

# Agreements Tracking Process Manual

## Volume Fifteen

PI & Departments

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# Agreement Tracking Process Manual

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# Introduction to Agreements Tracking

## Basic User Terms

**Action Bar** – The row of six buttons at the top of each agreement that perform actions or open drop down menus. The first three are system buttons that always stay the same. The last three are specific to the type and status of agreement and will change throughout the process.



**Assignee** – The person currently responsible for the Primary Agreement. The Assignee can change throughout the life of an award

**Dashboard** – a pre-set filter showing the agreements in a queue for a specific set of people. The PI Dashboard will include all the agreements on which they are PI or Co-PI and Departmental Personnel Dashboard will include all agreements in their department

**Key** – The unique identification number assigned to each agreement and subtask

Filter Results: Open Pr

T	Key	PI La:
	AT-10171	Bask
	AT-10149	Linse

**Primary Agreement** – the “file” or data set for each agreement. Also referred to as “the agreement”

**Reporter** – The person who created the agreement or Subtask

**Subtasks** – A secondary action under a Primary Agreement that is given its own key. Each subtask has a Subtask Assignee that is responsible for the specific task described in the Subtask and is not responsible for the Primary Agreement (unless the Primary Assignee and Subtask Assignee is the same person).

**Watcher** – A person who receives updates on an agreement or subtask when comments are made or the status changes. The Reporter and Assignee can become Watchers as well as the PI, Department personnel or any other OVPR user.

## Agreement Types

There are many different types of agreements in the AT and each has its own set of data and requirements.

**RFP Review:** When an RFP includes terms and conditions that must be reviewed at the proposal stage including FAR clauses, export control language, intellectual property requirements, or organizational conflict of interest disclosures or certifications. An RFP Review can be linked to a Primary Agreement at the time of award.

**PRE Funded Agreement:** Used to capture the effort that is performed on agreements BEFORE the award has been received. This type is used to indicate work that is being done by any OVPR personnel for a pending award that has not yet been received by the university. An example of this would be a sponsor requesting VT to send an agreement sample for their review along with or after the proposal has been sent.

**Funded Agreements with Proposal:** Funded sponsored research agreements issued as a result of a proposal

**Funded Agreements without Proposal:** Funded sponsored research agreements that have been issued without an official proposal being submitted through OSP. These agreements will include a subtask to the Pre-Award Administrator to obtain the necessary proposal paperwork and will be converted to a Funded Agreement with Proposal once the proposal has been processed.

**Funded Modification with Proposal:** Funding added to a current project that was awarded as a result of a proposal

**Funded Modification without Proposal:** Funding added to a current project that is issued without an official proposal being submitted through OSP. These agreements will include a subtask to the Pre-Award Administrator to obtain the necessary proposal paperwork and will be converted to a Funded Modification with Proposal once the proposal has been processed.

**Non-Funded Modification:** Modifications to current agreements that do not include additional funding but require review of new terms or changes in the statement of work

**LOG – Funded Agreement:** While a Funded Agreement with Proposal is waiting to be awarded or in negotiation, the department can request a Letter of Guarantee (LOG). This LOG will set up a fund in anticipation of the agreement being finalized with the department agreeing to cover any charges if the agreement is not finalized. In such cases, a “clone” or copy of the Funded Agreement with Proposal is created and finalized. Specific procedures are described in the Exhibit 02. See Row 08 Cell 02 for further information on LOGs.

**LOG – Funded Modification:** While a Funded Modification with Proposal is waiting to be awarded or still in negotiation, the department can request a Letter of Guarantee (LOG). This LOG will set up add funds to the current award in anticipation of the agreement being finalized with the department agreeing to cover any charges if the modification is not finalized. In such cases, a “clone” or copy of the Funded Modification with Proposal is created and finalized. Specific procedures are described in the Exhibit 02. See Row 08 Cell 02 for further information on LOGs.

**Other Agreements:** These are non-funded agreements negotiated by the Contracts Team such as Master Agreements, Teaming Agreements, Confidentiality Agreements and Material Transfer Agreements. When an “Other Agreement” is created, it is then further categorized as a specific “type of other agreement.”

**Incremental Funding PHS:** OSP uses Agreements Tracking to keep track of incremental funding only when it is PHS funding in order to document the Conflict of Interest subtask.

## Agreement Status

Each type of agreement has several different statuses associated with it. The following are the most common:

**Newly Assigned:** When an agreement has been given to an Assignee, but the Assignee has not yet begun the review

**Initial Review:** An indication that the Assignee has acknowledged the new agreement and has started review. This status can be used in different ways, depending upon the person’s preference or can be skipped altogether. The original intent was to indicate when the agreement had been reviewed and any necessary subtasks assigned, but the actual terms had not yet been reviewed or negotiations started

**Active Negotiations:** The Assignee has begun working with the sponsor and negotiating the agreement

**Awaiting Signature:** The agreement has been finalized and is in the signature process

**Post-Award Review:** The agreement has been finalized and signed by all parties and has been sent to the Post-Award Administrator for a final review

**Award Set-Up In Process:** The Post-Award Administrator has completed their final review and has sent the file to the Processor to enter the award data into Banner, set-up the fund number and send the PAN

**Completed:** When the agreement has been finalized and, if a funded agreement, has been set-up and the PAN issued

# Dashboard

When a user logs into Agreements Tracking they will see their Dashboard. A PI will see all Agreements on which he or she is listed and Departmental Personnel will see all the Agreements for which their department has been listed. Each Dashboard will have two sections listing open and closed agreements and multiple columns presenting at-a-glance information. The “Open” section of the Dashboard includes all Agreements that have been entered into the AT and have not yet been Completed. The Completed section includes all Agreements for which all tasks have been finalized, which means something different for the various types of Agreements. Completed means the Agreement has been Set-up and a PAN issued for funded agreement, and it for an RFP review it means the review is done and the Pre-Award Administrator has received the Contracts Team review.

## PI Dashboard

This is a sample PI Dashboard. It shows Dr. Tafti as the PI. The first one in the list shows another PI, which indicates that Dr. Tafti must be listed as Co-PI. The columns are slightly different for the open and completed lists.

Filter Results: My Open Agreements										
T	Key	PI First Name	PI Last Name	Proposal Number	Sponsor Name	Assignee	Status	Sub-Tasks	Created	Updated
	<a href="#">AT-11994</a>	shashank	Priya		NIA	Frank Fitzgerald	Newly Assigned	AT-12007	10/07/13	10/21/13
	<a href="#">AT-11993</a>	Danesh	Tafti		Rolls Royce	Frank Fitzgerald	Awaiting Award		10/07/13	10/21/13
	<a href="#">AT-11992</a>	Danesh	Tafti	13-1954-04	University of Michigan	Anna Lester	Award Setup In Process		10/07/13	10/07/13
	<a href="#">AT-11990</a>	Danesh	Tafti	14-0339-09	National Science Foundation (NSF)	Wright, Emmett G.	Post Award Review		10/07/13	10/07/13
	<a href="#">AT-11988</a>	Danesh	Tafti		Tech Research, Inc	Kristi Shaw	Newly Assigned	<del>AT-11988</del>	10/07/13	10/07/13
	<a href="#">AT-11984</a>	Danesh	Tafti	14-0798-11	Air Force Research Lab	Kristi Shaw	Active Negotiation	AT-11985, AT-11986, <del>AT-11987</del>	10/07/13	10/10/13
	<a href="#">AT-11982</a>	Danesh	Tafti		ACME Research Corp	Brett Lovell	Initial Review	AT-11983	10/07/13	10/07/13
	<a href="#">AT-11981</a>	Danesh	Tafti	13-2123-06	URS	Kristi Shaw	Active Negotiation		10/07/13	10/07/13
	<a href="#">AT-11980</a>	Danesh	Tafti	14-0107-08	Rolls Royce	Cynthia Williams	Newly Assigned		10/07/13	10/07/13

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Filter Results: My Completed Agreements										
T	Key	PI First Name	PI Last Name	Proposal Number	Sponsor Name	Grant Number	Status	Sub-Tasks	Created	Updated
	<a href="#">AT-11998</a>	Danesh	Tafti	14-0669-08	ACME Inc	456654	Complete		10/07/13	10/21/13
	<a href="#">AT-11991</a>	Danesh	Tafti	13-1945-05	National Science Foundation	455123	Complete		10/07/13	10/21/13
	<a href="#">AT-11962</a>	Danesh	Tafti	13-0015-07	National Science Foundation	2	Complete	AT-11974	08/09/13	10/24/13
	<a href="#">AT-10037</a>	Danesh	Tafti	13-1696-02	Rolls-Royce Corporation	457891	Complete	<del>AT-10037</del> , AT-10450	03/08/13	10/15/13
	<a href="#">AT-10029</a>	Wing Fai	Ng	13-0504-09	Rolls-Royce Corporation	457892	Complete	<del>AT-10030</del> , <del>AT-10449</del> , AT-10689	03/08/13	10/15/13

# Departmental Dashboard

This is a sample Departmental Dashboard. It shows many different PIs that are all within the same department. The columns are slightly different for the open and completed lists.

Filter Results: My Open Agreements										
T	Key	PI First Name	PI Last Name	Proposal Number	Sponsor Name	Assignee	Status	Sub-Tasks	Created	Updated
	AT-11997	Dennis	Hong	12-0273-08	Defense Advanced Research Projects Agency	Frank Fitzgerald	Newly Assigned		10/07/13	10/07/13
	AT-11995	Brian	Lattimer	12-1051-11	Alion Science Technology Corp	OSP Contracts User	Newly Assigned		10/07/13	10/07/13
	AT-11994	shashank	Priya		NIA	Frank Fitzgerald	Newly Assigned	AT-12007	10/07/13	10/21/13
	AT-11992	Danesh	Tafti	13-1954-04	University of Michigan	Anna Lester	Award Setup In Process		10/07/13	10/07/13
	AT-11990	Danesh	Tafti	14-0339-09	National Science Foundation (NSF)	Wright, Emmett G.	Post Award Review		10/07/13	10/07/13
	AT-11988	Danesh	Tafti		Tech Research, Inc	Kristi Shaw	Newly Assigned	AT-11989	10/07/13	10/07/13
	AT-11984	Danesh	Tafti	14-0798-11	Air Force Research Lab	Kristi Shaw	Active Negotiation	AT-11985, AT-11986, AT-11987	10/07/13	10/10/13
	AT-11982	Danesh	Tafti		ACME Research Corp	Brett Lovell	Initial Review	AT-11983	10/07/13	10/07/13
	AT-11980	Danesh	Tafti	14-0107-08	Rolls Royce	Cynthia Williams	Newly Assigned		10/07/13	10/07/13
	AT-11924					OSP Contracts User	Initial Review	AT-12005, AT-12006	07/30/13	10/17/13

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Filter Results: My Completed Agreements										
T	Key	PI First Name	PI Last Name	Proposal Number	Sponsor Name	Grant Number	Status	Sub-Tasks	Created	Updated
	AT-11998	Danesh	Tafti	14-0669-08	ACME Inc	456654	Complete		10/07/13	10/21/13
	AT-11996	Robert	Llaneras	14-0273-08	MAC 3	415523	Complete		10/07/13	10/21/13
	AT-11991	Danesh	Tafti	13-1945-05	National Science Foundation	455123	Complete		10/07/13	10/21/13
	AT-11969	Hesham	Rakha		Boise Paper		Complete		08/19/13	10/21/13
	AT-11967	Rakha	Hesham	01-1254-45	Boise Paper		Complete		08/19/13	10/21/13
	AT-11963	John	Rudd	13-0016-07	URS Corporation	01854	Complete	AT-11964, AT-11974, AT-11973	08/09/13	10/15/13
	AT-11962	Danesh	Tafti	13-0015-07	National Science Foundation	2	Complete	AT-11974	08/09/13	10/24/13
	AT-11493	Alexander	Leonessa	13-0727-10	National Science Foundation	478472	Complete		05/07/13	10/21/13
	AT-11423	Corina	Sandu	13-1744-02	University of Michigan - Ann Arbor	415597	Complete	AT-11477, AT-11680	05/02/13	10/21/13
	AT-11422	Corina	Sandu	13-0640-09	University of Michigan - Ann Arbor	415597	Complete	AT-11478, AT-11684	05/02/13	10/21/13

1-10 of 29 1 2 3 ▶



## Columns

Each Dashboard has multiple columns of information for at-a-glance information and filtering. To see the information in a specific order, click on the column heading and the arrow icon to reorganize the data




Sponsor Name	
ACME Research Corp	Br
Air Force Research Lab	Kr
Alion Science Technology Corp	Os

## T

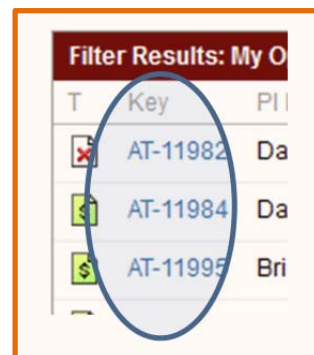
The “T” Column indicates the Type of Agreement by showing a different icon for each type. By hovering over the icon, the user can see a pop-up that describes the type of agreement.






T	Key	PI
	AT-11982	Da
	AT-11984	Da
	AT-11995	Bri

## Key

Each Agreement is assigned its own unique identifier called the “key.” By clicking on the Key, the user will be taken to the Agreement details



T	Key	PI
	AT-11982	Da
	AT-11984	Da
	AT-11995	Bri

**Name**


The first and last name of the PI is listed for each Agreement



	PI First Name	PI Last Name
11982	Danesh	Tafti
11984	Danesh	Tafti
11995	Brian	Lattimer

**Proposal Number**

If an Agreement has a proposal number associated with it, it will be identified in the proposal number column. There are types of agreements such as Confidentiality Agreements that will not have a proposal number. There are also instances when a funded agreement does not yet have the proposal paperwork submitted to OSP. In these cases, the agreement type will indicate it is “without proposal” and no proposal number will be listed here.



Proposal Number
14-0798-11
12-1051-11
13-2135-03

**Sponsor Name**

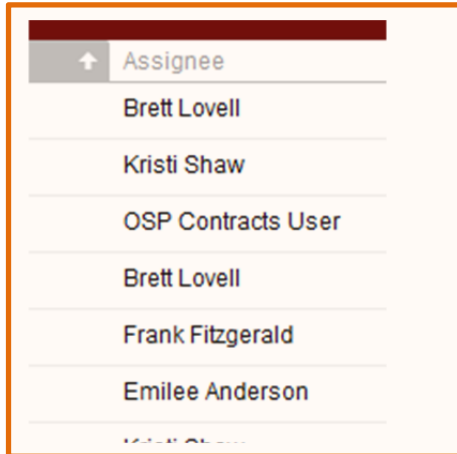
The name of the sponsor is identified in this column



Sponsor Name
MAC 3
Boise Paper
Boise Paper
National Science Foundation
University of Michigan - Ann Arbor

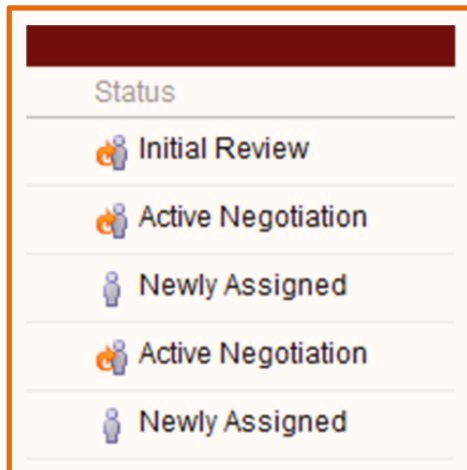
**Assignee**

The person to whom the Agreement is currently assigned and has primary responsibility for overseeing it is listed in the Assignee column. This may change over the life of the Agreement and will not be the same for each Agreement.



**Status**

The current status of each Agreement is reflected in the status column as it is updated by OSP personnel.



### Sub-Tasks

Each Sub-Task under the Primary Agreement is listed on the Dashboard. Hovering over the Sub-Task key number will bring up the Sub-Task Summary and clicking on the Sub-Task key will take the user to the Sub-Task details page. Subtasks that are crossed through have been completed.

Sub-Tasks	Created
<del>AT-10258, AT-10512</del>	03/13/1
<del>AT-11957</del>	08/01/1
AT-11776	05/24/1
AT-10518	03/21/1
AT-11279, AT-11327	04/25/1
AT-11347, <del>AT-11843</del>	04/23/1
AT-11624	05/13/1
	10/07/1
AT-11896, AT-11897, AT-11898, AT-11899	05/29/1






### Created and Updated

These are the dates the Agreement was initially entered into the AT (Created) and the date the Agreement was last updated. The Updated status only shows the date the Primary Agreement was updated. If there was activity on a Sub-Task, that date would not be brought forward to the Primary Agreement's updated column.

Created	Updated
10/07/13	10/07/13
10/07/13	10/07/13
10/07/13	10/07/13
04/18/13	05/07/13


**Grant Number**

After an Agreement has been Set-Up and moved to the “Completed” section, a column indicating the new Grant Number is available.

Grant Number	Status
415523	 Complete
	 Complete
	 Complete
478472	 Complete
415597	 Complete



# Agreement Details

When the user clicks on a specific Agreement, they will be brought to the Agreement screen that contains several sections of information about the Agreement:

 Agreements Tracking / AT-11984 38 of 110  
Return to search  
**Tafti, Danesh - AFRL : 14-0798-11** Views


Attach Files Attach Screenshot More Actions

### Details

Type:	 Funded Agreement with Proposal	Status:	 Active Negotiation <a href="#">(View Workflow)</a>
Type of Research:	Basic	Resolution:	Unresolved
Proposal Number:	14-0798-11	Security Level:	OVRP & Project Personnel
PI First Name:	Danesh		
PI Last Name:	Tafti		
Sponsor Name:	Air Force Research Lab		
Project Title:	Heat Transfer Simulations		
FCOI Attribute:	COI Other		

### People







Assignee:	Kristi Shaw
Reporter:	Anna Lester
Project Personnel:	Danesh Tafti
Authorized Departments:	010705
Pre-Award Admin:	Jane Lee
Post Award Admin:	Davis, Nevada G.

 Watch (0)

### Dates



Created:	Monday 2:00 PM
Updated:	Monday 4:43 PM
Date Received in OSP:	10/07/13

### Sub-Tasks

1. OESRC Review	  Waiting On PI	OESRC Export Control
2. Legal (OSP) - OCI clause	  Newly Assigned	Kristen Mittelman
3. Waiting on PI - need IP questionnaire	  In Progress	Unassigned

### Activity

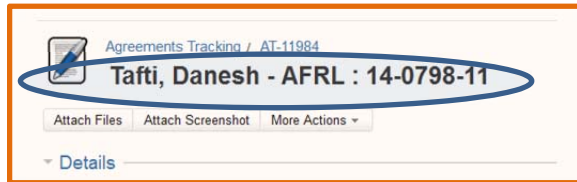
All Comments Work Log History Activity Transitions Summary

-  Kristi Shaw added a comment - 10/07/13 02:27 PM  
Received email from dept saying PI is out of country til next week, but Co-PI can answer questions. Should have IP Questionnaire ASAP.
-  Kristi Shaw added a comment - 10/07/13 02:26 PM  
Sent email to PI requesting IP questionnaire due to unusual IP request by sponsor

Each section is described below:

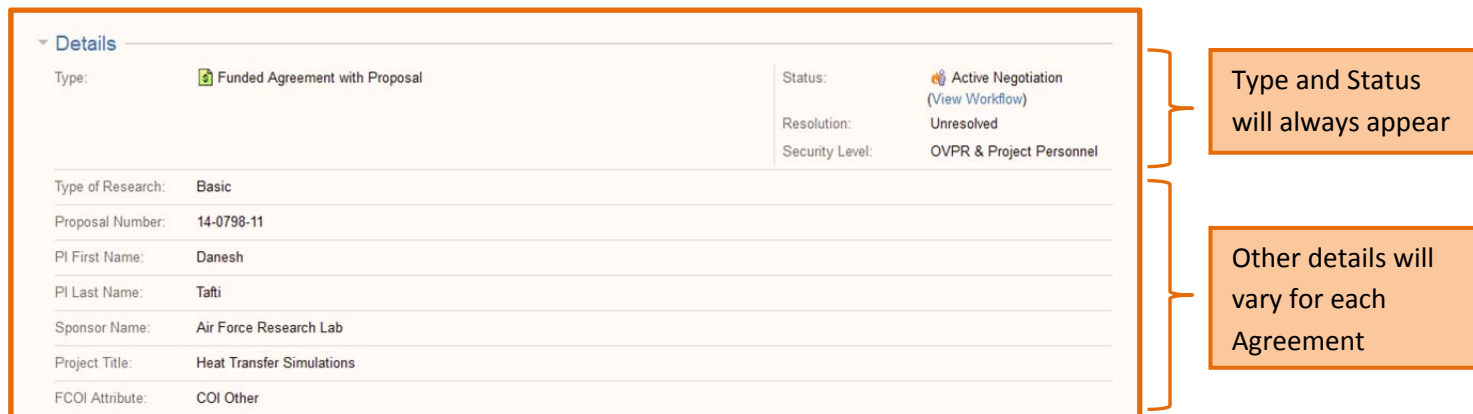
## Summary Field

Located at the top of the screen, the Summary Field is a short description of the Agreement. It usually includes the PI name, sponsor and proposal number. Other details such as a due date might also be included. The Summary Field is used in the Subject line of all automated emails that are sent out regarding the Agreement.



## Details

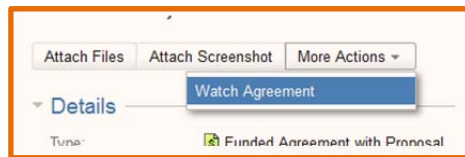
The Details section of the Agreement screen displays selected details from the Agreement Data. The Agreement Type and Status are always at the top of this section. Additional details below the Type and Status will vary depending upon the type of Agreement and how much information has been completed by OSP.

A screenshot of the 'Details' section of the Agreement screen. The 'Details' link is expanded. The 'Type' is 'Funded Agreement with Proposal' and the 'Status' is 'Active Negotiation (View Workflow)'. Other details include 'Resolution: Unresolved', 'Security Level: OVPR & Project Personnel', 'Type of Research: Basic', 'Proposal Number: 14-0798-11', 'PI First Name: Danesh', 'PI Last Name: Tafti', 'Sponsor Name: Air Force Research Lab', 'Project Title: Heat Transfer Simulations', and 'FCOI Attribute: COI Other'. Two callout boxes on the right are connected to the screenshot with brackets. The top box, labeled 'Type and Status will always appear', points to the Type and Status fields. The bottom box, labeled 'Other details will vary for each Agreement', points to the remaining detail fields.

Type:	Funded Agreement with Proposal	Status:	Active Negotiation (View Workflow)
Type of Research:	Basic	Resolution:	Unresolved
Proposal Number:	14-0798-11	Security Level:	OVPR & Project Personnel
PI First Name:	Danesh		
PI Last Name:	Tafti		
Sponsor Name:	Air Force Research Lab		
Project Title:	Heat Transfer Simulations		
FCOI Attribute:	COI Other		

## Action Bar

At the top of the screen is the "Action Bar" that provides the user with several actions available to them



By clicking on these Action tabs, the user can attach a file, attach a screenshot or designate themselves as a watcher

## People

On the right side of the screen is a section that lists all the people associated with the agreement

The screenshot shows a 'People' section with the following fields and values:

- Assignee: Kristi Shaw
- Reporter: Anna Lester
- Project Personnel: Danesh Tafti, Priya, Shashank
- Authorized Departments: 010705
- Pre-Award Admin: Jane Lee
- Post Award Admin: Davis, Nevada G.

Below the list is a 'Watch (0)' button. Five callout boxes on the right point to specific fields:

- Person currently responsible for Agreement (points to Assignee)
- Person who originally entered Agreement into AT (points to Reporter)
- Persons, such as Co-PIs, who are listed on the Agreement. Persons listed here have access to the (points to Project Personnel)
- All Departments listed on the Agreement. Department Personnel from these Departments have access to the Agreement (points to Authorized Departments)
- Persons who have chosen to be notified of all activity on the Agreement (points to Watch (0))

## Dates

On the right side of the screen below the People section is a list of important dates on the Agreement including the date the Agreement was originally entered into the AT (Created), the last date the Agreement was updated and the date the Agreement was originally received by OSP.

The screenshot shows a 'Dates' section with the following fields and values:

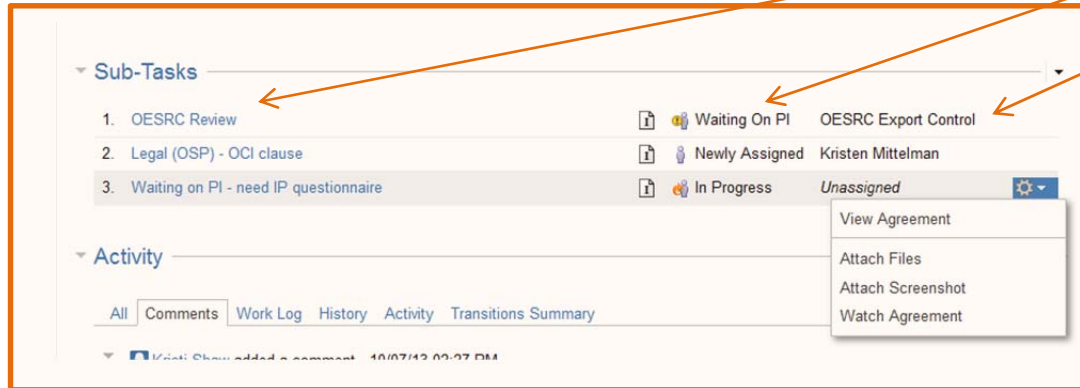
- Created: Monday 2:00 PM
- Updated: Today 11:37 AM
- Date Received in OSP: 10/07/13



## Subtasks

### General Information

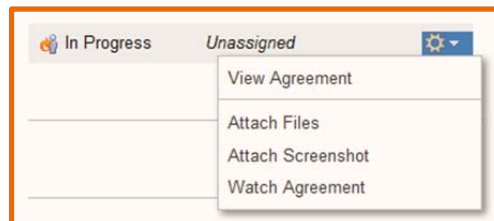
In the middle of the screen is a section that lists and provides access to all Subtasks associated with the Agreement. If there are no Subtasks, this section will not appear. Each Subtask listed has three pieces of information about it provided in this view: The Sub-Task Summary, Status and Assignee.



There are some types of Sub-Tasks that will be “Unassigned.” The purpose of these Sub-Tasks is to document the work being done by non-OVPR persons. For example, if OSP is waiting on something from the PI or the Sponsor, a Sub-Task will be created to document when the request was made and how long OSP was waiting on a response. Sub-Tasks assigned to OVPR persons will be assigned and a “queue” will be created in that persons Dashboard and an email sent notifying them of the new task.

### Actions Available

When a user hovers over the end of the row for a Subtask, a gear icon will appear containing a dropdown menu.



The dropdown menu contains several actions that are available to the user:

- View Agreement: This will open the Sub-Task Agreement screen (see below for further information)
- Attach Files: Allows the user to browse for and attach a file to the subtask
- Attach Screenshot: Allows the user to attach a screenshot
- Watch Agreement: Designates the user as a watcher who will receive notices whenever the Sub-Task is updated

### Subtask Agreement Screen

Clicking on the Sub-task name will take the user to the Subtask Agreement screen:

Agreements Tracking / AT-11984 Tafti, Danesh - AFRL : 14-0798-11 / AT-11985 ← “Breadcrumbs Trail” showing Primary Agreement

107 of 110  
Return to search

Views

### Details

Type: OESRC Review

Status: Waiting On PI  
([View Workflow](#))

Resolution: Unresolved

Security Level: OVPR & Project Personnel

Proposal Number: 14-0798-11

PI First Name: Danesh

PI Last Name: Tafti

Sponsor Name: Air Force Research Lab

Export Control Res... Yes

Export Control Res... See Article 2.3

Funded by DoD: Yes

### People

Assignee: OESRC Export Control

Reporter: Anna Lester

Watch (0)

### Dates

Created: Monday 2:02 PM

Updated: Monday 2:03 PM

Date Requested: 10/07/13

### Activity

All **Comments** Work Log History Activity Transitions Summary

There are no comments yet on this agreement.

Each Sub-Task is given its own Key number. Comments and attachments made to the Sub-Task do not roll-up to the Primary Agreement. One thing to note on the Sub-Task screen is the “breadcrumb trail” at the top of the screen showing the user which Primary Agreement the Sub-Task is under. To access the Primary Agreement, the user can click on the Primary Agreement Summary in the “trail.”

## Comments in Activity Section

At the bottom of the screen is the “Activity” section with several tabs. The tab that will be of most interest to users is the “Comments” tab. This is a log of all comments made on the Agreement and shows who made them and when.



Activity

All Comments Work Log History Activity Transitions Summary

▼ [Kristi Shaw](#) added a comment - 10/07/13 02:27 PM  
Received email from dept saying PI is out of country til next week, but Co-PI can answer questions. Should have IP Questionnaire ASAP.

▼ [Kristi Shaw](#) added a comment - 10/07/13 02:26 PM  
Sent email to PI requesting IP questionnaire due to unusual IP request by sponsor