Lehigh Integrated Research Administration (LIRA)

Agreements Module

Agreements Reference Guide

Revised August, 2023

Table of Contents

1 Introduction

This guide describes how the Lehigh Research Community (Principal Investigators (PIs), Department Administrators, project team members, etc.) will interact with the LIRA Agreements module. The Agreements module is used to create, negotiate, and execute funded and non-funded agreements, including outgoing subawards.

***Note**: Certain types of agreements will be initiated by Lehigh PIs/study staff and other types of agreements will be initiated by ORSP. See the Understanding Agreement Types and Initiation section of this guide for more guidance on agreement creation.*

2 Agreement Types, Initiation, and Responsible Offices

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

Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes	Responsible Office
CDA	Confidentiality Disclosure Agreement	PI/Study Staff	Also known as: Non-Disclosure Agreement, Confidentiality Agreement, Confidential Disclosure Agreement, Proprietary Information Agreement, or Secrecy Agreement	Tech Transfer
DUA	Data Use Agreement	PI/Study Staff	Also known as: Data Transfer and Use Agreement	LTS
MTA	Material Transfer Agreement	PI/Study Staff		Tech Transfer
BAA	Business Associate Agreement	PI/Study Staff	Dictated by HIPAA, BAAs outline the responsibility of another party when it comes to Protected Health Information (PHI)	LTS

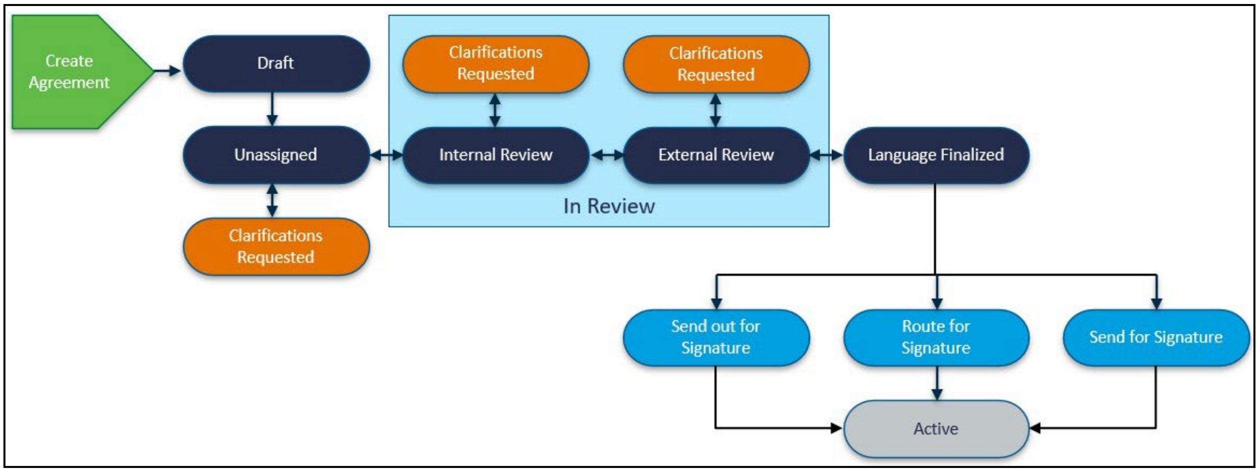
Acronym	Agreement Type	Agreement Initiator	Agreement Type Notes	Responsible Office
SRA	Sponsored Research Agreement	ORSP	Also known as: Research Funding Agreement, Grant Funding Agreement, Grant Support Agreement	ORSP
SUB	Outgoing Subaward	ORSP	Also known as: Outgoing Subcontract, Outgoing Subagreement	ORSP
RTA	Research and Testing Agreement	PI/Study Staff		ORSP
TSA	Testing Services Agreement	PI/Study Staff		ORSP

***Note**: If following up on one of the agreement types submitted above, please contact the following from the appropriate Responsible Office:*
Tech Transfer: Rick Smith/ res419@lehigh.edu
LTS: Eric Zematis/ ejz218@lehigh.edu
ORSP: Your Assigned Contract and Grant Specialist.

3 Understanding the Workflow and States (Statuses)

3.1 Agreements Workflow Diagram

The diagram below illustrates the workflow of agreements and amendments.



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 has been created but has not yet been submitted to for review and negotiation.	Any user can create a new agreement.

System Workflow State	Workflow Map State	Description	Notes
Unassigned	Unassigned	Indicates the record (agreement or amendment) has been submitted to ORSP, however it has not yet been assigned to an Agreement Owner.	The Agreement Owner is the appropriate Lehigh staff member designed as the owner of a specific agreement.
Clarification Requested	Clarification Requested	Indicates the Agreement Owner is requesting additional information from the agreement submitter (PI or Agreement Collaborator). Clarifications can be requested during the Unassigned and/or In Review states.	Only PIs or the Administrative Contact/Primary Contact can submit changes when clarifications are requested. Agreement Collaborators can update the "Administrative Contact" field on the SmartForm to their name if needed. After updating the SmartForm, navigate to the *Workspace* and look for the "Submit Changes" activity. Clarifications can be requested during the Unassigned or Internal Review states.
Internal Review	In Review	Indicates the Agreement has been assigned to an Agreement Owner within for review. In this state, the Agreement Owner can: • Generate the agreement for review	

System Workflow State	Workflow Map State	Description	Notes
		• 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 present) and update ancillary reviews.	
External Review	In Review	Indicates the Agreement has been sent to an external party outside of Lehigh 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 ancillary reviews are complete, and the Agreement	Outstanding required ancillary reviews must be completed/accepted before the

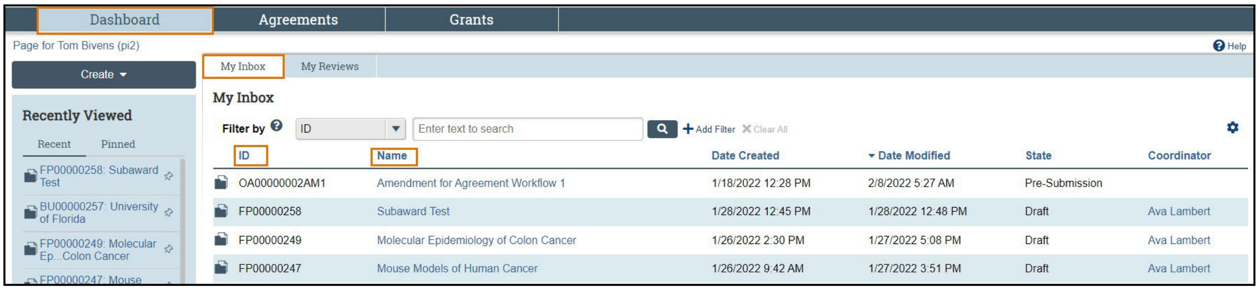
System Workflow State	Workflow Map State	Description	Notes
		Owner has approved the language.	agreement can be moved to this state.
Routing for Signatures (internal, wet ink signatures)	Signing	Indicates the record (agreement or amendment) has been routed within Lehigh for wet ink signature(s). In this 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).	
Out for Signatures (external, wet ink signatures)	Signing	Indicates the record (agreement or amendment) has been sent out to the counterparty for wet ink signature(s). In this state, the Agreement Owner can perform the same actions noted above in the Routing for Signature state.	
DocuSign Signatures (internal and/or external, digital signatures)	Signing	Indicates the DocuSign functionality has been initiated. Check the DocuSign tab on the *Workspace* for additional details.	When an envelope is completed or voided, the state updates to Routing for Signatures.

System Workflow State	Workflow Map State	Description	Notes
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 Study Staff (e.g., PI, PI Proxy, or Administrative Contact/Primary Contact) or Agreement Owner can create an amendment (provided there is no other active amendments to the agreement).	
Approved	Approved	Indicates the Amendment has been signed by all internal and external parties and is approved.	
Evergreen	N/A	Indicates the Agreement contains an evergreen clause (language authorizing automatic renewal 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.	

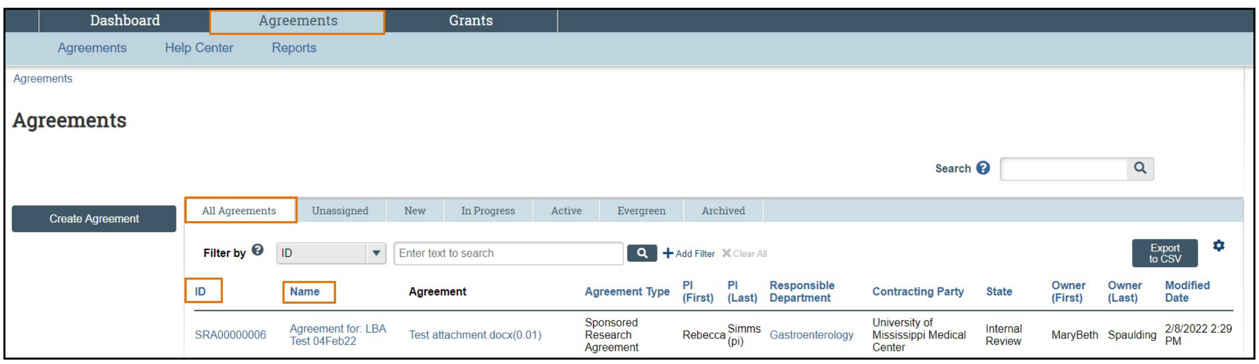
4 How to Access a Record

You can access and view Agreement module records you have permission to see in 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 LIRA modules (Grants and Agreements) that require an action from you. To access a record, click on the record **ID** or **Name**.



- ***Agreements Module* page** –The All Agreements tab shows all agreements and the other tabs sort agreements by the agreement status. To access a record, click on the record **ID** or **Name.**



5 How to Create an Agreement

Agreements may be initiated by ORSP or by members of the Lehigh Research Community as detailed further below in section 13. Understanding the Agreement Types and Initiation. The instructions below cover the two common methods that members of the Research Community will use to create an agreement.

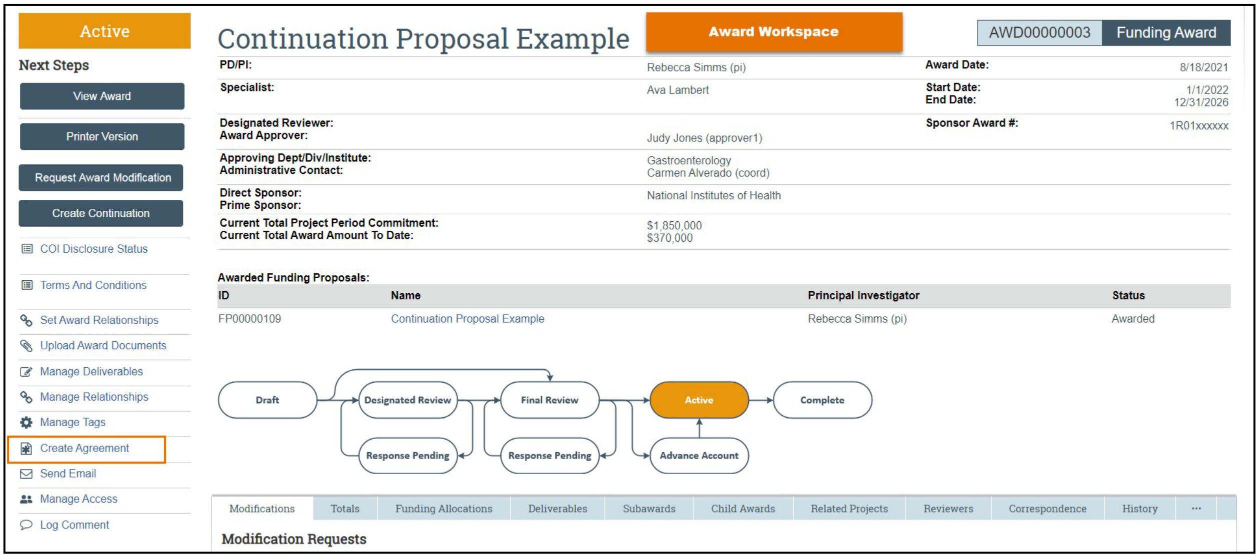
5.1 Create an Agreement from an Award (Grants Module)

Lehigh PIs and/or Study Staff may need to create an Agreement from an Award.

Follow the steps below to create an agreement from an Award in the Grants module:

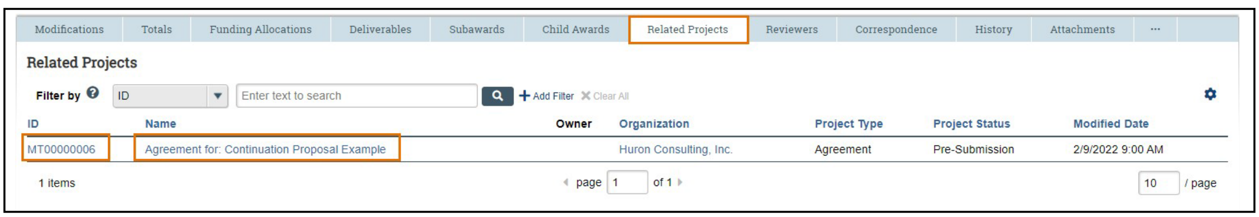
1. Navigate to the *Awards Workspace* for the award for which you want to create an agreement.

2. On the *Awards Workspace*, click **Create Agreement**.



3. In the *Create Agreement* window, select the **Agreement Type** from the drop-down and click **OK**. This activity creates a related agreement in the Pre-Submission state.

4. To navigate to the Agreement that was created in the preceding step, click on the **Related Projects** tab of the *Awards Workspace*. Click on the **Agreement ID or name** to navigate to the *Agreements Workspace*.



5. On the *Agreements Workspace*, click **Edit Agreement** to open and edit the agreement.

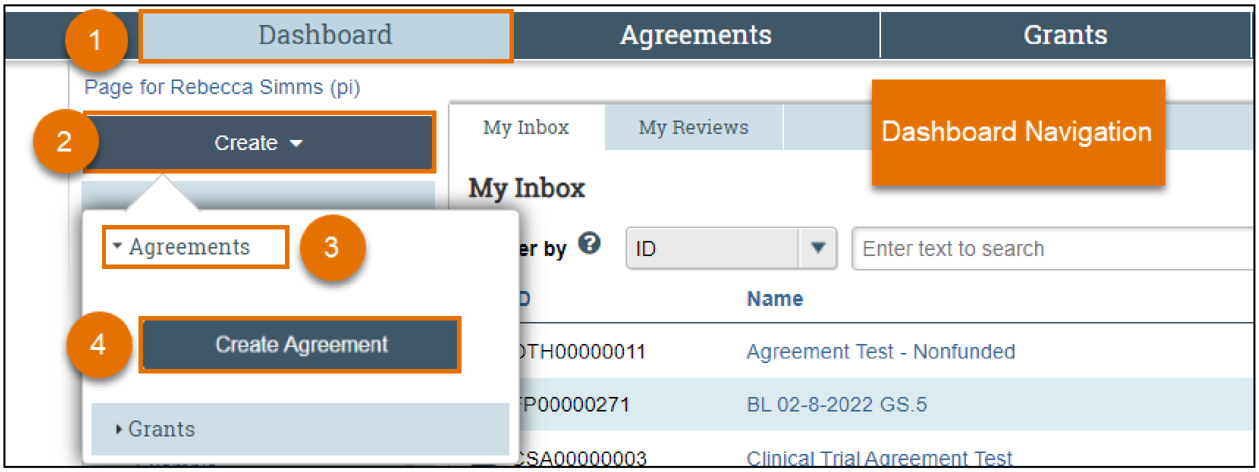
6. Complete the Agreement SmartForm pages and move the agreement forward in the workflow using the directions in next section, Create and Submit an Agreement from the Agreements Module.

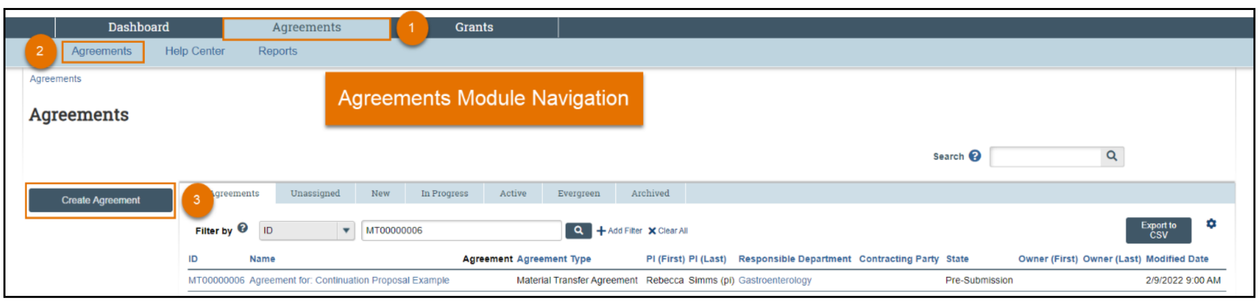
***Note**: Creating an agreement using these directions establishes the relationship between an award and agreement; you will not have to link the agreement to an award using the "Manage Relationships" activity as described below. The system automatically names agreements created from awards so you may want to change the default agreement title to a more appropriate title on the Agreement Upload page using the directions below.*

5.2 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, click the **Create Agreement** button.





2. Complete the Agreements SmartForm (series of Agreement submission pages).
   a. *Agreement Upload* page – Complete the questions and note the following points. Click **Continue** when finished.
      i. **1. Agreement Manager/Principal Investigator** – Enter or search for the PI's name.
      ii. **2. Administrative Contact** – This field is automatically populated with the person who created the agreement but can be changed if necessary.
      iii. **3. Upload agreement draft** – Upload a draft of the agreement document if available, or use the **First draft to be generated internally** checkbox if applicable.
      iv. **4. Project Title or identifier** – Click the help link for guidance on how to name the agreement record.
      v. **5. Agreement type** – Select the agreement type.
      vi. **6. Description** – Provide a succinct description of the agreement.

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

b. *General Information* Page – Complete the questions and note the following points. Click **Continue** when finished.

i. **1. Select a contracting party or the subrecipient** – Select or enter the external party associated with this agreement.

Note*: Use the contracting party name box in Question 1 if you cannot find the organization in the list. Using this box alerts the central office that a new contracting party should be entered into Lehigh systems.*

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

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

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

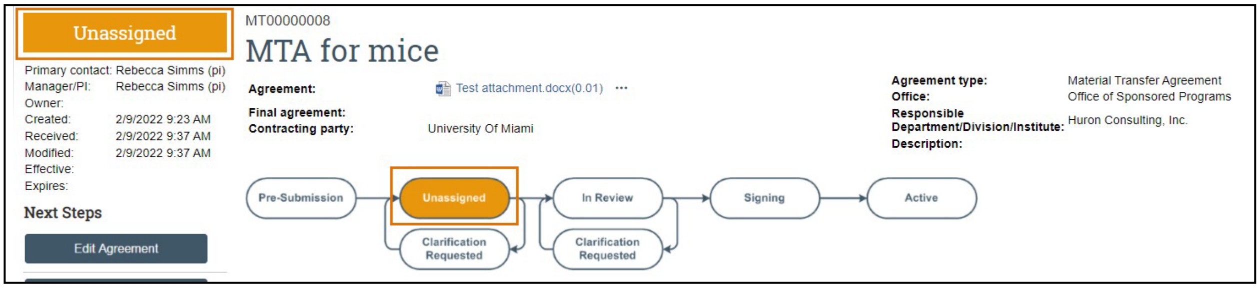
iv. **6. Agreement collaborators** – Add any Lehigh team members or leadership that may need read/edit access for the agreement (e.g., Department Administrators). If you are re-assigning the Administrative Contact/Primary Contact for any reasons add yourself to the collaborator list as well to maintain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

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

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

3. If there is an existing Proposal/Award record also in the Grants module, use the Manage Relationships activity on the *Agreements Workspace* to link the records.
4. When the agreement is ready for Submitting Office review, please select the "Submit" function to send the agreement to the next state. It will move to "Unassigned".

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

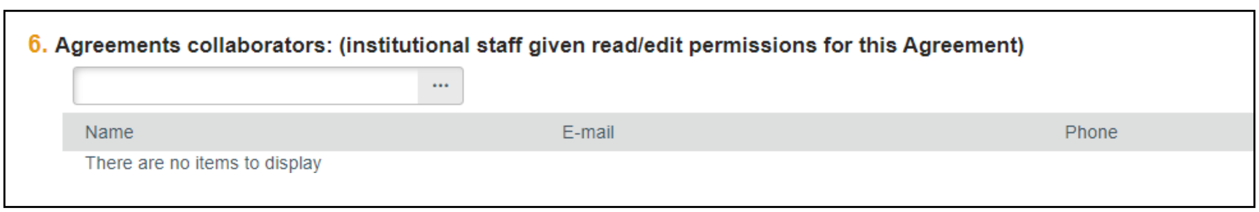


Important: *Agreements remain editable to you while in the Pre-Submission and Unassigned states. After the agreement has been moved to the Internal Review state (which indicates an Agreement Owner has been assigned), you will have view only access to the agreement.*

6 How to add an Agreement Collaborator

Follow the steps below to add an Agreement Collaborator (someone who needs read/edit access). As noted above, these steps can be completed while the agreement is in an editable state (Pre-Submission or Unassigned states).

1. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace*, click the **Edit Agreement** button.
3. Click the **Continue** button to navigate to the second page of the SmartForm (*General Information* page).
4. On the *General Information* page, add the Agreement Collaborators to Question 6.



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

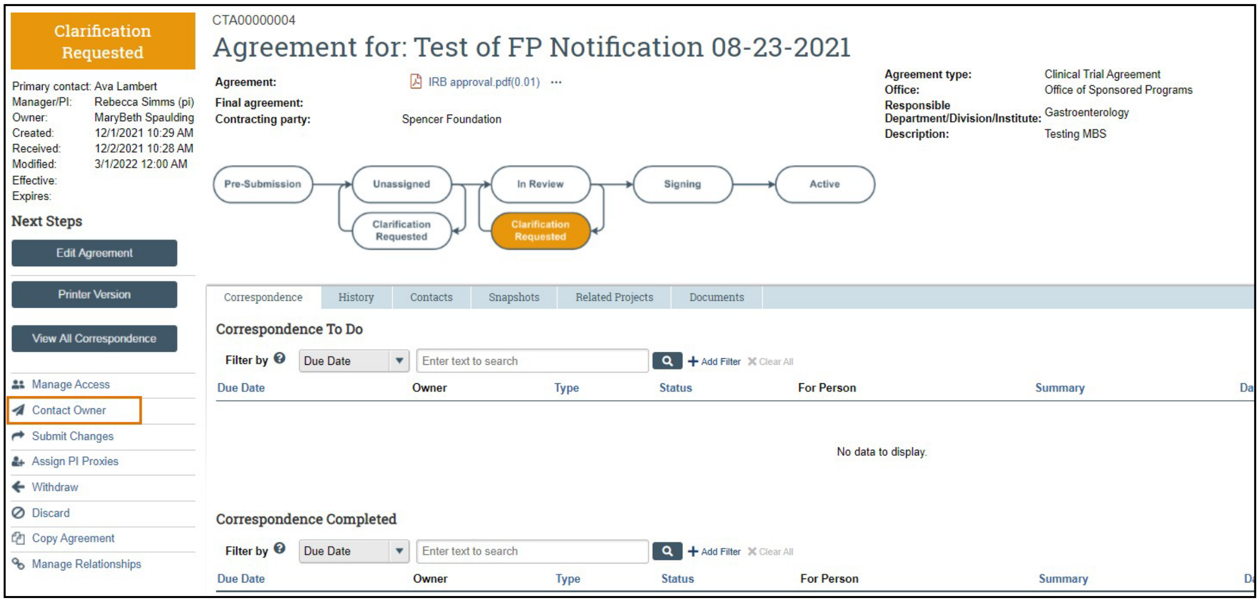
7 How to contact the Agreement Owner

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 Lehigh office (LTS, OTT, ORSP) designed 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*, click 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 Agreement Owner will receive an email with the message and attachments included.

8 How to Submit a response to the Agreement Owner when Clarification is Requested

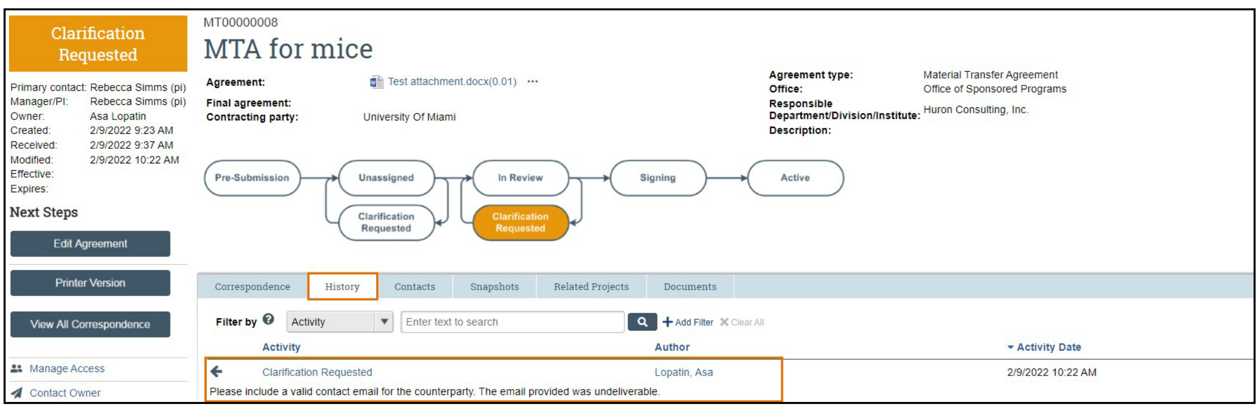
Follow the steps below to submit a response for clarification to the Agreement Owner:

Note: *Only PIs or the Administrative Contact/Primary Contact can submit changes when clarifications are requested. Agreement Collaborators can update the "Administrative Contact" field on the SmartForm to their name if needed. After updating the SmartForm, navigate to the Agreements Workspace and look for the "Submit Changes" activity.*

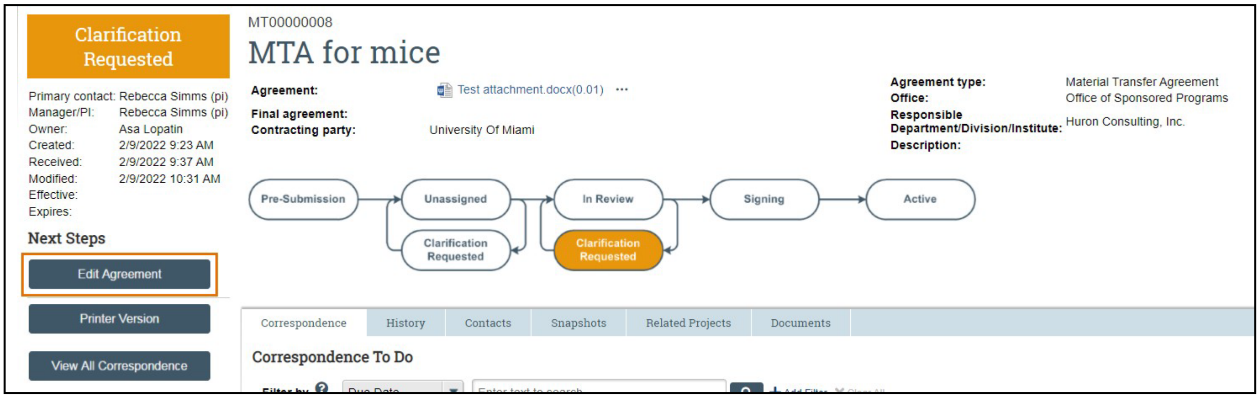
Note that the email notification requesting clarifications will go to the PI, Study Team, and Primary Contact.

1. Access the agreement in one of three ways:
    a. From the system generated email, click on the Agreement ID **Link**, or
    b. Click on the agreement name on the *Dashboard*,
    c. Navigate to the *Agreements 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: *Click the name of the Activity (e.g., "Clarification Requested") to see additional details about the activity.*

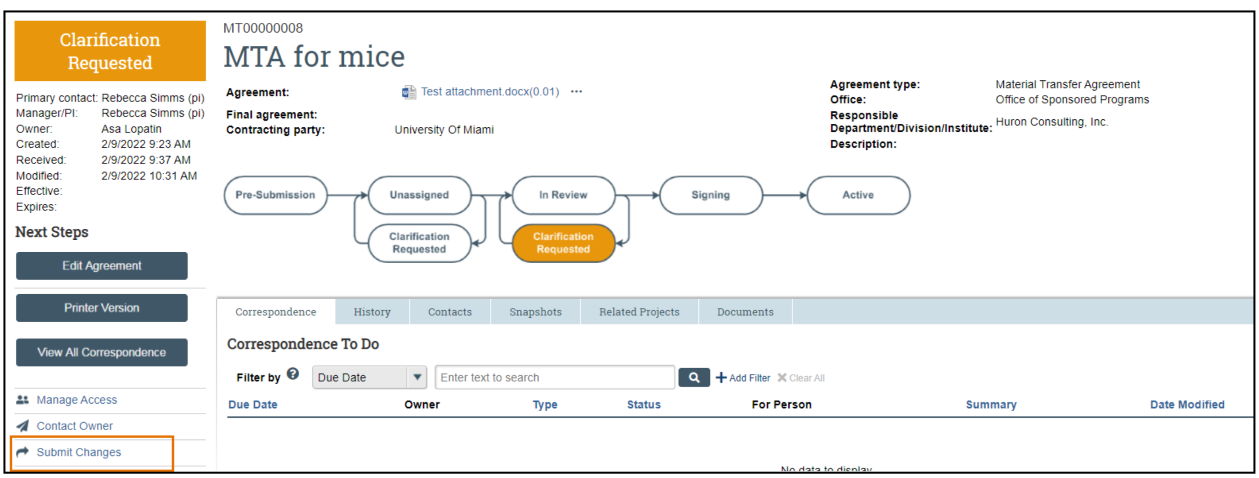


3. Provide the information for the clarification requested and note the following points:
    a. **Editing the Agreement** – When the Agreement Owner requests clarification the agreement SmartForm unlocks and is in an editable state again. Click the **Edit Agreement** button in the *Agreements Workspace* 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, click 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, click **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.

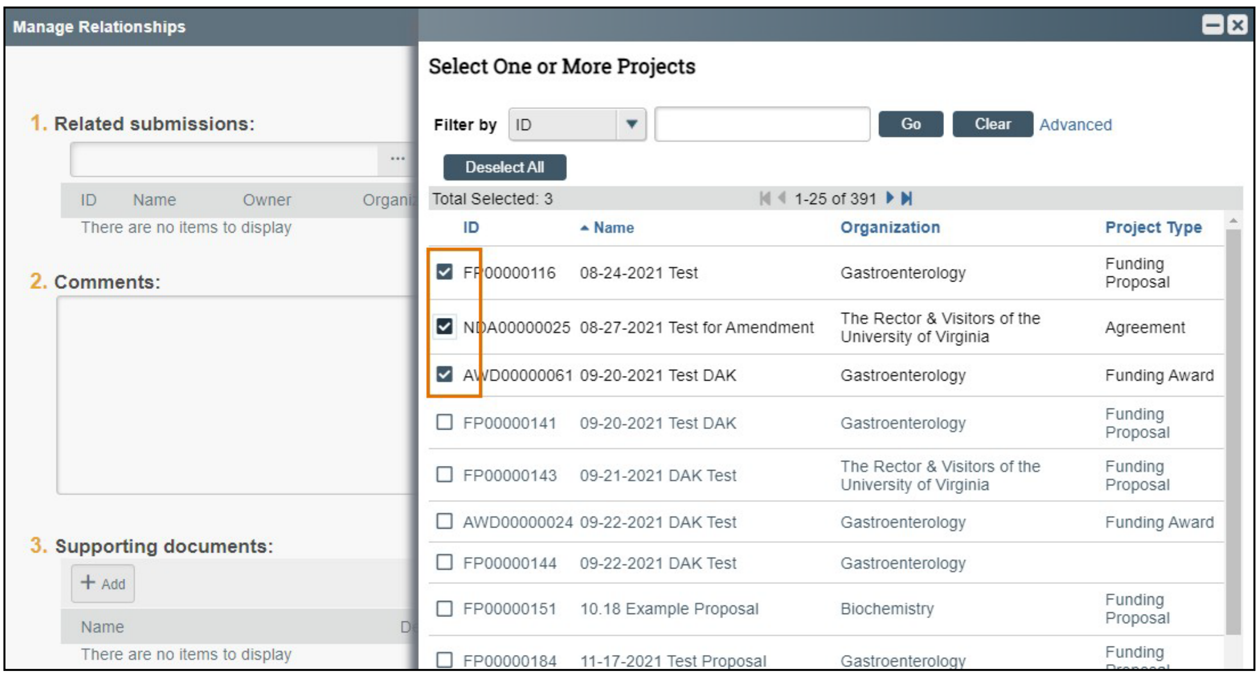
9 How to Manage Relationships

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

Note: *Agreement amendments and follow-on proposals cannot be linked using this activity. Instead, the Relationship must be established in the underlying Agreement Workspace.*

Follow the steps below to manage relationships between records:

1. Navigate to the *Agreements Workspace*.
2. On the *Agreements Workspace* page, click the **Manage Relationships** 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. Check the boxes next to the record(s) you want to relate with the agreement.



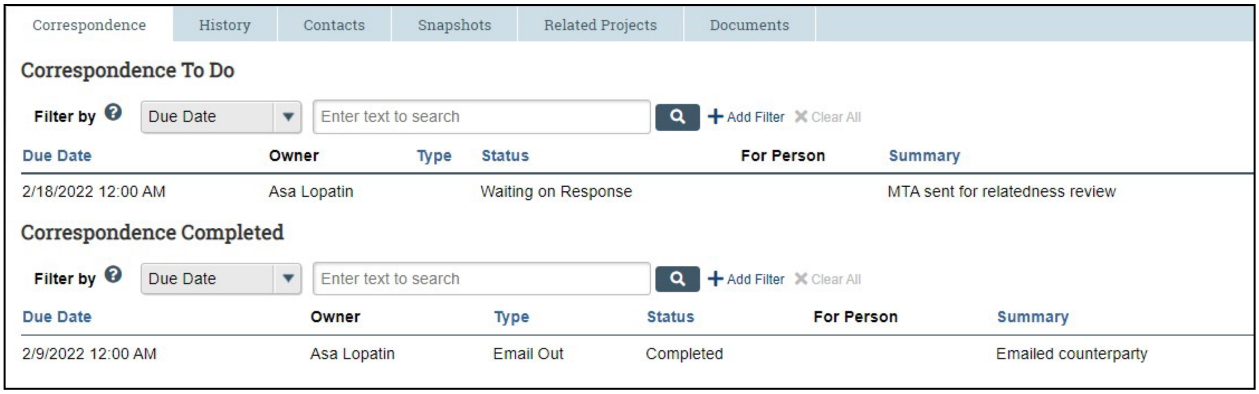
5. When complete, click **OK**. Linked records can be reviewed on the Related Projects tab of the *Agreements Workspace*.

10 Reviewing Correspondence

Agreement Owners 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:



11 How to Create and Submit an Agreement Amendment

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

1. Navigate to the *Agreements Workspace.*

   Note: *Amendments can only be created for Agreements in the Active, Expired, and Evergreen states.*

2. On the *Agreements Workspace* page, click the **Create Amendment** activity.
3. The system navigates you to the first page of the Amendment SmartForm, which mirrors the Agreements SmartForm. Notice the Amendment has the same ID as the Agreement, but is suffixed with “AMX”, where “X” is the Amendment number
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 click the **Continue** button on each page. On the Completion Instructions page, click 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 "Submit", the amendment will be in the Unassigned state.

   Note: *As with the Agreement SmartForm, the Amendment SmartForm can be edited by the in both the Pre-Submission and Unassigned states.*

12 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, sponsor communication indicating the need for delay, etc. This list is not exhaustive.

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

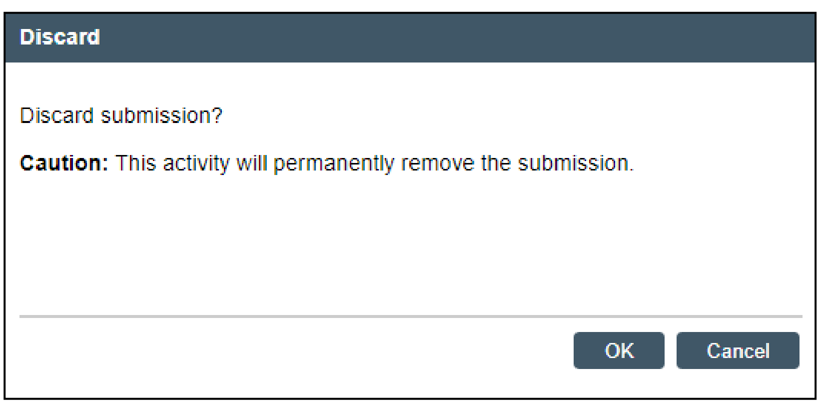
13 How to Discard an Agreement

Use the “Discard” activity to remove an agreement or amendment from with 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*, click the **Discard** activity.
2. In the Discard window, click **OK**.

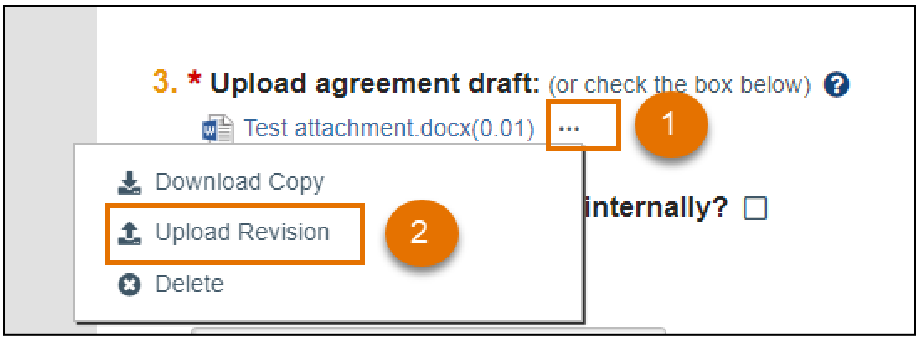


3. When the system returns to the *Agreements Workspace*, the state is updated to Discarded.

14 How to Manage Documents on Agreements

Documents can be uploaded to the Agreements module via the SmartForms and through various activities on both the agreement and amendment records; however, it is important to note that only documents uploaded in certain places within the system (described below in Section 12.1) display on the Documents tab of the *Agreements Workspace.*

Note: *Throughout the agreement and amendment processes, you will notice an ellipsis (…) where documents are present. This ellipsis allows you to perform three tasks as shown below. At times, you may need to upload a revised document, and you may do so by clicking on the ellipsis and selecting **Upload Revision**.*



Once **Upload Revision** has been selected, a slide-in window appears where you can select and upload the new document:

Note: *You can Upload Revisions on the SmartForm when it is still in an editable state.*

The subsections below describe how to best locate and manage documents associated with agreements and amendments.

14.1 Managing Documents on an Agreement

Documents displayed on the Documents tab of the *Agreements Workspace* can be uploaded in the following places:

- Supporting documents on the Agreement Upload SmartForm
- Approve Language
- Administrative Change – Upload Revision

  Note*: Documents can be managed in this activity. Documents uploaded here will also appear in the Documents tab of the workspace.*

- Supporting documents and the final file uploaded via the Amendment Information SmartForm

Documents attached using the following activities only display in the History tab:

***Note**: Some activities are restricted based on user role so you may not have all these activities present on your Agreements Workspace.*

- Assign Owner
- Ancillary Reviews (located in the Supporting Docs column in the Documents table)
- Email Agreement
- Move to External Review
- Move to Internal Review
- Contact Owner
- Request Clarification (when the contact person Submits Changes and includes an attachment, that file also appears in the History tab)
- Log Correspondence (must "View More Details" and then view the Documents tab that is present in the Activity Details page)
- Revise Agreement
- Copy Agreement
- Generate Agreement (must "View More Details" and then view the Documents tab that is present in the Activity Details page)
- Manage Relationships

14.2 Managing Documents on an Amendment

Unlike the parent agreement, the *Amendments Workspace* does not have a Documents tab. Documents displayed on the *Amendments Workspace* can be uploaded via the Amendment Information SmartForm.

***Note:** For Amendments - supporting documents and the final document file uploaded on the Amendment Information SmartForm will also appear on the Documents tab of the parent Agreements Workspace.*

Documents attached using the following activities only display in the History tab of the *Amendment Workspace*:

- Assign Owner
- Manage Ancillary Reviews (must "View More Details" and then view the Documents tab that is present in the Activity Details page)
- Email Agreement
- Move to External Review
- Move to Internal Review

- Contact Owner
- Request Clarification (when the contact person Submits Changes and includes an attachment, that file also appears in the History tab)
- Log Correspondence (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Revise Agreement
- Generate Agreement (must “View More Details” and then view the Documents tab that is present in the Activity Details page)
- Approve Language (must “View More Details” and then view the Documents tab that is present in the Activity Details page)

Note: For Amendments, supporting documents uploaded via the “Approve Language” activity will also appear on the Documents tab of the parent *Agreements Workspace.*

15 LIRA Glossary

The following table provides additional information about terminology used within LIRA:

Term	Definition	Notes
Activities	Actions that can be executed by a user to update a record.	
Agreement	A record created in LIRA to manage funded agreements, non-funded agreements, internally funded outgoing awards, and outgoing subawards.	Agreements have separate IDs from related Grants module records.
Award	A record created in LIRA after a sponsor has indicated they will fund the research submitted in the proposal.	Awards and Funding Proposals are contained in the Grants module. Awards have separate IDs from the associated Proposal and, if applicable, the associated Agreement record in LIRA

Term	Definition	Notes
LIRA	An Electronic Research Administration (eRA) system used for research administration at Lehigh	LIRA includes two modules: Grants and Agreements. This Reference Guide covers the Agreements module.
ID	Auto-generated identification number created by LIRA for each record created (e.g., FP00000001, AWD00000017).	Proposal IDs and Award IDs replace the ID from Proposal Central.
My Inbox	Dashboard for users that contains to-do list for any user.	
Proposal (or Funding Proposal)	A record created in LIRA that contains submission information for a research project that will be submitted to a sponsor for funding.	Proposals have separate IDs from their associated Awards.
Record	A submission created within LIRA. Examples include proposals, awards, award modification requests, award modifications, agreements, etc.	
SmartForm	A series of pages completed with information about the record (e.g., proposal, award, etc.).	
State	The status of a record.	
Workflow	The process through which a record passes from beginning to end.	

Term	Definition	Notes
Workspace	Contains key information associated with the record (State, Title, ID, etc.) and contains various buttons and links to perform Activities.	