Administering department** – This field will default to the department of the PI entered on the Agreement Upload page. If the default field is not correct, select the UMN department responsible for this agreement.
7. **UMN personnel given edit permissions for this Agreement** – Additional UMN personnel to be granted editing access to this record should be added here. Note that the person creating the agreement will need to add themselves here to retain access to the record if they chose someone else as the Primary Contact in #2. All individuals listed here will receive system-generated notifications specific to this record.

5.2.2 Agreement Information Page

This page displays when an UnfundedResearch Agreement is selected as the Agreement Type (Question 5) on the Agreement Upload page.

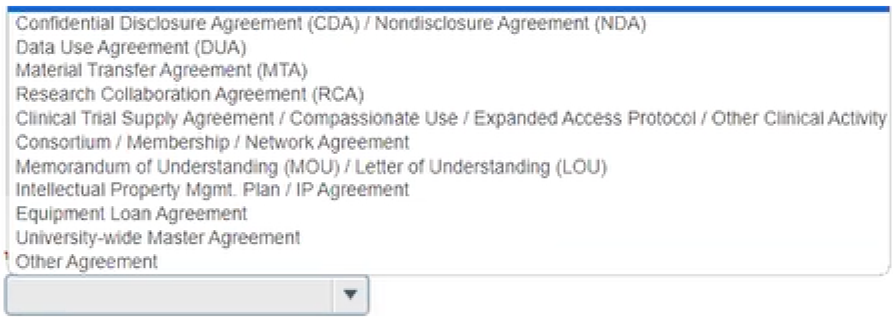
Unfunded Research Agreements (UFRAs) are non-monetary agreements and maybe linked to a related funding proposal, award, or subaward record if applicable. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

Follow the Follow the steps below to complete this page:

1. **Brief technical summary/abstract/executive summary** – Provide a succinct description of the project that is suitable for a lay audience. This

should provide sufficient detail for SPA to understand the role of UMN, the role of the contracting party(ies), and the objective(s).

2. **What is the expected duration of the agreement** – Enter the term of the project associated with this agreement if applicable or indicate the agreement continues through completion of the project.
3. **Select the type of agreement you are requesting** – select from the drop down which type of UFRA is being requested.



Note: There are a variety of types of UFRAs. These varying types are referred to as subtypes. Within this Agreement Information SmartForm page, the selected subtype will prompt additional project-specific questions.

Tips for determining which type of UFRA to select:

- Refer to section 1. Understanding Agreement Types and Initiation
- Refer to the header of the contracting party's draft you are uploading in Agreement Upload page
- When in doubt, select "Other"

Note: Certain questions offer branching logic and prompt additional information to be provided. In some cases, answers to certain questions will expose additional questions or prompts for providing additional details.

Note: Users can toggle from one agreement subtype to another with this drop down. If information is entered for questions within one subtype and the user switches to a different subtype selection, information previously entered in the original subtype is retained.

5.2.3 CDA Agreement Information Page

This page displays when a Confidential Disclosure Agreement (CDA) or Nondisclosure Agreement (NDA) is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete the remaining questions on this page:

a-e. Complete the questions by selecting the most appropriate option for the activity that will occur under this agreement.

5.2.4 DUA Agreement Information Page

This page displays when a Data Use Agreement (DUA) is selected as the type of UFRA (Question 3) on the Agreement Information page. For SPA's purposes, you would select DUA for data sharing agreements that may be named Data Transfer and Use Agreements (DTUA), Data Transfer Agreement (DTA), Data Use Agreement (DUA), Data Sharing Agreement (DSA), Data Use Certificate (DUC), Data License Agreement (DLA), or another variation of an agreement intended to capture the terms and restrictions for transferring, accessing, and using protected data between two or more parties.

Follow the steps below to complete the remaining questions on this page:

a-i – Complete the questions by selecting the most appropriate option for the activity that will occur under this agreement.

Tips:

3.a If **human data** is selected, MN-GEMS requests additional clarification on the type or classification of human data being shared. If uncertain, refer to this FDP tool or contact HIPCO for assistance with the appropriate classification.

3.b If data is leaving UMN (whether **outgoing** or **bi-directional** is selected), you will need to indicate whether the data is being extracted from UMN's AHC-IE (Data Shelter).

3.h If others outside of UMN are permitted to access data, you are asked to list or describe who is permitted access.

If your data sharing agreement is associated with a subaward or other funded record, this agreement should be linked to the related funding proposal, award, and/or subaward record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.5 MTA Agreement Information Page

This page displays when a Material Transfer Trial Agreement (MTA) is selected as the type of UFRA (Question 3) selected on the Agreement Information page.

Follow the steps below to complete the remaining questions on this page:

a-j – Complete the questions by selecting the most appropriate option for the activity that will occur under this agreement.

Tips:

3.e If unknown, enter "unknown" or "TBD"

3.f This may be useful information for other support (OS) page entries due to NIH or other agencies requiring this information.

If your MTA is associated with a subaward or other funded record, this agreement should be linked to the related funding proposal, award, and/or subaward record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.6 RCA Agreement Information Page

This page displays when a Research Collaboration Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete the remaining questions on this page:

a-e – Complete the questions by selecting the most appropriate option and providing additional information for the activity that will occur under this agreement.

Tips:

3.d-e Selecting "Material" or "Data" prompt additional clarifiers for detailing the type(s) of material and/or data. See "DUA" or "MTA" for detailed tips that may help complete this question.

5.2.7 Clinical Trial Supply or Compassionate Use Agreement Information Page

This page displays when Clinical Trial Activity or Compassionate Use Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page. This UFRA subtype is selected for clinical trial related activity where UMN is consenting human participants and captures agreements such as Clinical Trial Supply Agreements, Unfunded Clinical Trial Agreements, Compassionate Use Agreements, Expanded Access Protocol agreements.

Follow the steps below to complete this page:

a-c – Complete the questions by selecting the most appropriate option and providing additional information for the activity that will occur under this agreement.

Clinical Trial Supply Agreements which are supplying the product(s) to be used in a funded clinical trial should be linked to the related funding proposal, award, and/or subaward record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.8 Consortium, Membership, Network Agreement Information Page

This page displays when Consortium, Membership, or Network Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete this page:

a-c – Complete the questions by selecting the most appropriate option and providing additional information for the activity that will occur under this agreement.

Occasionally, these types of agreements are required for UMN participation in funded projects. This agreement or the related funded project(s) should be linked within MN-GEMS. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.9 MOU or LOU Agreement Information Page

This page displays when a Memorandum of Understanding (MOU) or Letter of Understanding (LOU) is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete this page:

a – Complete this question by providing additional information to the requested agreement.

Occasionally, these types of agreements are associated with externally funded. This agreement or the related funded project(s) should be linked within MN-GEMS. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.10 Intellectual Property Agreement Information Page

This page displays when Intellectual Property (IP) Management Plan (MP) or IP Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the Follow the steps below to complete this page:

a – Complete this question by providing additional information to the requested agreement.

Intellectual Property Agreements or IP Management Plans should be linked to the related funding proposal record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

Note: If your IPMP or IP Agreement is intended to establish intellectual property terms between parties where funding is exchanged, follow the path (funded nonB&I other specify)

5.2.11 Equipment Loan Agreement Information Page

This page displays when an Equipment Loan Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete this page:

a-g – Complete the questions by selecting the most appropriate option and providing additional information for the activity that will occur under this agreement.

Occasionally, these types of agreements are associated with externally funded. This agreement or the related funded project(s) should be linked within MN-GEMS. Reference the How to Manage Relationships section of **this guide for instructions on how to link (or related) MN-GEMS records.**

5.2.12 University-wide Master Agreement

This page displays when a University-wide Master Agreement is selected as the type of UFRA (Question 3) on the Agreement Information page. This option is available to all UMN Research Community users. This selection will most commonly be used by SPA staff.

Follow the prompt(s) under 3.a to complete this page

5.2.13 Other Agreement

This page displays when Other is selected as the type of UFRA (Question 3) on the Agreement Information page.

Follow the steps below to complete this page:

a-f – Complete the questions by selecting the most appropriate option and providing additional information for the activity that will occur under this agreement.

In the event this agreement is associated with a funded project, this agreement and the related funded project(s) should be linked within MN-GEMS. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) MN-GEMS records.

5.2.14 Compliance Review Page

This page is consistent with all UFRA records. This page contains compliance questions that UMN will use as part of the agreement record review process. All but the final question 13 on this page are required. Questions offer selections of **Yes** or **No** or the ability to check the appropriate box(es). Select the appropriate response for Questions 1-10. Check the appropriate boxes for Questions 11-12 (Unknown is an option). Question 13 is optional and more than one box may be selected.   In some cases, answering Yes or checking a box will prompt additional questions to be displayed. Complete the questions and select **Continue** at the bottom of the page.

5.2.15 Additional Information Page

This page is consistent with all UFRA records. Complete the questions and select **Continue** at the bottom of the page.

5.2.16 Completion Instructions Page

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

6 How to Submit an Agreement

6.1 Obtaining PI approval of the UFRA submission

UFRAs require PI approval before they can be submitted to SPA for review and Negotiation (because there is no funding proposal record that preceded the agreement to capture such sign offs).

PI approval can be obtained via the following options:

1. Using the Manage Ancillary Reviews activity.
2. Logging PI approval via outside-of-MN-GEMS correspondence.
3. Having the PI submit the record to SPA.

Notifying the PI that certification is required on an agreement record can be done in two ways.

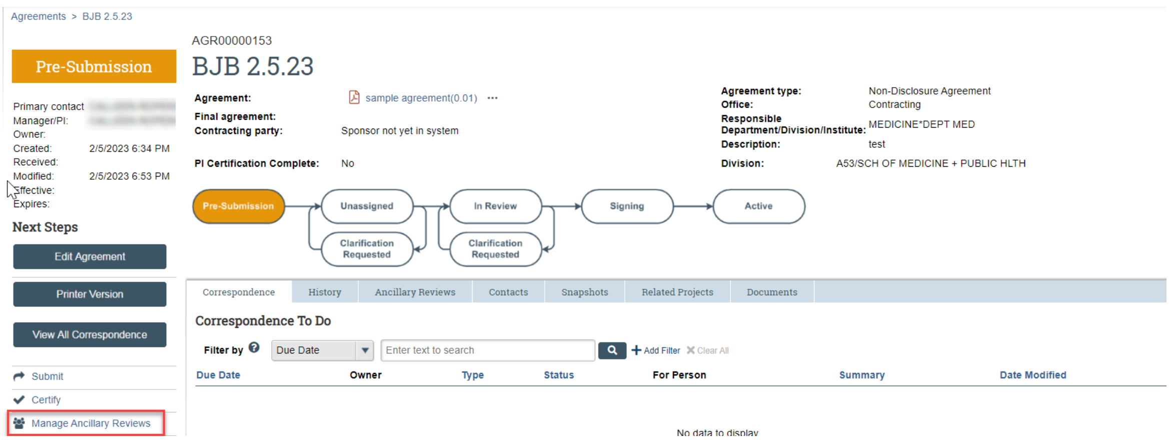
1. Outside of MN-GEMS (email/conversation/chat) – sending the PI the MN-GEMS link and UFRA# to locate the record.
2. Using an Ancillary Review to the PI. Asking the PI to go into the MN-GEMS record to certify. *To send an Ancillary Review, use the Manage Ancillary Reviews activity (more details below)*

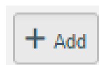
6.1.1 How the PI completes the PI approval via Ancillary Review

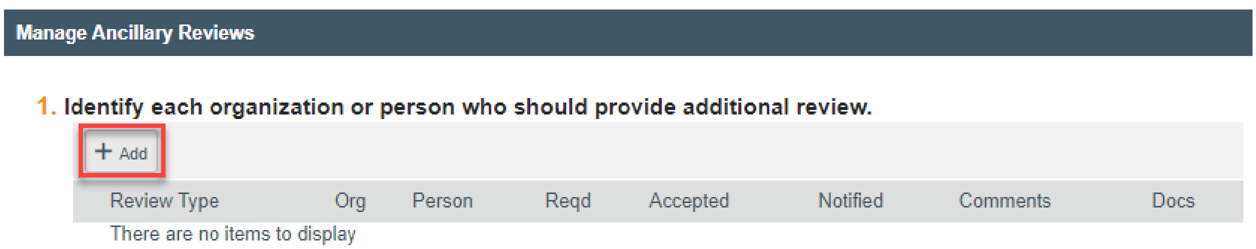
The PI certification may be accomplished in a variety of ways and must be completed before the agreement can be reviewed and negotiated by SPA.

Follow the steps below to capture the PI approval:

1. Navigate to the Agreement Workspace for the agreement that is ready to secure PI approval prior to submission to SPA for review and negotiation.
2. In the Agreement Workspace, select the **Manage Ancillary Reviews** activity.



3. In the Manage Ancillary Reviews form, press **Add**  .

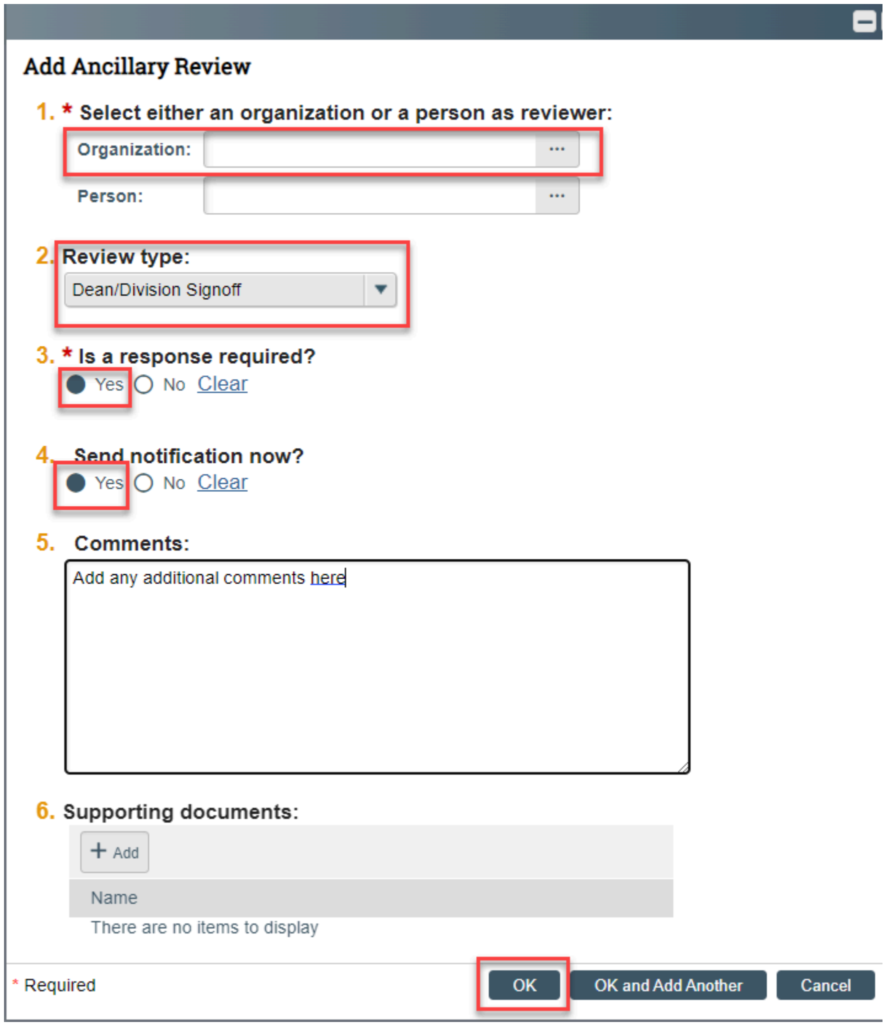


4. On the Add Ancillary Review form, enter the following:

1. **Select either an organization or a person as reviewer** – Enter the PI in the **Person field**.
2. **Review type** – Select Principal Investigator from the drop-down list.
3. **Is a response required** – Select Yes.
4. **Send notification now** – Select Yes.

Questions 5-6 – Enter comments or add attachments if needed. These are optional fields.

5. Select **OK** or **OK and Add Another to add an additional ancillary review**. Press **Cancel** to close the window and discard the information that was entered.



6. You are returned to the project Workspace. The assigned ancillary reviewer(s) receives an e-mail notification, and the project appears in the reviewer's Dashboard. View the Ancillary Reviews tab on the Agreement Workspace to track the status of the review.

Ancillary Reviews

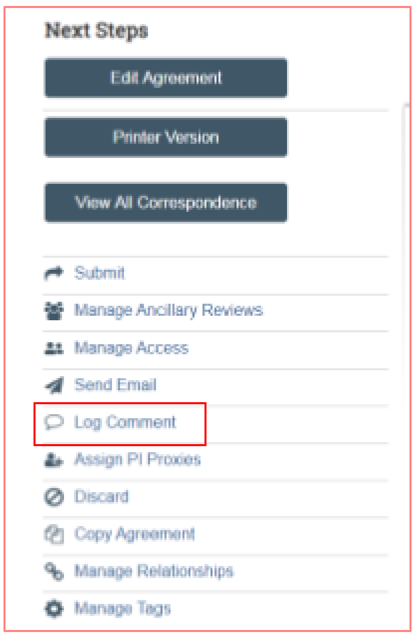
Review Type	Person	Organization	Required	Requestor Comments	Requestor Documents	Accepted	Completed	Reviewer Comments	Reviewer Documents	Date Review Created	Date Review Submited
Dean/Division Signoff	[redacted]		yes	Add any additional comments here.			no			2/6/2023	

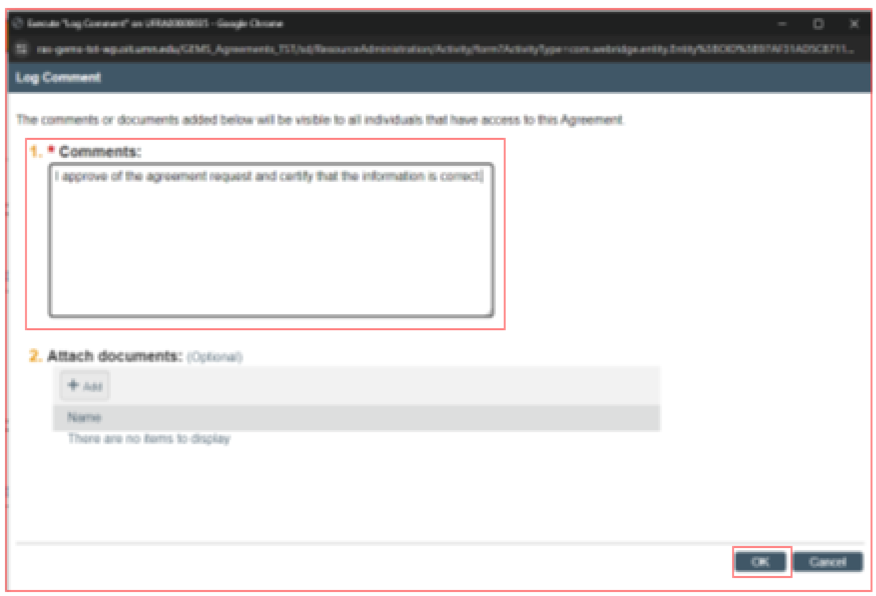
Note: The process described above will work for any other ancillary reviews added in MN-GEMS. Reference the Ancillary Review user guide for more information on the overall Ancillary Review requirements for all three MN-GEMS modules.

Once you have approval from the PI, select the **Submit** activity to move the agreement to SPA for review and negotiation. (see 6.2)

6.1.2 How the PI completes the PI approval by Logging Comment

1. From your Dashboard you will see the agreement request in **My Inbox** and click the Name hyperlink of the agreement request you want to approve.
2. Click **Log Comment** in the left hand navigation menu.
3. Enter approval in the **Comments** box and click **OK.**





6.1.3 How the PI completes the PI approval by Submitting the agreement request to SPA

*Notify the PI that the record is awaiting their review and submission to SPA. The PI will follow the steps below in 6.1.4. (Is it appropriate to indicate this is SPA's preferred path?)

6.1.4 How to Submit to SPA

The agreement can be submitted to SPA for review and negotiation once the PI has approved the agreement.

From the Agreement Workspace, select the **Submit** activity. You are now finished with the agreement creation process. After submitting your agreement to SPA, the state will update to either Unassigned or In Review and an Agreement Owner will be (a) assigned to the record and (b) notified that the new record has been assigned and is ready for review by SPA.

7 How to Add an Agreement Request Editor

Follow the steps below to add Agreement Request Editor (someone who needs read/edit access).

7.1 When the Agreement SmartForm is Editable

Follow the steps below to add an Agreement Collaborator via the Agreement SmartForm when the agreement is in an editable state (Pre-Submission state):

1. Navigate to the Agreements Workspace.
2. On the Agreements Workspace, select the **Edit Agreement** button.
3. Select the **Continue** button to navigate to the second page of the SmartForm (General Information page).
4. On the General Information page, add the Agreement Request Editor to Question 7.


7. UMN personnel given edit permissions for this Agreement:

Name	E-mail	Phone
There are no items to display		

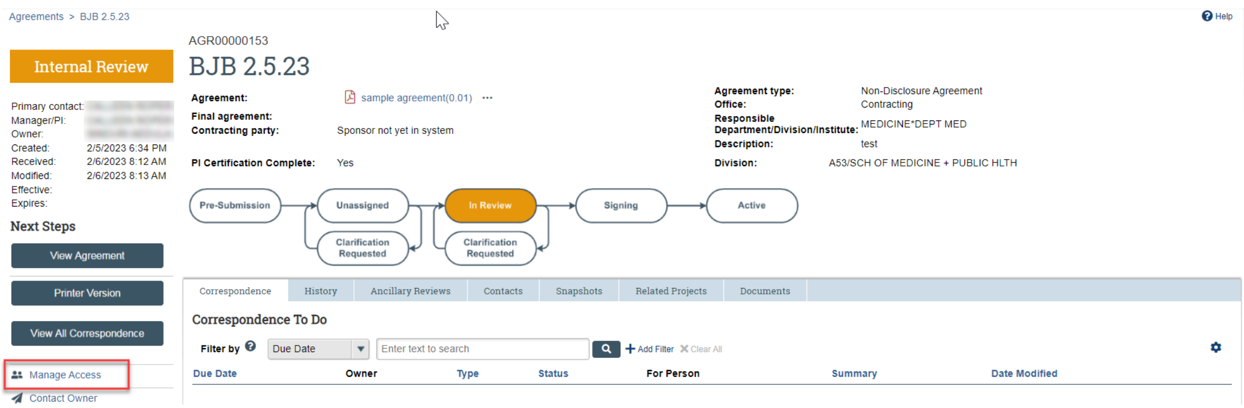
5. When complete, select **Save** and **Exit**.

7.2 When the Agreement SmartForm is Not Editable

The Manage Access activity can be used to update the administrative contact and other editors and readers when the agreement record SmartForm is not editable.

Follow the steps below to manage access to the agreement request:

1. Navigate to the Agreements Workspace.
2. On the Agreements Workspace, select the **Manage Access** activity.



3. In the Manage Access window, enter the individual's name or use the three dots ("...") to search for an individual to be added as an Agreement Request Editor (under Question 2).
4. When complete, press **OK** to return to the Agreement Workspace.

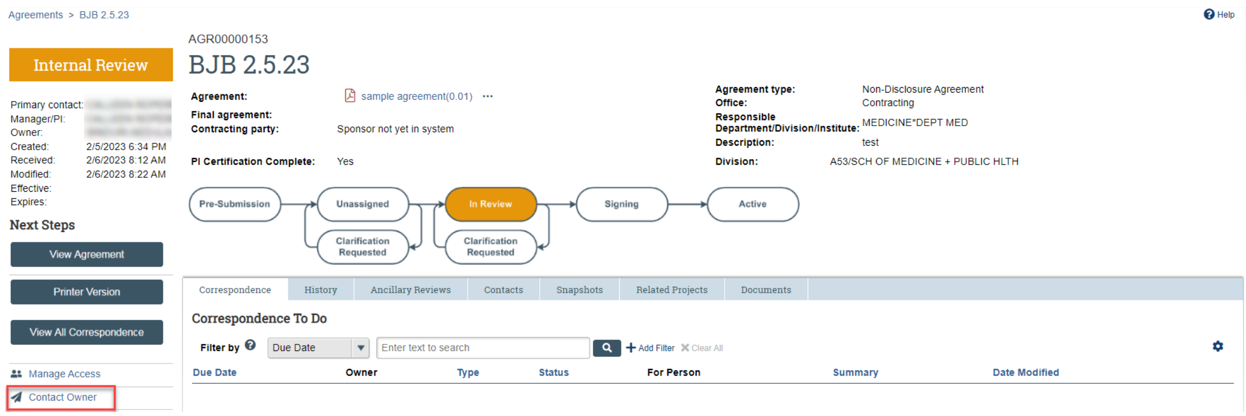
8 How to Contact the Agreement Owner

Once an Agreement Owner has been assigned to an agreement, you may contact the Agreement Owner within the system.

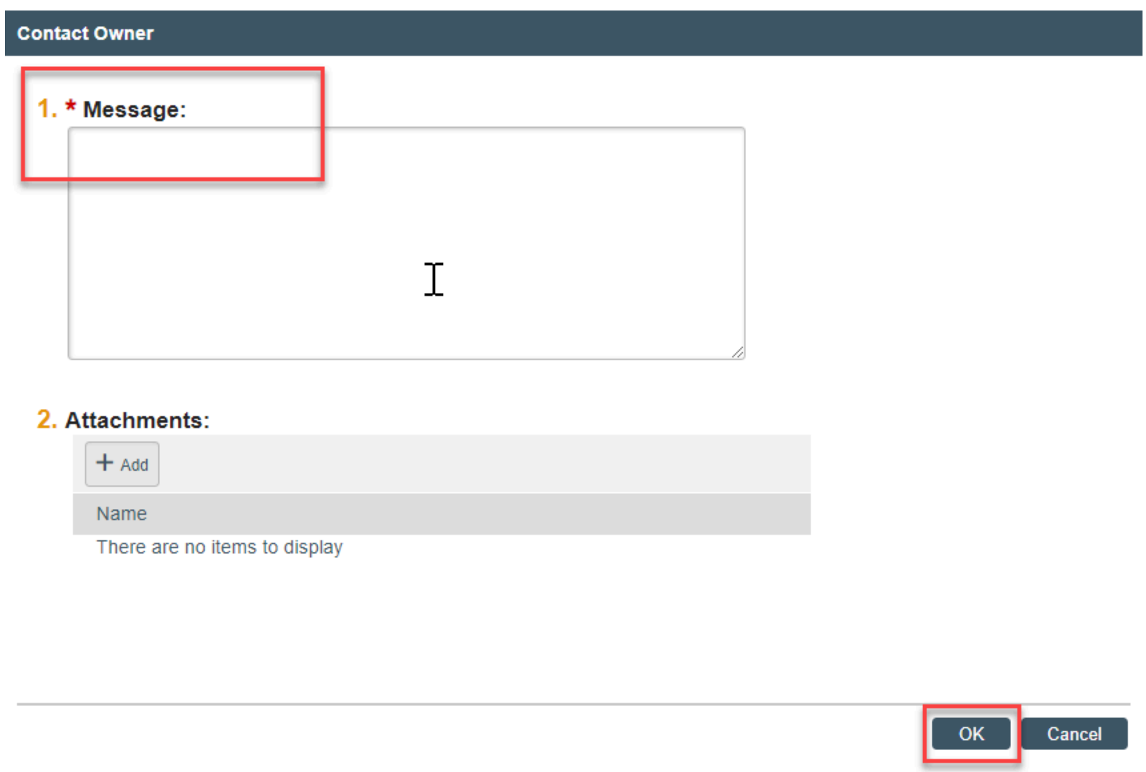
Note: The Agreement Owner is the SPA GCO designated as the owner of a specific agreement.

Follow the steps below to contact the Agreement Owner:

1. Navigate to 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, select **OK**.



5. The Agreement Owner will receive an email with the message and attachments included.

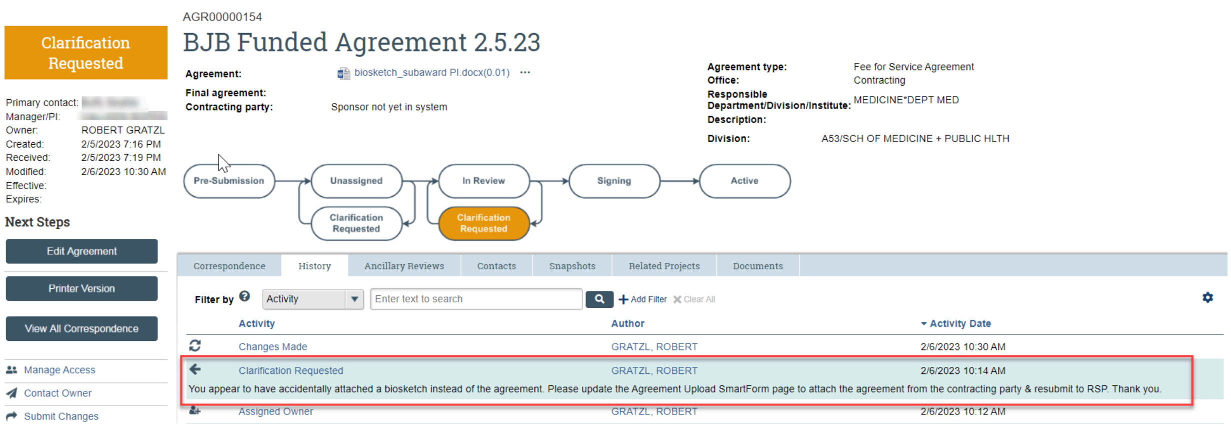
9 How to Submit a Response when Clarification is Requested

Follow the steps below to submit a response for clarification to the Agreement Owner:

Note: Only PIs or the Primary Contact can submit changes when clarifications are requested. The email notification requesting clarifications will go to the PI and editors of the Agreement request.

1. Access the agreement in one of three ways:
   a. From the system generated email, select the Agreement ID **Link**, or
   b. Select the agreement name on the Dashboard,
   c. Navigate to the Agreement Workspace.
2. On the Agreements Workspace, review the "Clarification Requested" activity listed on the History tab. This activity includes comments from the Agreement Owner with the additional information needed.

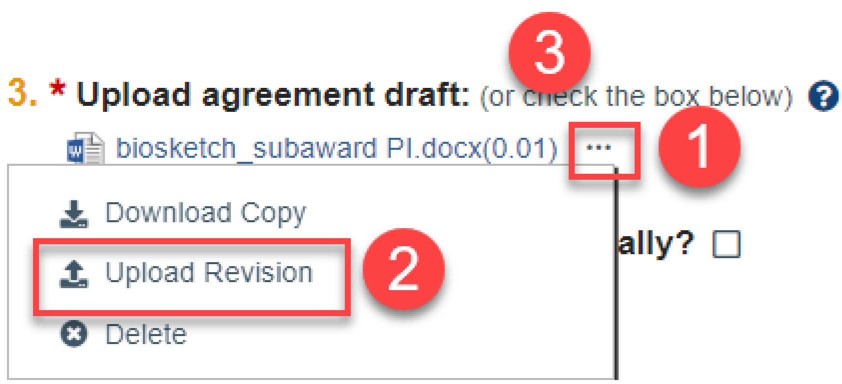
   Tip: Select the name of the Activity (e.g., "Clarification Requested") to view additional details about the activity.



3. Provide the information for the clarification requested and note the following points:
   a. **Editing the Agreement** – When the Agreement Owner requests clarification, the agreement SmartForm unlocks and is in an editable

state again. Select the **Edit Agreement** button in the Agreements Workspace to open the SmartForm and edit any fields.

i. If updating a document within the SmartForm, use the **Upload Revision** button to upload the revised version of the document. A new version number and Track Changes (for MS Word documents) will be automatically generated for easy review.



4. When you are ready to submit the updates, select the **Submit Changes** activity located on the Agreements Workspace. A Submit Response dialog box displays where additional Notes and/or Supporting documents can be provided. When finished, select **OK**.

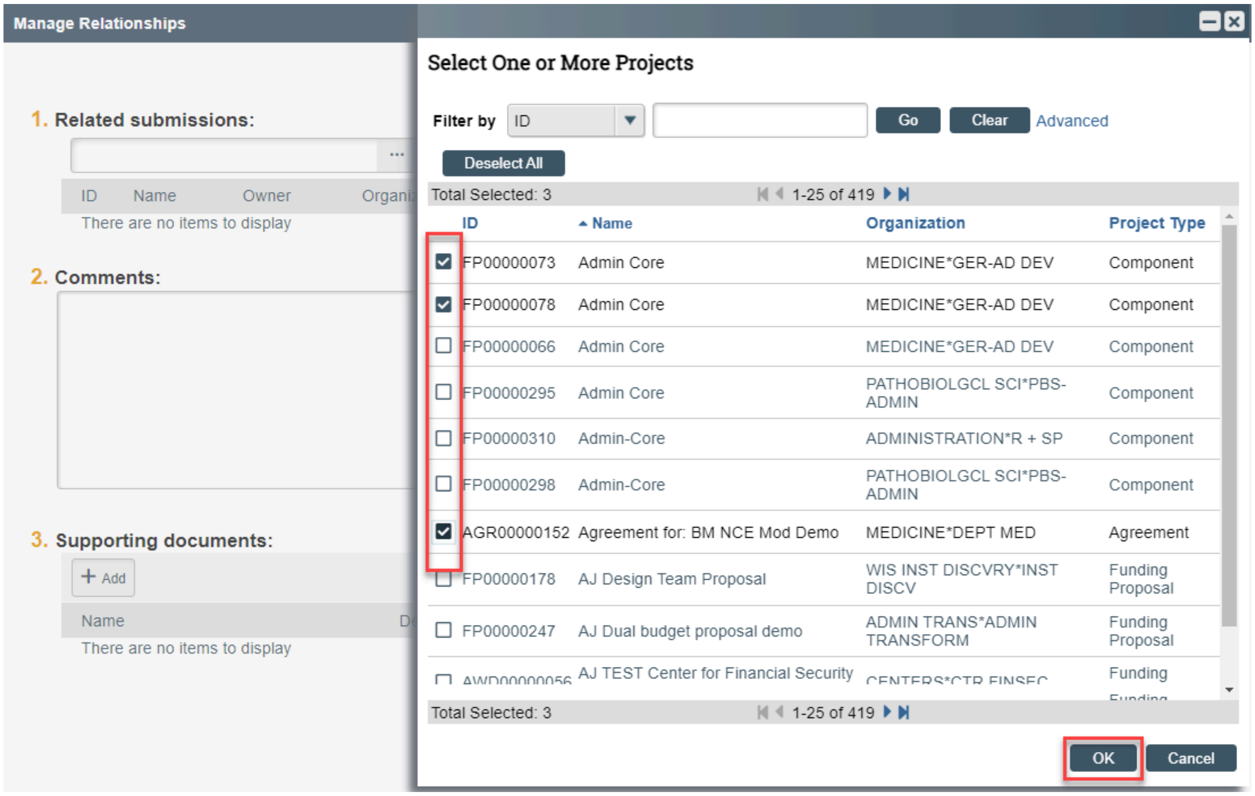
5. The agreement state returns to its prior state of either Unassigned or In Review and an email is sent to the Agreement Owner to notify them of the update.

10 How to Manage Relationships

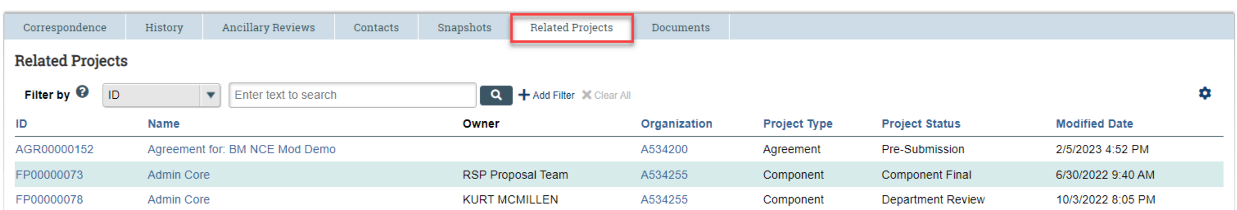
Agreement records can be linked to related records in the Grants module or to other agreements in the Agreements module.

Follow the steps below to manage relationships between records:

1. Navigate to the Agreements Workspace.
2. On the Agreements Workspace page, select the **Manage Relationships** activity.
3. In the Manage Relationships window, use the Related Submissions field to either enter the ID or use the ellipsis or three dots ("…") to search for the record.
4. Check the boxes next to the record(s) you want to relate with the agreement.



5. When complete, select **OK**. Linked records can be reviewed on the Related Projects tab of the Agreements Workspace.

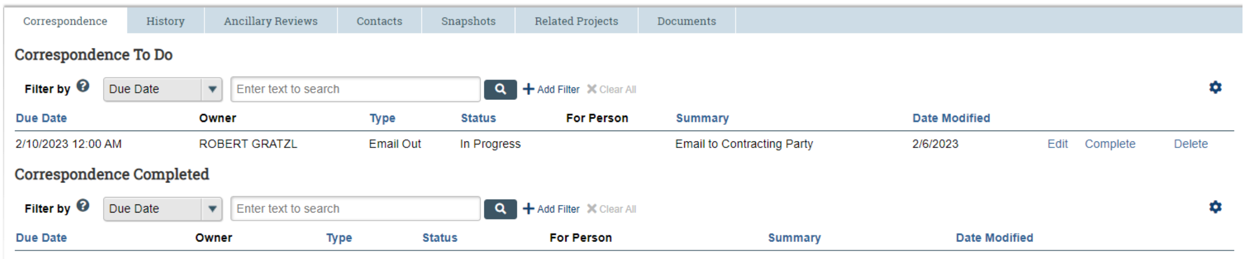


11 Reviewing Correspondence

Agreement Owners (SPA Contracts Team) can log correspondence items on an agreement to track to-do tasks or completed tasks, such as emails and phone calls with the contracting party. All users can view correspondence.

Correspondence logged by the Agreement Owner can be reviewed on the Communication tab within the Agreements Workspace and is organized into “To Do” and “Completed” sections.

Below is an example correspondence logged by the Agreement Owner:



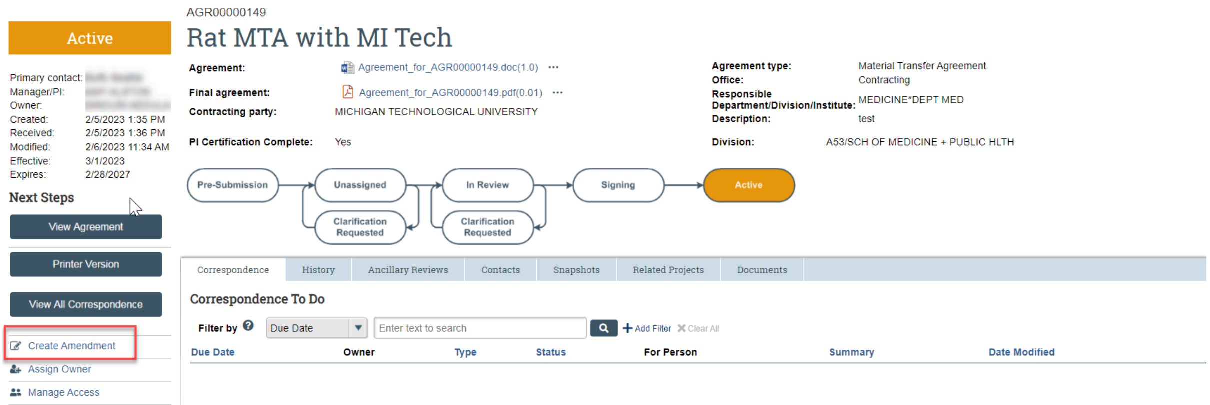
12 How to Create and Submit an Agreement Amendment

Amendments can be created for Agreements in the Active and Expired states.

Note: MN-GEMS only allows one amendment to be in the review and negotiation process at one time. Once the in-progress amendment moves to the Active state, you will be able to create a new amendment. If you need to edit the in-progress amendment for some reason, contact SPA or use the Withdraw activity to move the amendment back to the pre-submission state. DO NOT use the Discard activity as that will permanently remove the Amendment from the workflow and you will need to start over with a new amendment. MN-GEMS does not limit the overall number of amendments for an agreement record.

Follow the steps below to create and submit an agreement amendment:

1. Navigate to the Agreements Workspace.
2. On the Agreements Workspace page, select the **Create Amendment** activity.



3. MN-GEMS navigates to the first page of the Amendment SmartForm, Amendment Information. Additional SmartForm pages mirror the original Agreements SmartForm. Notice the Amendment has the same ID as the Agreement, but is suffixed with “AMX”, where “X” is the Amendment number

Editing: AGR00000149AM1

4. On the Amendment Information page, upload any applicable documents and enter an Amendment Description.

   Note: If a draft amendment is uploaded, signatures are typically necessary, and the amendment will follow the same workflow as an agreement.

5. Update the pages of the Amendment SmartForm as necessary and select the **Continue** button on each page. On the Completion Instructions page, select the **Finish** button to navigate to the Amendment Workspace page.
6. On the Amendment Workspace, note the amendment is in the Pre-Submission state.
7. Complete any additional tasks as necessary. When you are ready to submit the amendment, select the **Submit** activity to begin the amendment workflow.
8. The amendment workflow is the same as the agreement workflow.

13 How to Withdraw an Agreement

Use the Withdraw activity to remove an agreement or amendment from the workflow. Completing this activity will return the agreement to the Pre-Submission state and the Submit activity will become available again (for when the record is ready to be resubmitted into the workflow). Potential reasons to withdraw an agreement include change in the scope or nature of the project, changing the agreement type, contracting party communication indicating the need for delay, etc. This list is not exhaustive.

Note: This activity is only available to the PI or Primary Contact.

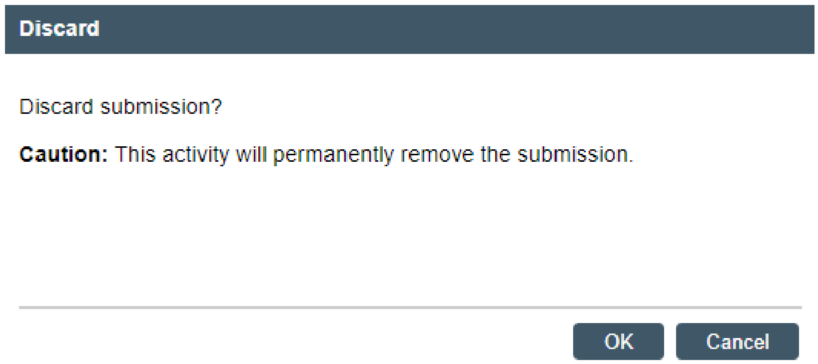
14 How to Discard an Agreement

Use the Discard activity to remove an agreement or amendment from workflow before it has been moved to the Active or Approved state. Completing this activity will **permanently remove the submission from the workflow**. Potential reasons to discard an agreement include departing PI, acquiring materials from another source, or the agreement is no longer needed. This list is not exhaustive.

Note: This activity is available to all roles and results in a permanent action. **The SmartForm data is deleted and cannot be resubmitted after using this activity. Instead users must submit a completely new request.**

Follow the steps below to discard an agreement:

1. On the Agreements Workspace, select the **Discard** activity.
2. In the Discard window, select **OK**.



3. When the system returns to the Agreements Workspace, the state is updated to Discarded.