Integrating Unfunded Agreements (UFAs) in eResearch Proposal Management (eRPM)

November 22, 2013
Overview: *UFA defined and categories*

Timeline: *What we’ve done and where we’re headed*

Process: *How will UFAs work in eRPM?*

- Categories of UFAs
- Overview of UFA routing, approval, and processing
- Walk-thru: Create an UFA (NDA)
- Walk-thru: Unit Review/Approve an UFA
- Resources / Upcoming important dates
Overview

What is an Unfunded Agreement (UFA)?

• A non-financial agreement with a sponsor

UFA Categories

• Data Use Agreement (DUA)
• Non-Disclosure Agreement (NDA)
• Material Transfer Agreement (MTA)
• “Other” (e.g., Memorandum of Understanding, Teaming Agreements, etc.)
• Master Agreements
Timeline

January 2012

UFA pilot began with Medical School non-federal Clinical Trials.

Spring 2013

- RAAC (Campus Research Administration Advisory Committee) identified this as a high priority for units
- Central Offices identified as a high priority
- ITS had approved time to work on the project

Spring 2013 – Fall 2013

UFA workgroup assembled and reviewed
- Categories
- Forms
- Help Text
- Workflow
- System Boxes
October 2013

“UFA Email Notification” added to Manage Department screen in eRPM and pre-populated with current PAF Notifiers.

November 2013

- Units determine their business process for UFA approval and notification recipients.
- Announcement message from Daryl Weinert & Ken Nisbet
- User Testing
- UFA Training Webinar for Units; Step-by-step instructions and eRPM Sandbox available for Unit users.
- November 27th – Paper forms removed from ORSP website.

December 2013

- December 2nd – UFA functionality goes live in eRPM and communications sent to eRPM-Info email group.
The routing to a Central Office is pre-set in the system by the category of agreement...

Office of Research and Sponsored Projects (ORSP)

- Data Use Agreement (DUA)
- Non-Disclosure Agreement (NDA)
- “Other” (e.g., Memorandum of Understanding, Teaming Agreements, etc.)
- Master Agreements (No routing - ORSP will create records)

Office of Technology Transfer (OTT)

- Material Transfer Agreement (MTA)

Currently handle outgoing MTAs
Will handle incoming and outgoing MTAs in eRPM as of 12/2/13
The system has two key functionality aids:

• If the wrong agreement category is chosen,
  • The user does not have to start over.
  • The agreement category may be changed and the common questions retain responses.

• If the wrong Central Office receives the UFA,
  • The record and agreement will be sent to the appropriate office by the central office.
  • A notification will be sent to the Project Team indicating the change.
UFAs tab – Lists UFAs you are associated with that either have not been signed by the PI or require further action before submitting.

Create New UFA – Click to initiate a new UFA record and select the UFA category.
Introduction

Please select the appropriate category based on the nature of the proposed activity. For additional details refer to these expanded descriptions of unfunded agreements.

Non-Disclosure Agreement (NDA) – Select this category if the Sponsor requests confidentiality during preliminary discussions prior to sponsored activity.

Material Transfer Agreement (MTA) – Select this category to send or receive physical materials or software to or from an outside entity, including adding a new investigator to an existing MTA.

Data Use Agreement (DUA) – Select this category when there will be a transfer of data to be used in research that is subject to restrictions on its use.

*Other Agreements* – Select this category if the agreement does not fall into the above categories. Examples may include:
- Teaming agreements
- Memorands of Understanding (MoU)
- Unfunded research, consulting or collaboration agreements
- Facility access agreements
- Visiting researcher agreements
- Vehicle and equipment loan agreements

Click an underlined question to display help information (e.g., definitions, examples, links). Complete all required fields to prepare a new Unfunded Agreement (UFA).

**Required questions are noted with either:**

* Required to Save = question must be answered before you can save and leave the page.
* = question must be completed before an UFA can be routed for approval.

Project Title: * Required to Save

Agreement Category: * Required to Save

Applicable sections of the form open based on the Agreement Category selection. For some categories, additional required questions may display at bottom.
Create an UFA (NDA)

- **Instructions for Adding Personnel**
  1. Add personnel to the agreement by clicking “Add” and searching by uniqueid or last name.
  2. Select the applicable role for each person on the agreement. You must list at least one PI or Responsible Faculty Member and one Administrative Contact. Each person included on the agreement must have a role selected:
     - PI or Responsible Faculty Member
     - Other Investigator (e.g., graduate student, post-doc, fellows, etc.)
     - Administrative Contact (e.g., lab manager, research administrator)
  3. Select the Contact PI or Responsible Faculty Member. This person receives system communications and can route the agreement for processing. Their appointment determines the Administrative Home for the agreement.
  4. Once personnel have been added, select the appropriate Contact Participant and Primary Research Administrator. These two people are copied on system communications related to this project and are able to route the agreement for processing.

- **NOTE:** To change the Contact PI/Responsible Faculty Member and/or the Primary Research Administrator, follow the steps above to add a new person, save the page, and then use the delete option that appears to remove the former person from that role.

### Personnel Table

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>UFA Edit Rights</th>
<th>Appointments</th>
</tr>
</thead>
<tbody>
<tr>
<td>David Nassar</td>
<td>PI or Responsible Faculty Member</td>
<td>yes</td>
<td>Add Appointment</td>
</tr>
<tr>
<td>Mike Randolph</td>
<td>Administrative Contact</td>
<td>yes</td>
<td></td>
</tr>
</tbody>
</table>

**Contact PI**
- **David Nassar**
- **Mike Randolph**

**Primary Research Administrator**
- **Name**
  - David Nassar
  - Mike Randolph

- **Click “Add” to add individuals to the UFA record**
- **Must have at least one PI or Responsible Faculty Member and one Administrative Contact**
- **Primary Research Administrator is automatically granted edit rights**
Create an UFA (NDA)

- Additional questions may display depending on how you answer
- Clicking on an underlined question displays help text to assist you in answering
Create an UFA (NDA)

- Click Hide/Show Errors to verify all required information has been provided

- Complete Project Team Route UFA activity to send to ORSP or Unit for review

- A yellow warning message will display if the Contact PI has not yet signed the UFA

- Contact PI must complete Sign UFA activity (includes COI statement) before the contract is executed
Create an UFA (NDA)

- Post a Comment for the Entire Project activity can be used at any time to send email and comments to others related to the project.
- Choices will include a Central Office contact address even if you do not yet know which specific individual will handle your UFA.
- Unit contacts will appear once an administrative home is assigned to the record.
When does a UFA route for Unit Review?

When first submitted by the Project Team:

- Unit Review *always* needed for “Other”
- Unit Review *never* needed for NDAs
- MTAs and DUAs - Specific responses to “trigger questions” send project into Unit Review

After receipt by the Central Office:

- Ability to send any project back for Unit Review
Initial Unit Review triggers for MTAs & DUAs:

- Ineligible PI
- Financial (Unit finances to support unfunded work)
- Effort
- Space
  - Incremental space
  - Modification to existing space
  - Controlled space (hazardous material capacity issues)
- Security
  - Physical (lock-down mode)
  - IT (firewalls or non-networked computer)
  - NIST Standards
- Confidentiality
  - Student access issues
How approvals work:

- When required, only ONE approval is needed
  - Each school / college / center has its own business process established.
  - Check with your local office if you are unsure.
- *Any approver at any level of the administrative home stream has access to sign*
  - Approvers are individuals in the “Reviewers Who Can Sign” set.
  - If you need access added to the “Reviewers Who Can Sign” set, **contact your Unit Liaison.**
- Once approval activity is completed, the UFA record will route to the Central Office
General Unit Review Information:

- Unlike the PAF, only units in the administrative home stream participate in approvals.
- It was considered highly unusual that more than one unit or faculty member would be responsible for the UFA agreement.
- If a unit feels they are being asked to issue a commitment for something that is provided by another unit, they are encouraged to reach out for confirmation of the resource prior to signing.

Agreements that don’t route for Unit Review go directly to the Central Office with an email notification to Units that it was sent.
How notifications work:

- Notifications will go to UFA Email Notification group at all levels
  - Individuals receive notification if they are in the “UFA Notifiers” set.
  - If you need added to the “UFA Notifiers” set, anyone able to Manage Department for the unit can add.
- Notifications include:
  - A UFA has been submitted to a Central Office (when no approval is needed)
  - A UFA is ready for review (when approval is needed)
  - You may receive both types of notifications and need to do nothing based on your local business process.
Ready for Review & Approval – UFAs after initial submission by PI/PT

UFAs with Changes Requested – UFAs sent back to PI/PT for changes

UFAs with Changes Returned – UFAs returned with changes from PI/PT

All UFAs – Displays all UFAs in eRPM for Reviewers Who Can Sign (Approvers)
1) Display UFA Summary to view info
2) Request Changes or Make Changes to UFA record, if desired
3) Unit Approve to approve and route to Central Office
• **Current State** changes to reflect routing to Central Office for review

• **Recent Activity** displays a history of activities executed on the UFA
Training Materials Available

**UFA Quick Reference Card (PI/Project Teams)**

- ORSP website
- OTT website

**UFA Review Step-by-Step (Unit Reviewers)**

- ORSP website
- OTT website

**Upcoming Important Dates**

- **11/22/2013**  
  eRPM Sandbox and step-by-step instructions posted

- **11/27/2013**  
  Paper forms removed from ORSP website

- **New websites with contract templates**

- **12/2/2013**  
  UFA functionality goes live in eRPM
Questions?