RED
Research Education Development

Research Administration Management Portal (RAMP) Reference Guide: Agreements Guide for the Research Community

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1 Introduction

This guide describes how members of the University of Wisconsin – Madison (UW-Madison) Research Administration Community will interact with the Research Administration Management Portal (RAMP) Agreements module. The Agreements module is used to create, negotiate, and execute funded and non-funded agreements.

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

Note: Certain types of agreements will be initiated by the UW-Madison Research Administration Community and other types of agreements will be initiated by Research and Sponsored Programs (RSP). 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
Business Associate Agreement	Business Associate Agreement (BAA) is an agreement between the UW and an external party that contains specific terms and conditions as required by HIPAA. A Business Associate Agreement (BAA) in RAMP is a stand-alone agreement. If HIPAA terms and conditions are included in a	RSP or Department/Division

Agreement Type	Agreement Definition	Agreement Initiator
	different agreement type, use the other agreement type instead.	
Clinical Trial Agreement	Clinical Trial Agreement (CTA) is an agreement between the UW and a sponsor to manage the relationship in support of a clinical trial. This may include providing a study drug or device, financial support, and/or proprietary information including data, results, publication, and input into further intellectual property.	PI/Department/Division
Data Transfer and Use Agreement	Data Transfer and Use Agreement (DTUA) is an agreement between the UW and an external party to govern how data is shared. These agreements may address various legal requirements imposed by HIPAA or FERPA. They also generally outline use limitations to protect the parties. A DTUA in RAMP 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
Fee for Service Agreement	Fee for Service Agreement (FFS) is an agreement governing vendor relationships where the UW provides a routine service which	PI/Department/Division

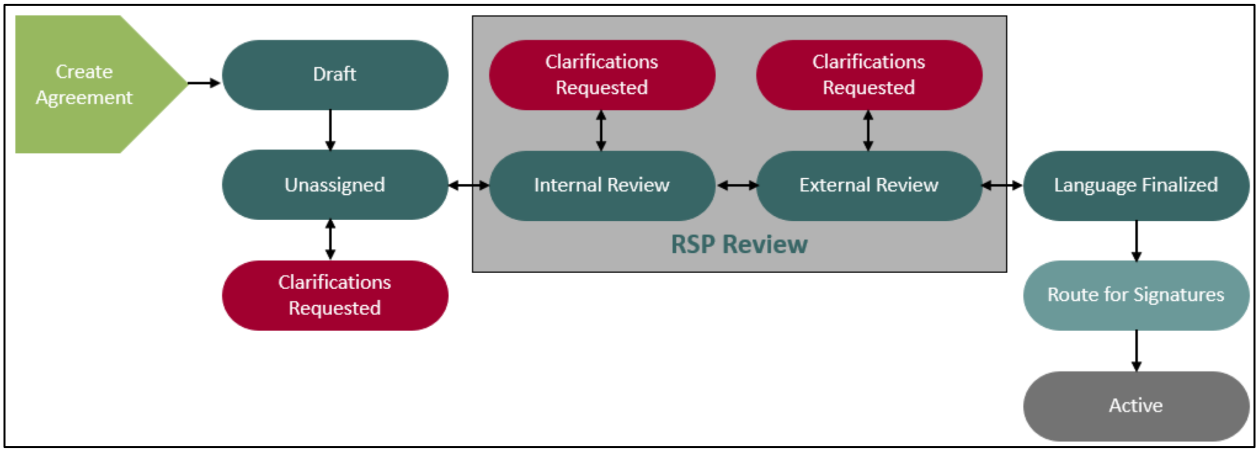
Agreement Type	Agreement Definition	Agreement Initiator
	meets predefined specifications with no novel or creative input. The activity does not add to the body of fundamental knowledge in a given field.	
Master Agreement	Master Agreement is an agreement between the UW and a sponsor used when the sponsor expects to cover multiple relationships over a period of time.	RSP or Department/Division
Material Transfer Agreement	Material Transfer Agreement (MTA) is an agreement between the UW and an external party that defines the rights, obligations, and restrictions for materials being exchanged. MTAs are not used for purchase of commercially available materials.	PI/Department/Division
Non-Disclosure Agreement	Non-Disclosure Agreement (NDA), sometimes known as a Confidential Disclosure Agreement (CDA), Confidentiality Agreement (CA), Proprietary Information Agreement (PIA), or secrecy agreement, is an agreement between the UW and external party(ies) that outlines confidential material, knowledge, or information that the parties wish to share for certain purposes but wish to restrict access to other parties broadly. An NDA creates a	PI/Department/Division

Agreement Type	Agreement Definition	Agreement Initiator
	confidential relationship between the parties to protect any type of confidential or proprietary information or trade secrets. These agreements protect nonpublic business information.	
Other Non-Funded Agreement	Other Non-Funded Agreement is an agreement with no external funding source that is a type other than those listed here.	PI/Department/Division
Sponsored Research Agreement	Sponsored Research Agreement (SRA) is an agreement governing a funded research relationship between the UW and a sponsor to fund a project. This includes incoming subawards (passthroughs), contracts (industry, federal, state, or other), Other Transaction Authority (OTA) agreements, Intergovernmental Personnel Agreement (IPA), complex grants, and cooperative agreements.	RSP or PI/Department/Division
Visiting Scientist Agreement	Visiting Scientist Agreement is used to formalize the relationship between the UW and researchers visiting for collaboration or training.	PI/Department/Division
Other Funded Research Agreement (for RSP only)	Other Funded Agreement is an agreement with one or more funding sources that is a type other than those listed here.	RSP

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 has been created but has not yet been submitted to RSP for review and negotiation.	Any user can create a new agreement.
Unassigned	Unassigned	Indicates the record (agreement or amendment) has been submitted to RSP, however it has not yet been	The Agreement Owner is the RSP team member designed as the owner of a specific agreement.

System Workflow State	Workflow Map State	Description	Notes
		assigned to an Agreement Owner.	
Clarification Requested	Clarification Requested	Indicates the Agreement Owner is requesting additional information from the agreement PI or Primary Contact.	Only PIs, the Primary Contact, or PI Proxy 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 has been assigned to an Agreement Owner within RSP for review. In this state, the Agreement Owner can: • Generate the agreement for review. • Edit the agreement or upload a revision. • Email the agreement to other users for review. • Setup correspondence	

System Workflow State	Workflow Map State	Description	Notes
		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	In Review	Indicates the Agreement has been sent to the 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 ancillary reviews are	

System Workflow State	Workflow Map State	Description	Notes
		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 UW-Madison 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	

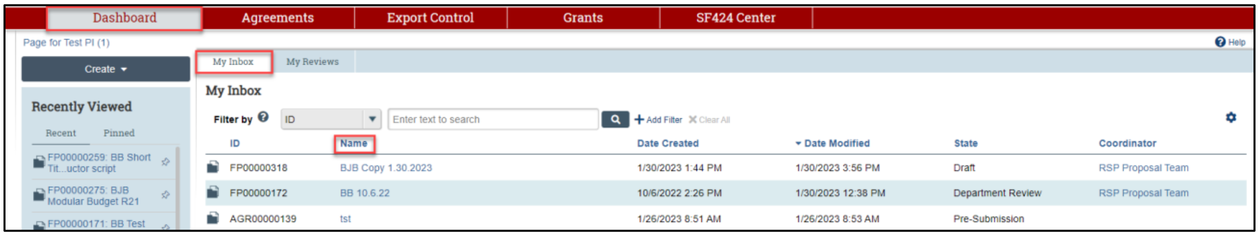
System Workflow State	Workflow Map State	Description	Notes
		amendment) has been sent out to the contracting party signature(s). In this state, the Agreement Owner can perform the same actions noted above in the Internal Signature state.	
Active	Active	Indicates the Agreement has been signed by all internal 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 amendments to the agreement).	Used for parent Agreement records.
Approved	Approved	Indicates the Amendment has been signed by all	Used for Agreement amendment records.

System Workflow State	Workflow Map State	Description	Notes
		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.	

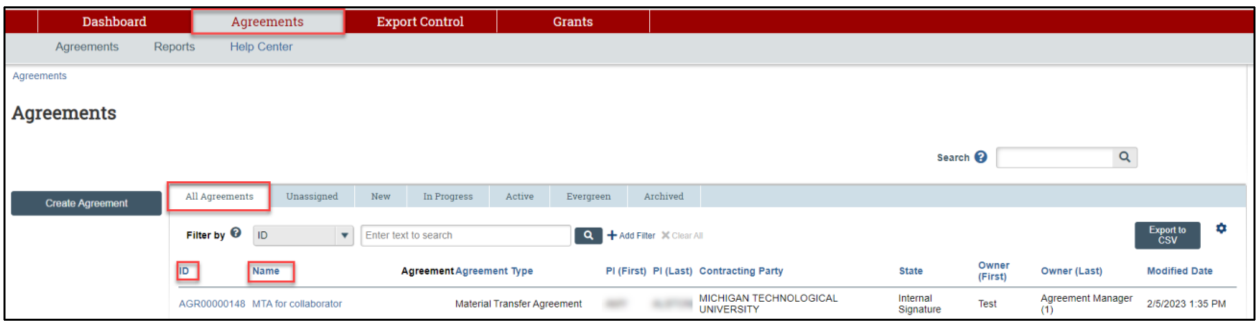
4 How to Access a Record

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 RAMP modules (Grants, Agreements, and Export Control) 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 **Name.**



5 How to Create an Agreement

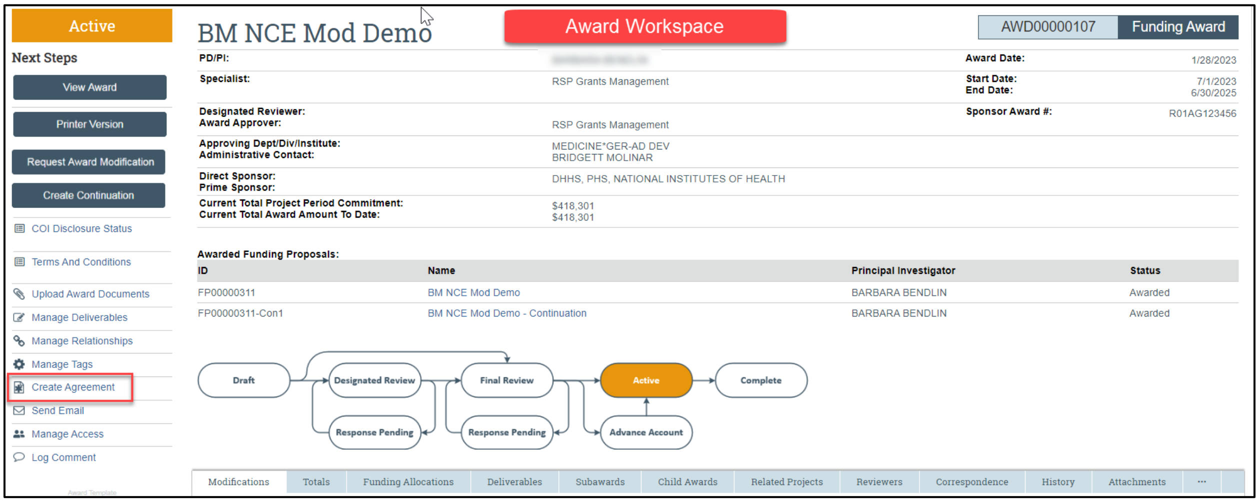
Agreements may be initiated by RSP or by members of the UW-Madison Research Community as detailed in section [1. Understanding Agreement Types and Initiation](). The instructions below cover the two common methods that members of the Research Community will use to create an agreement.

5.1 Create an Agreement from a Grants Module Record

The UW-Madison Research Community may need to create an Agreement from a Grants module record (Funding Proposal or Award).

Follow the steps below to create an agreement from a Grants module record:

1. Navigate to the Funding Proposal or Award Workspace that you will use to create the agreement record.
2. Verify you are the Administrative Contact or have edit rights to the record using the Manage Access activity. Assign edit rights if needed (and if appropriate for your division's business processes).
3. On the Funding Proposal or Award Workspace, select **Create Agreement**.



4. In the Create Agreement window, select the **Agreement Type** from the drop-down and select **OK**. This activity creates a related agreement in the Pre-Submission state.
5. To navigate to the Agreement that was created in the preceding step, select the **Related Projects** tab of the Proposal or Awards Workspace. Select the **Agreement ID or name** to navigate to the Agreement Workspace.

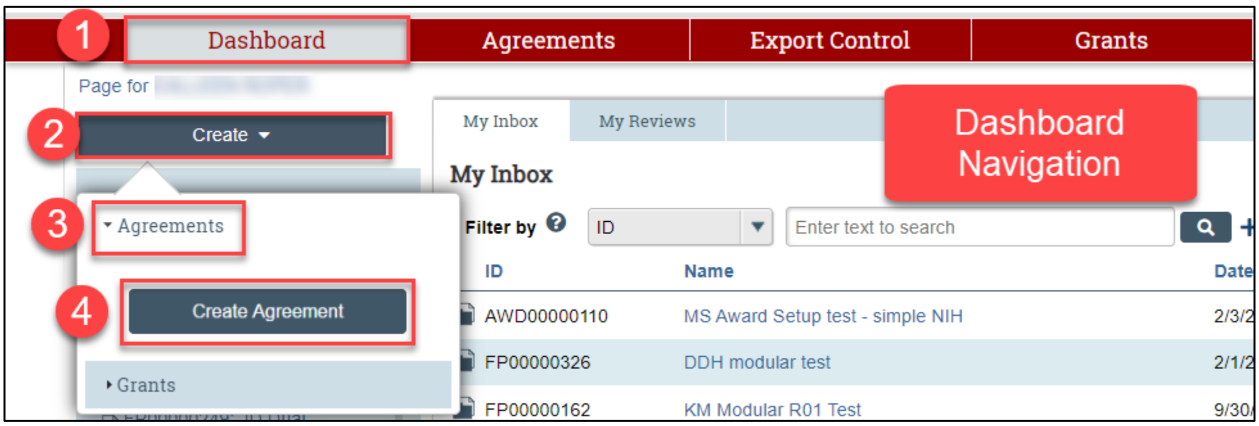
6. On the Agreement Workspace, select **Edit Agreement** to open and edit the agreement.
7. Complete the Agreement SmartForm pages and move the agreement forward in the workflow using the directions in next section, [Create an Agreement in the Agreements Module](#).

Note: Creating an agreement using these directions automatically establishes the relationship between a Grants module record and an agreement record; you will not have to link the agreement to an award using the Manage Relationships activity as described below. RAMP 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, 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 (the exceptions are Business Associate Agreements and Other Funded Research Agreement, which do not have type-specific form pages). Complete the questions on the additional pages as directed in the question text and associated help text bubbles and select **Continue** Continue at the bottom of each page to navigate through the SmartForm pages (the Completion Instructions page has a Finish Finish button instead of a Continue button).

5.2.1 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 **First draft to be generated internally** checkbox if RSP should generate the draft agreement.

4. Project Title – Enter the short title of the project the agreement is for. The project title identifies the agreement throughout RAMP, such as in the RAMP Dashboard, Agreements Module page, and in reports.

5. Agreement type – Select the agreement type.

6. Project description (in lay terms) – Include the long title here and provide a succinct description of the agreement that is suitable for a lay audience.

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.

5.2.2 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.

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

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

6. Agreement collaborators – Add any UW-Madison team members or leadership that may need read/edit accessfor the agreement. If you are re-assigning the Primary Contact for any reasons add yourself to the collaborator list as well to maintain read/edit access to the agreement.

7. **Reference number –** If the agreement has been assigned a reference number by the counter party, enter that number here.

8. **What is the term of the project? –** Enter the term of the project associated with this agreement if applicable.

9. **Is there a deadline to have the agreement signed –** select Yes or No as appropriate. If you enter Yes, also enter the deadline.

10. **Is this agreement funded or related to a funded project –** select Yes or No as appropriate. If you enter yes, also indicate the type of funding.

11. **Are there any other comments that would be helpful for the RSP staff to process? Please also note what is needed from RSP staff for this record as well as any history prior to submission to RSP**. – Enter additional information as appropriate.

12. To the best of your knowledge, are we sending, receiving, or

developing any export-controlled information – select Yes or No as appropriate.

13. Is there a foreign component (sending material or money to a foreign entity, collaborating with a non-US citizen, purchasing from a non-US company) – select Yes or No as appropriate.

5.2.3 Sponsored Research Agreement Information Page

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

Sponsored Research Agreements are funded agreements and should be linked to a related funding proposal record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) RAMP records.

Follow the Follow the steps below to complete this page:

1. What is the award type – select the appropriate award type from the drop-down list.

2. What is the total funding under this agreement – enter the total funding for the agreement in the text field. The funding amount here should correspond to the total included on the sponsor portion of the linked funding proposal budget(s).

3. Is there cost share – select Yes or No as appropriate. If there is cost sharing, the linked funding proposal budget(s) should also contain at least one cost share budget.

4. What is the payment mechanism – enter the mechanism if known.

5. Sponsor invoicing address – enter the invoicing address if known.

5.2.4 CTA Agreement Information Page

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

Clinical Trial Agreements are funded agreements and should be linked to a related funding proposal record. Reference the How to Manage Relationships section of this guide for instructions on how to link (or related) RAMP records.

Follow the Follow the steps below to complete this page:

1. Phase of study – enter the phase of study from the drop-down list.

2. Sponsor protocol number – enter the sponsor protocol number.

3. Protocol title – enter the protocol title.

4. Estimated study start date – enter the estimated start date.

5. Type of trial – select the type of trial from the drop-down list.

6. Will this study use a contract research organization (CRO) – select Yes or No as appropriate. If you select Yes, additional information is required for the CRO and the numbers on this form will change.

7. Contact research organization – select the CRO from the chooser or enter the CRO name if you cannot find the CRO in the list.

8-10. For Questions 2 – 4, enter the contact information for the CRO.

11. What is the estimated budget for the trial – select the range that represents the trial budget. This is Question 7 when Question 6 is answered No to indicate the study does not use a CRO.

12. What is the nature of the trial – select all options that apply. This is Question 8 when Question 6 is answered No to indicate the study does not use a CRO.

5.2.5 CTA Additional Information Page

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

Follow the Follow the steps below to complete this page:

1. Who developed the protocol – select the appropriate answer from the drop-down list.

2. Are there any unusual issues with this research study which you feel should be addressed and/or protected in this agreement – select Yes or No as appropriate. This question defaults to No but can be changed to Yes. If you select Yes, a text box will appear to capture the details of the unusual issues that prompted the Yes answer.

3. Are there multiple drugs involved – select Yes or No as appropriate. If you select Yes, a text box will appear to capture the drugs involved.

5.2.6 CTA RSP Only Information Page

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

This page is for RSP use only – do not enter data on this page. You will be able to save and submit the agreement SmartForm to RSP without answering the questions on this page.

5.2.7 Fee for Service Agreement Information Page

This page displays when Fee for Service Agreement is selected as the Agreement Type (Question 5) on the Agreement Upload page.

Follow the Follow the steps below to complete this page:

1. What is the total funding amount under this agreement – enter the total funding for the agreement in the text field. The funding amount here should correspond to the total included on the linked funding proposal budget(s).

2. Sponsor invoicing address – enter the invoicing address.

3. Department payment address – enter the department payment address (this is the address where payment should be sent).

4. Provide payment schedule – enter the payment schedule details.

5. Has fee schedule been established and paperwork to create a revenue-generating account been submitted to the Madison Budget Office – select Yes or No as appropriate.

6. Do you have an outside activity with the sponsor – select Yes or No as appropriate.

5.2.8 NDA Agreement Information Page

This page displays when Non-Disclosure Agreement is selected as the Agreement Type (Question 5) on the Agreement Upload page.

Follow the Follow the steps below to complete this page:

1. Describe the purpose of the exchange – describe the exchange covered in this NDA.

2. Who will be disclosing information – select the appropriate answer from the drop-down list.

3. Provide a brief description of the confidential technology or information to be disclosed – provide the information in lay terms without providing confidential information.

4. Is it mandatory to receive or disclose confidential information to accomplish the proposed stated above – select Yes or No as appropriate.

5. Will you be sharing any confidential information with non-employees, including contractors, visiting scientists, students, bench staff, etc. – select Yes or No as appropriate. If you select Yes, a text box will appear to capture the details of the confidential information to be shared with non-employees.

6. What will this CDA be used for – select the appropriate choice from the list. If you select Clinical Trial, additional questions will appear. If you select the other options, this is the last question on the page.

7. Will more than one study be related to this CDA – select Yes or No as appropriate.

8. Are there any third parties involved in this disclosure – select Yes or No as appropriate.

9. Is a CRO involved – select Yes or No as appropriate.

10. is there a master CDA in place with this sponsor – select Yes or No as appropriate.

5.2.9 MTA Direction of Transfer Page

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

Follow the Follow the steps below to complete this page:

1. **Are you receiving or sending materials –** answer sending or receiving as appropriate. The additional required form pages will vary based on the answer to Question 1.

- If you select Sending, an additional mandatory Q2 appears: "**Is the material assigned to WARF or in the process of being evaluated by WARF?" –** select Yes or No as appropriate to this question.
    - If you answer Yes, then follow the directions on the page and discard the RAMP agreement record as RSP cannot review MTAs for materials assigned to WARF.
    - If you answer No, then complete the additional pages related to sending materials.
- If you select Receiving, then proceed to the MTA Other Information form to collect the information related to receiving materials.

5.2.10 MTA Material Recipient Information Page

This page displays for MTA agreements where UW is sending materials that are not assigned to WARF.

Follow the Follow the steps below to complete this page:

1. Are you exporting material outside of the United States – select Yes or No as appropriate. If you select Yes, a selector will appear to allow you to enter the name of the country you are exporting materials to.

2. For institutionally developed technology, are there transfer costs that should be reimbursed to your lab – select Yes or No as appropriate. If you answer Yes, a new required question appears.

Note: The numbering for the remaining questions may vary depending on the answers to the Yes / No questions as Yes answers to certain questions will expose additional questions and change the overall question numbering.

3. What is the total amount, excluding shipping, to be reimbursed – enter the total amount. This question only appears if you answered Yes to the preceding question.

4. Do you have a financial relationship with the recipient – select Yes or No as appropriate. If you answer Yes, a new required question appears.

5. Provide details – provide details of the financial relationship. This question only appears if you answered Yes to the preceding question.

6. Provide the name of the recipient scientist – enter the scientist's full name in the text box.

7. What is the recipient's scope of use – enter the recipient's scope of use.

8. Is the recipient a commercial entity – select Yes or No as appropriate. Leave blank if unsure of the answer.

9. Is the recipient a UBMTA signatory – select Yes or No as appropriate. Leave blank if unsure of the answer.

5.2.11 MTA Material Description Page

This page displays for MTA agreements where UW is sending materials that are not assigned to WARF.

Follow the Follow the steps below to complete this page:

1. Identify the material – identify or describe the material in the text box.

2. What is the origin of the material – select Human or Other as appropriate. If you select Other, a new text box appears to enter the origin of the material.

3. What is the material type – select all options that apply. If you select Other, a new text box appears to enter the type of material.

4. Are you requesting or providing live animals – select Yes or No as appropriate. If you answer Yes, a new question appears.

Note: The numbering for the remaining questions may vary depending on the answers to the Yes / No questions as Yes answers to certain questions will expose additional questions and change the overall question numbering.

5. Strain or geno / IACUC protocol number – enter the strain or geno of the live animals and the IACUC protocol number(s) that cover the use of these life animals.

6. Identify any hazardous biological agents involved – use the selector to add any hazardous biological agents. You can select more than one agent if needed.

5.2.12 MTA Human Material Description Page

This page displays for MTA agreements where UW is sending materials that are not assigned to WARF and the material has a Human origin (as identified on the MTA Material Description page).

Follow the Follow the steps below to complete this page:

1. Indicate the type of material – select the type of material. If you select Other, a new text box appears to enter the type of human material.

2. Was the material derived from human subjects under an approved or exempted IRB protocol or from patients for clinical purposes – select Yes or No as appropriate. If you answer Yes, a new text box appears to enter the IRB protocol number.

5.2.13 MTA Additional Human Materials Compliance Page

This page displays for MTA agreements where UW is sending materials that are not assigned to WARF, the material has a Human origin (as identified on the MTA Material Description page), and the material was derived from human subjects (as identified on the MTA Human Material Description page).

Follow the Follow the steps below to complete this page:

1. In obtaining the materials, did the consent form used include the potential that the material would be shared as outlined in this agreement in regard to the purpose for which they will be shared, what will be provided with the material, whether the materials are identifiable or de-identified, and the types of institutions with which they will be shared (e.g., commercial vs. non-profit) – select Yes or No as appropriate. If you answer Yes, a new Yes/No sub question appears. Answer Yes/No to the sub question as appropriate.

2. Was the material originally derived from patients for clinical purposes – select Yes or No as appropriate. If you answer Yes, a new Yes/No sub question appears. Answer Yes/No to the sub question as appropriate. If you answer No to the sub questions, reach out to your Division/Dean’s office as permission to share may not exist.

3. Does the IRB approved or exempted protocol permit the sharing of material that is outlined in this agreement with regard to the purpose for which the material will be shared and to the types of institutions with which the material will be shared (e.g., commercial vs. non-profit) – select Yes or No as appropriate. If you answer No, reach out to your Division/Dean’s office as permission to share may not exist.

4. What type of data is being shared with the material – select the appropriate answer. If you select Fully Identifiable or Limited Data Set, an additional Question 5 will appear.

5. If the information includes more than is permitted in a limited data set, have the subjects/patients authorized the disclosure of their health information – select Yes or No as appropriate and note this question only appears if you selected Fully Identifiable in Question 4 above. If you answer No, two additional Yes/No sub questions appear. Answer Yes/No to the sub questions as appropriate. If you answer No to the sub questions, reach out to your Division/Dean’s office as permission to share may not exist.

5. Is there a data use agreement for the sharing of the limited data set (either incorporated into this agreement or standalone) – select Yes or No as appropriate and note this question only appears if you selected Limited Data Set in Question 4 above. If you answer No to the question, reach out to your Division/Dean’s office as permission to share may not exist.

5.2.14 MTA Material Source Page

This page displays for MTA agreements where UW is sending materials that are not assigned to WARF.

Follow the Follow the steps below to complete this page:

1. Identify the institution that developed the material – select or enter the institution name. Enter the institution’s name if it is not listed in the selector.

2. Name of the investigator who developed the material – enter the full name of the investigator.

3. How was the material obtained – select the appropriate answer.

4. For material developed at your department or lab, does it incorporate research material received from others – select Yes or No as appropriate.

If you answer Yes, additional questions appear. If you answer No, this is the final question on the page.

5. Describe your original material, its relationship to the third-party material, and how the materials have been combined – describe the material as directed in the question.

6. Identify the organization from which the research material has been incorporated – select or enter the organization name. Enter the organization's name if it is not listed in the selector or select I'm not sure (if unsure).

7. Was development of this material funded by a sponsored research agreement or other extramural funding – select Yes or No as appropriate. If you select Yes, a new sub question appears. Enter the funding source in the sub question or write it in the text box if it is not listed in the funding source selector. Additionally, if you select Yes, use the Manage Relationships activity on the Agreement Workspace to associate or link all related RAMP records.

5.2.15 MTA Other Information Page

This page displays for MTA agreements where UW is receiving materials.

Follow the Follow the steps below to complete this page:

1. Identify the funding source being used to do the work with the material provided under this agreement – select the funding source using the selector.

2. Identify additional collaborators who will access the material – enter the names of the collaborators in the text box.

3. Will the materials be used with other materials subject to restrictions or legal obligations to a third party – select Yes or No as appropriate. If you enter Yes, a sub question appears to enter the explanation for the third-party restrictions/legal obligations.

5.2.16 Data Use Agreement Information Page

This page displays when Data Transfer and Use Agreement is selected as the Agreement Type (Question 5) on the Agreement Upload page.

Follow the Follow the steps below to complete this page:

1. Is University of Wisconsin providing or receiving data – select the appropriate answer from the drop-down list. The additional questions on the page vary depending on the answer to this question. If the answer is Receiving Data, there are no other questions to answer. If the answer is Providing Data or Both Providing and Receiving Data, there are additional questions to answer.

Note: The numbering for the remaining questions may vary depending on the answers to the questions on this page.

2a-d. Who is the recipient/collaborating scientist – provide the collaborating scientist name and contact information.

3. How will the data be sent to the recipient – select the method from the drop-down list.

4. How will the data be received – select the method from the drop-down list. This question only appears when Both Providing and Receiving Data is selected in Question 1.

5. Description of data to be sent – enter the description here. This section should provide sufficient information such that each party understands the information that will be transmitted under this Agreement. Do not include confidential information in this description. Select the help text icon on this question for examples and more information.

6. Description of data to be received – enter the description here. This section should provide sufficient information such that each party understands the information that will be transmitted under this Agreement. Do not include confidential information in this description. Select the help text icon on this question for examples and more information. This question only appears when Both Providing and Receiving Data is selected in Question 1.

7. Provide specific instructions necessary to complete the transfer of the data – enter the appropriate instructions and provide sufficient information such that each party understands the level of support the Provider will supply to the Recipient. Select the help text icon on this question for examples and more information.

8. **Provide disposition requirements of sent data upon agreement termination** – enter the requirements. This section should provide sufficient information such that each party understands the Recipient's obligations with regards to the Data upon the expiration or early termination of this Agreement. If the Recipient is permitted to link the Data with other data sets, be sure to include any special disposition requirements related to the linked data sets in this section.

9. **Provide disposition requirements of sent data upon agreement termination** – enter the requirements. This section should provide sufficient information such that each party understands the Recipient's obligations with regards to the Data upon the expiration or early termination of this Agreement. If the Recipient is permitted to link the Data with other data sets, be sure to include any special disposition requirements related to the linked data sets in this section. This question only appears when Both Providing and Receiving Data is selected in Question 1.

10. Are there any reimbursement costs related to the exchange of data – select Yes or No as appropriate. If you select Yes, a text box will appear to capture the reimbursement cost amount.

11. Are there any additional collaborating personnel – select Yes or No as appropriate. If you select Yes, a text box will appear to capture the information on the collaborating personnel.

12. Are you sharing data related to humans – select Yes or No as appropriate. If you answer Yes one or two additional questions appear to capture the type of human-related data being shared (the number of new questions depends on the answer to Question 1). Select the appropriate response to the additional question(s) using the drop-down list.

5.2.17 Master Agreement Information Page

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

Follow the Follow the steps below to complete this page:

1. Who is covered by the scope of this agreement – select the appropriate answer from the list on the page.

2. What type of work will this cover – select the appropriate answer(s) from the list. This question allows the selection of more than one answer. If you select Other, a new text box appears to enter the origin of the material. If you select Sponsored Research, Fee for Service, and/or Clinical Trial, a new question appears.

3. What is the total anticipated funding under this agreement – select the range that represents the funding under this agreement.

4. Are there pending work orders awaiting execution of this agreement – select Yes or No as appropriate. If you select Yes, a new text box appears to enter a description of the pending work.

5.2.18 Visiting Scientist Agreement Information Page

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

Follow the Follow the steps below to complete this page:

1. Is UW sending personnel to an external location or serving as the host institution – select Sending or Hosting as appropriate. The remaining questions on the page vary depending on if you are Sending or Hosting.

- **If Sending:**

2. Will the UW PI be on sabbatical during this time – select Yes or No as appropriate. If you answer Yes, answer the question about the PI’s work on

UW projects. If you answer No, provide the source of funding for the work/visit.

3. What is the nature of the research being done at the visited location – select the appropriate answer from the drop-down list. If you select Other, a new text box appears to enter the nature of the research.

- **If Hosting:**

2. What is the name of the visiting scientist – enter the full name of the scientist in the text box.

3. What is the nature of the visitor's work at UW – select the appropriate answer from the drop-down list. If you select Other, a new text box appears to enter the nature of the research.

4. What is the field of research that the visitor will be working on – enter the field of research.

5. Will UW employees be involved in the work, beyond training – select Yes or No as appropriate. If you select Yes, a new question appears to select the funding source.

6. Are we collecting bench fees – select Yes or No as appropriate.

5.2.19 Other Non-Funded Agreement Information Page

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

Follow the Follow the steps below to complete this page:

1. Is this agreement related to conducting research or another activity – select Research or Other as appropriate.

2. Is the work collaborative – select Yes or No as appropriate. If you select Yes, add the collaborators using the collaborator selector or the collaborator name text field.

3. What is the source of funding for the UW portion of this work – enter the funding source using the funding source selector or the funding source name text field.

4. Is this agreement to use the facilities of the contracting party – select Yes or No as appropriate.

5. Will the contracting party be using UW facilities – select Yes or No as appropriate.

6. Are WARF owned materials involved – select Yes or No as appropriate.

7. Is this agreement to provide the contracting party equipment – select Yes or No as appropriate.

8. Does the agreement involve data that might normally be included in a Data Use Agreement – select Yes or No as appropriate. If you select Yes, indicate why a Data Use Agreement is not the appropriate Agreement Type for this agreement record.

9. Does the agreement involve data that might normally be included in a Material Transfer Agreement – select Yes or No as appropriate. If you select Yes, indicate why a Material Transfer Agreement is not the appropriate Agreement Type for this agreement record.

5.2.20 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

Certain agreement types, primarily those associated with funding, may be submitted to RSP for review and negotiation once the Agreement SmartForm has been completed. Why? – Because if associated with funding, the funding proposal record, and subsequently the award record, will require sign off from the PI and departments/dean’s offices.

Other agreement types, primarily those that are often non-funded agreements, require PI certification and Dean/Division approval before they can be submitted to RSP for review and Negotiation (because there is no funding proposal record that preceded the agreement to capture such sign offs). These agreement types are outlined in the chart below.

Agreement Type	PI Certification and Deans/Division Signoff Required?
Business Associate Agreement	Yes
Clinical Trial Agreement	No
Data Transfer and Use Agreement	Yes
Fee for Service Agreement	Yes
Master Agreement	Yes
Material Transfer Agreement	Yes
Non-Disclosure Agreement	Yes
Other Non-Funded Agreement	Yes
Sponsored Research Agreement	No
Visiting Scientist Agreement	Yes

6.1 Agreements that Do Not Require Certification and Signoff

Follow the steps below to submit a funding proposal for department review:

1. Navigate to the Agreement Workspace for the agreement that is ready to route to RSP for review and negotiation.
2. Optional step. If there is a related Grants module record Proposal/Award record that should be associated or linked with the agreement, use the Manage Relationships activity on the Agreements Workspace to link the records.

3. Select the **Submit** activity and then select **OK** on the Submit slide-in window.
4. You are now finished with the agreement creation process. After submitting your agreement to RSP, the state will update to Unassigned.

6.2 Agreements that Require Certification and Signoff

Agreements that require certification and signoff require the PI to certify the agreement and the appropriate Dean/Division approver to approve the agreement. Both the PI Certification and the Dean/Division approval can be obtained via using the Manage Ancillary Reviews activity.

PI Certification:

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

1. Outside of RAMP (email/conversation/chat) – sending the PI the RAMP link and AGR# to locate the record.

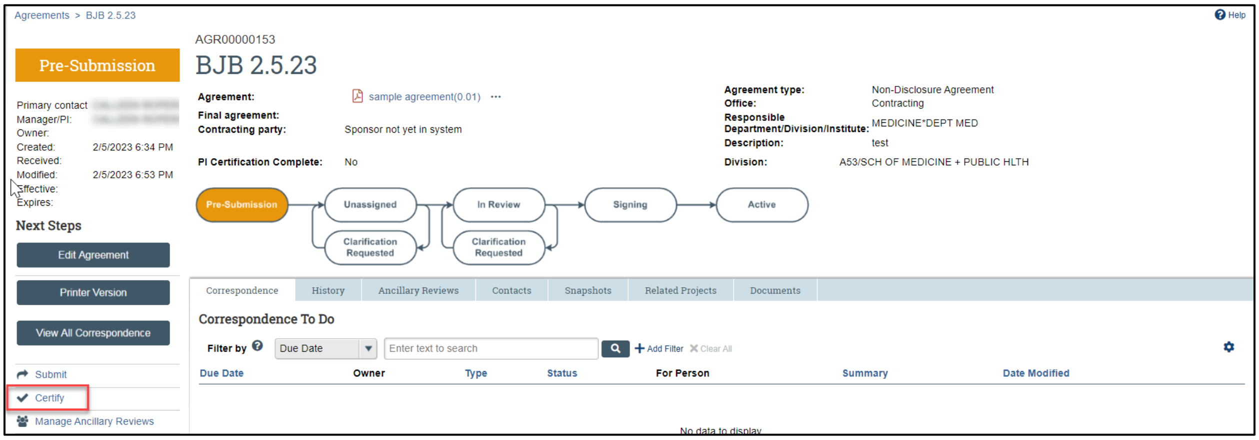
2. Using an Ancillary Review to the PI. Asking the PI to go into the RAMP record to certify/sign. Approval of the Ancillary Review doesn't automatically certify the record, so the PI would need to locate the record, click the Certify activity, and then respond to the Ancillary Review letting the unit know it's completed. *To send an Ancillary Review, use the Manage Ancillary Reviews activity (more details below)*

6.2.1 How the PI Completes the PI Certification Process

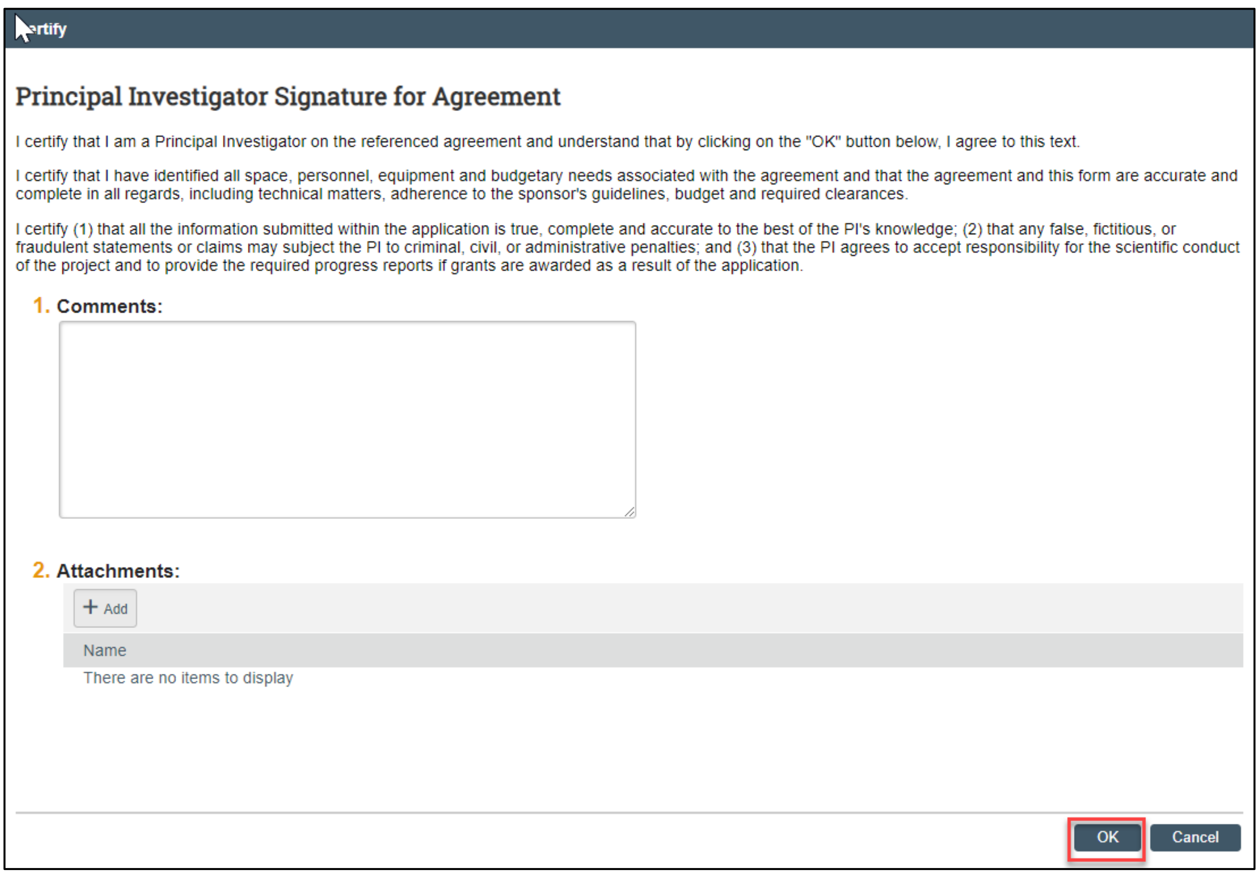
The PI Certify function is available to PIs only and must be completed before the agreement can be submitted to RSP for review and negotiation.

Follow the steps below to perform the PI certification:

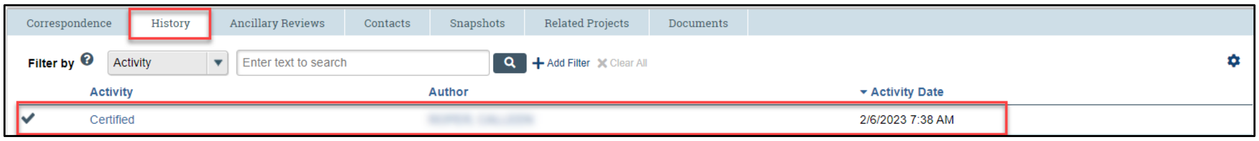
1. Navigate to the Agreement Workspace.
2. On the Agreement Workspace, select the **Certify** activity to start the certification process.



3. Review the certification language, add any needed comments and attachments, and select **OK** to complete the certification.



4. The activity shows in the History tab and disappears from the Agreement Workspace upon execution of the activity.

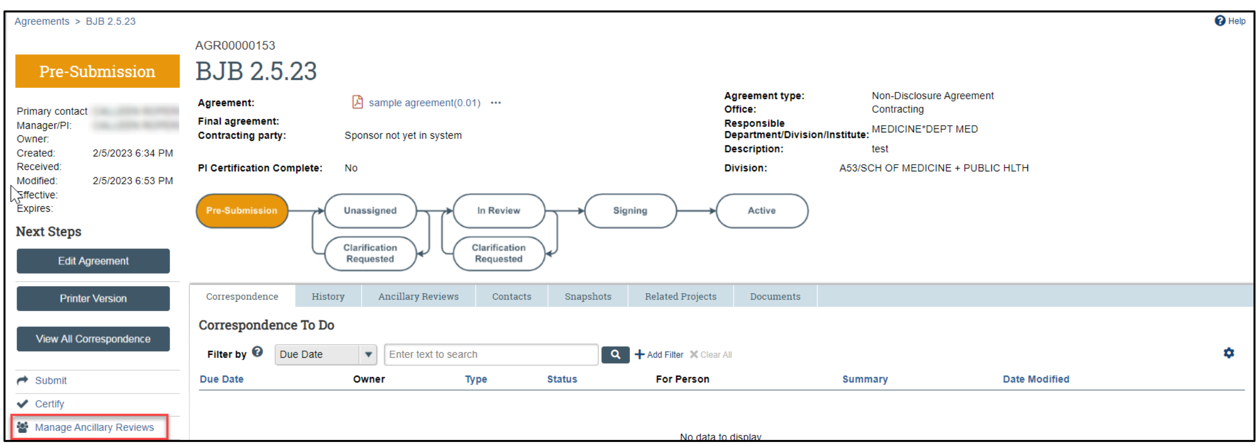


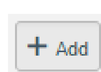
6.2.2 How to Complete the Dean/Division Approver Process

The Dean/Division approval process must be completed before the agreement can be submitted to RSP for review and negotiation. This process has two primary steps – the agreement PI or Primary Contact must create an ancillary review to request Dean/Division approval and the Dean/Division approver must also submit the ancillary review. After these steps are completed, the agreement can be submitted to RSP.

Follow the instructions below to request approval from the appropriate Dean/Division approver:

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



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

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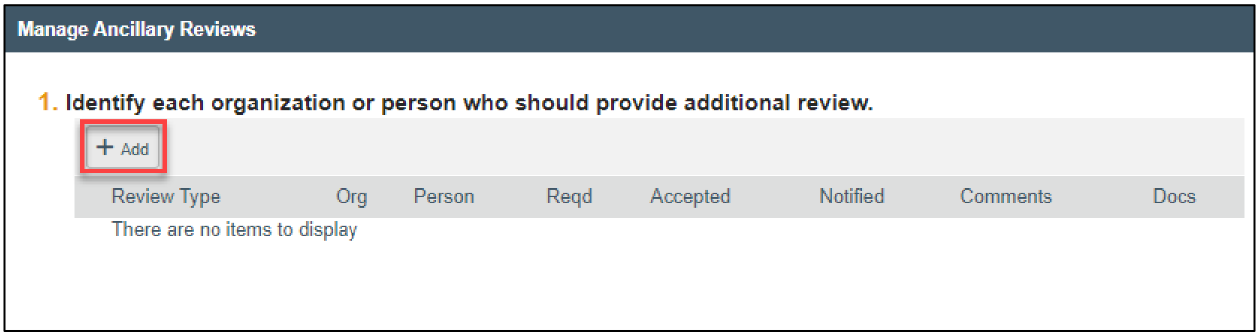
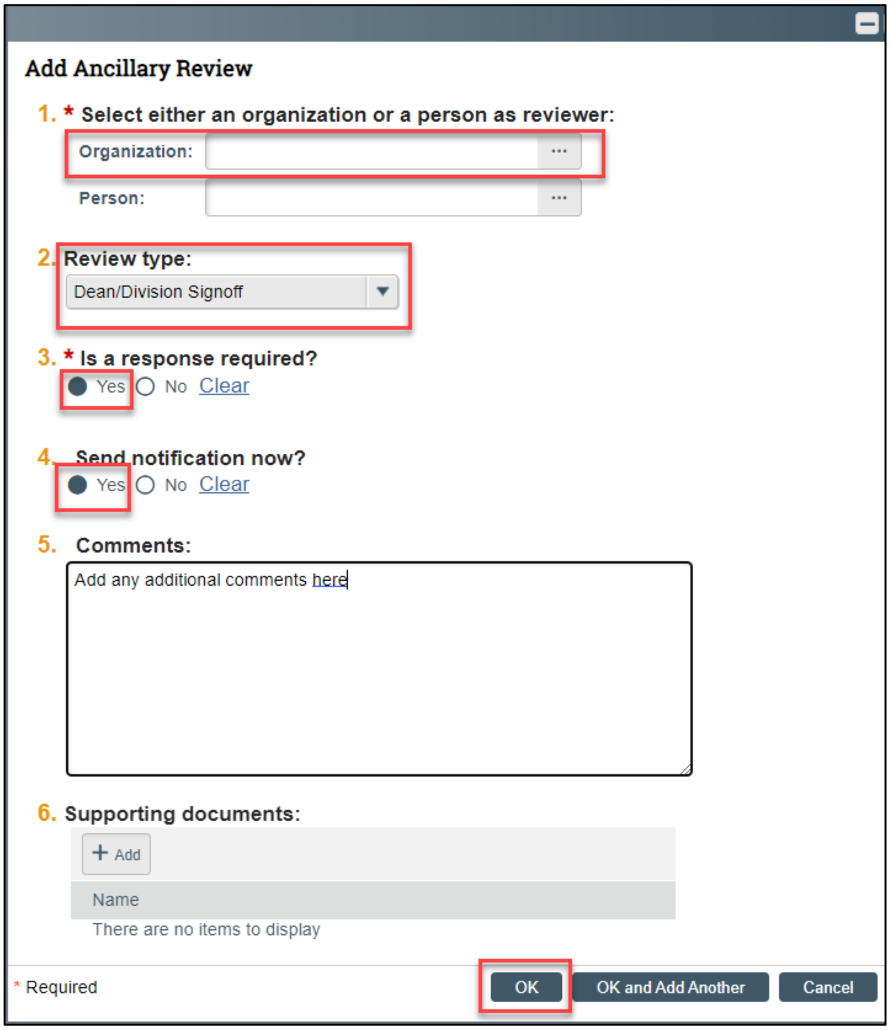
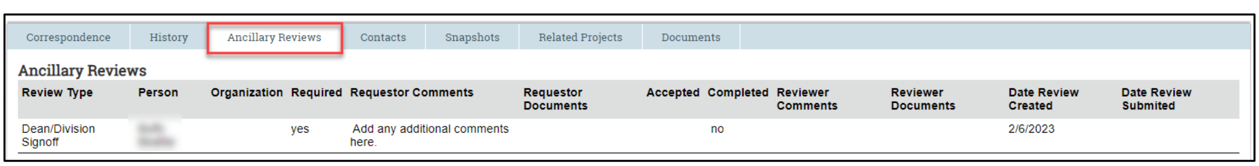


4. On the Add Ancillary Review form, enter the following:
    a. **1. Select either an organization or a person as reviewer** – Enter the appropriate Dean's office/Division approver in the **Organization field**.
    b. **2. Review type** – Select Dean/Division Signoff from the drop-down list.
    c. **3. Is a response required** – Select Yes.
    d. **4. Send notification now** – Select Yes.
    e. **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.



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

Note: The process described above will work for any other ancillary reviews added in RAMP. Only the Dean/Division Signoff ancillary review will stop an agreement from being submitted. Reference the Ancillary Review user guide for more information on the overall Ancillary Review requirements for all three RAMP modules.

Once you have approvals from the PI and Dean/Division approver according to your unit's business process, select the **Submit** activity to move the agreement to RSP for review and negotiation.

6.2.3 How to Submit to RSP

The agreement can be submitted to RSP for review and negotiation once the PI has certified the agreement and the Dean/Division Signoff ancillary review has been completed.

Follow the steps below to complete the submission:

1. From the Agreement Workspace, select the **Submit** activity. You are now finished with the agreement creation process. After submitting your agreement to RSP, the state will update to Unassigned.

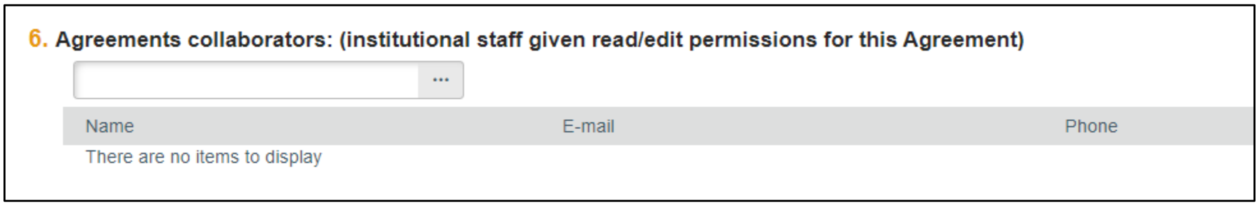
7 How to Add an Agreement Collaborator

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

7.1.1 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 Collaborators to Question 6.



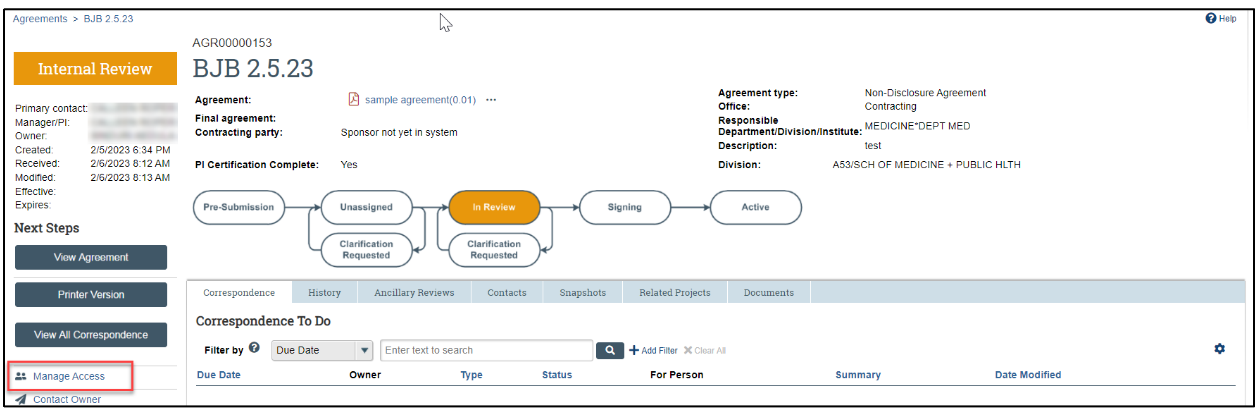
5. When complete, select **Save** and **Exit**.

7.1.2 When the Agreement SmartForm is Not Editable

The Manage Access activity can be used to update the administrative contact and funding proposal editors and readers when the Proposal SmartForm is not editable.

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

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 Collaborator (under Question 2).
4. When complete, press **OK** to return to the Agreement Workspace.

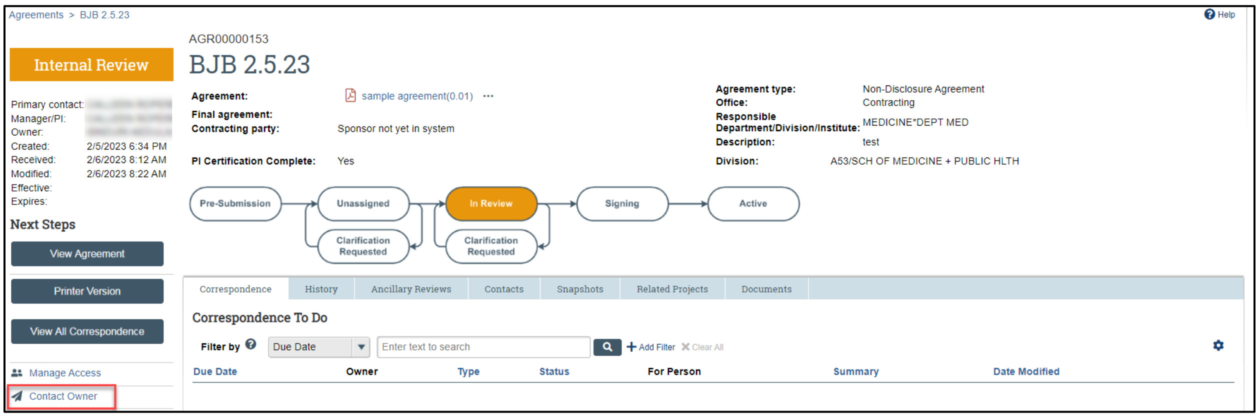
8 How to Contact the Agreement Owner

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

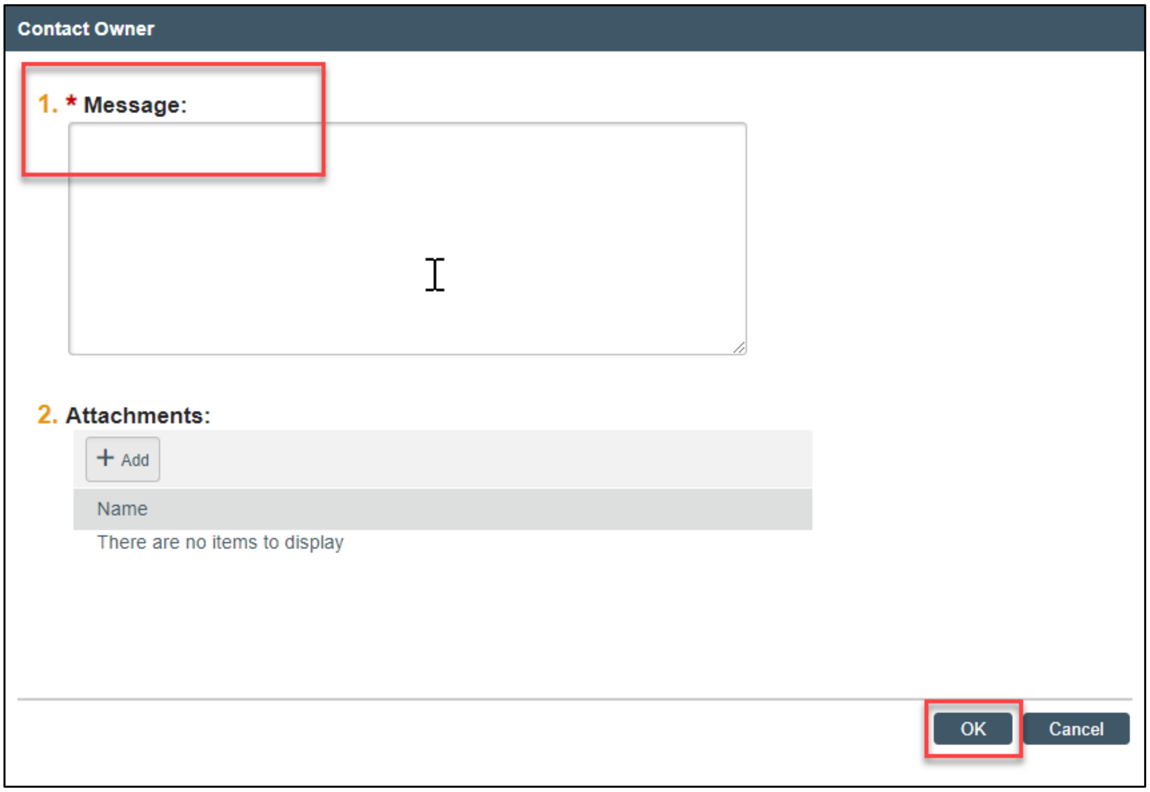
Note: The Agreement Owner is the RSP Contracts Team member designed as the owner of a specific agreement.

Follow the steps below to contact the Agreement Owner:

1. Navigate to the Agreements Workspace.
2. On the Agreements Workspace, 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 only.

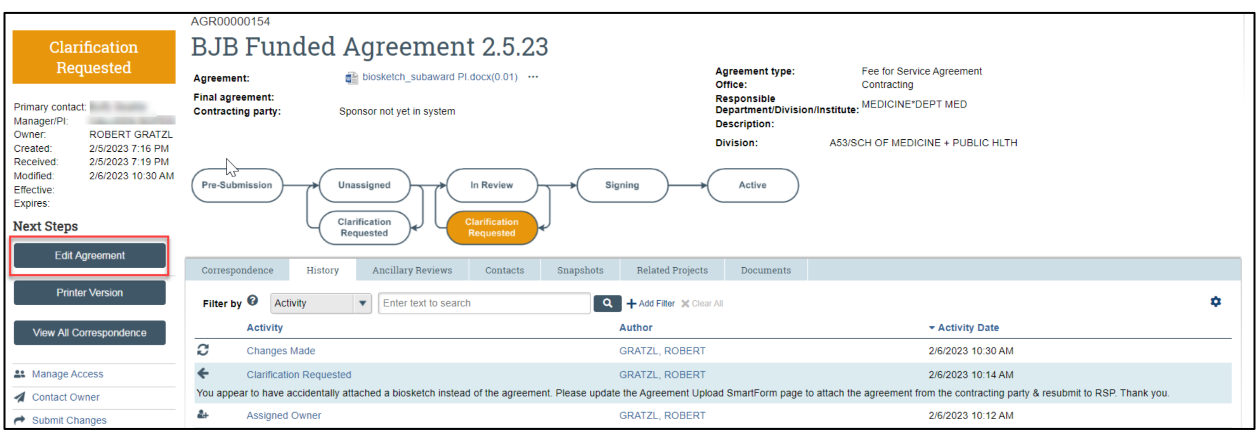
1. Access the agreement in one of three ways:
    a. From the system generated email, select the Agreement ID **Link**, or
    b. Select the agreement name on the Dashboard,
    c. Navigate to the Agreement Workspace.

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.

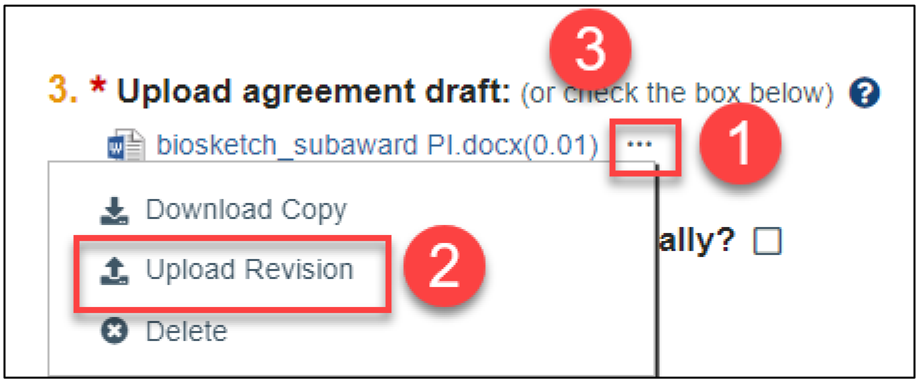
   Tip: Select the name of the Activity (e.g., "Clarification Requested") to view additional details about the activity.

3. Provide the information for the clarification requested and note the following points:

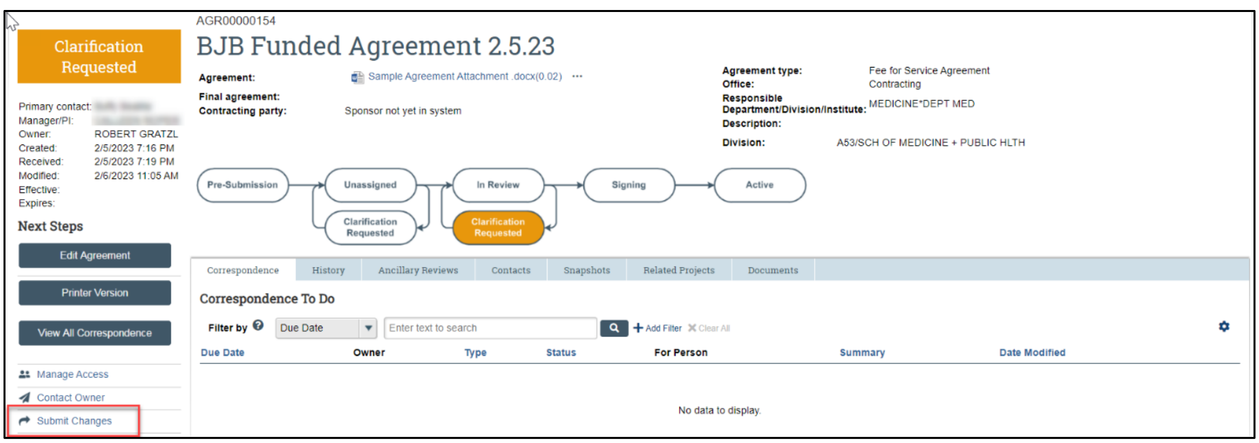
   a. **Editing the Agreement** – When the Agreement Owner requests clarification the agreement SmartForm unlocks and is in an editable state again. Select the **Edit Agreement** button in the Agreements Workspace to open the SmartForm and edit any fields.



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**.



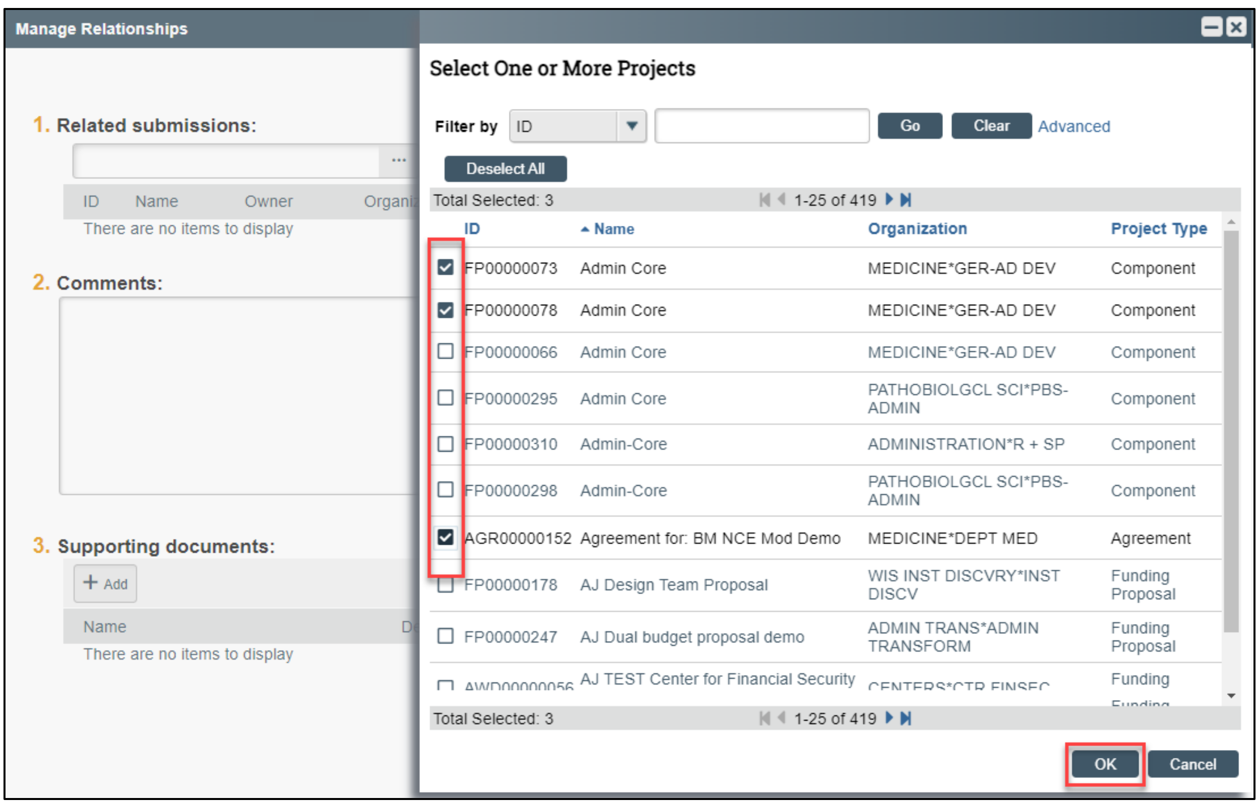
5. The agreement state returns to its prior state of either Unassigned or In Review and an email is sent to the Agreement Owner to notify them of the update.

10 How to Manage Relationships

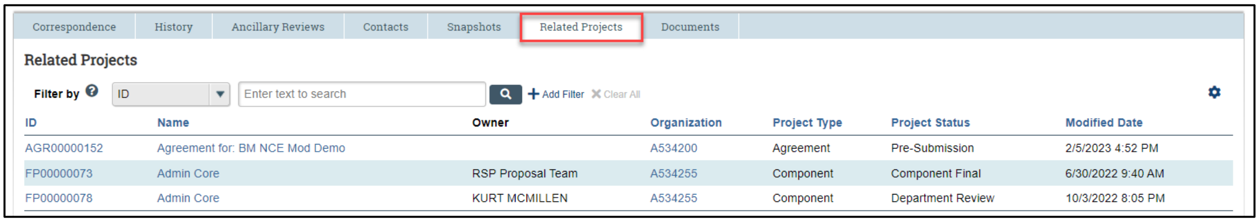
Agreement records can be linked to related records in the Grants module or to other agreements in the Agreements module.

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.

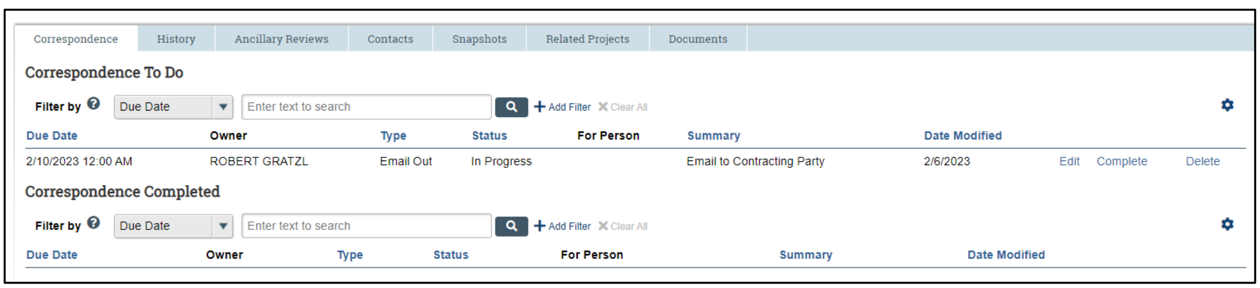


11 Reviewing Correspondence

Agreement Owners (RSP 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:



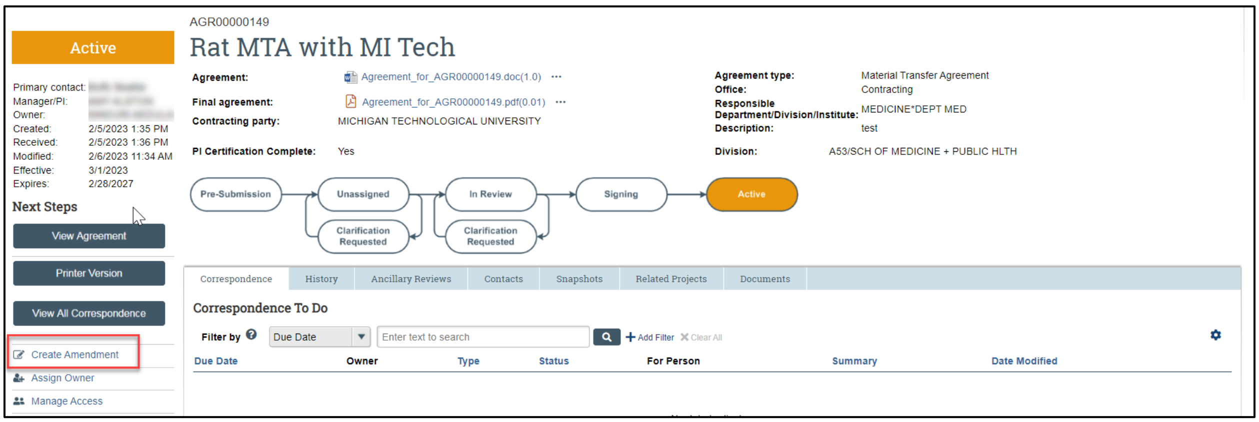
12 How to Create and Submit an Agreement Amendment

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

Note: RAMP 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 RSP 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. RAMP 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. RAMP navigates 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

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, sponsor 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

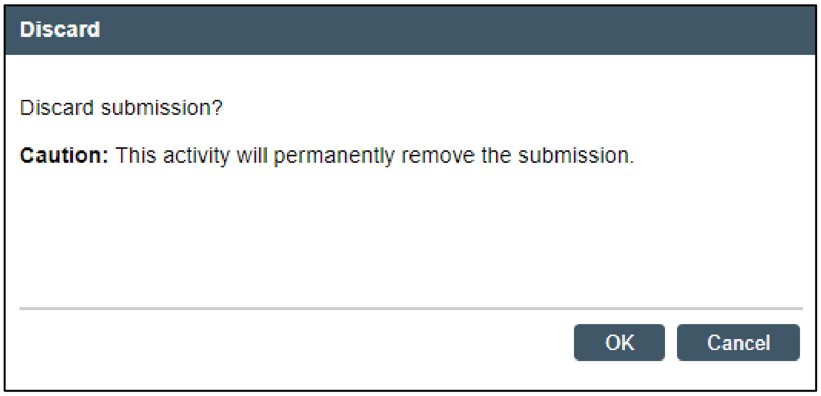
Use the Discard activity to remove an agreement or amendment from with workflow before it has been moved to the Active or Approved state. Completing this activity will **permanently remove the submission from the workflow**. Potential reasons to discard an agreement include departing PI, acquiring materials from another source, or <u>the agreement is no longer needed</u>. 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.