Baylor University

CARA ELEVATING RESEARCH AND COMPLIANCE

HOW TO CREATE AN AGREEMENT

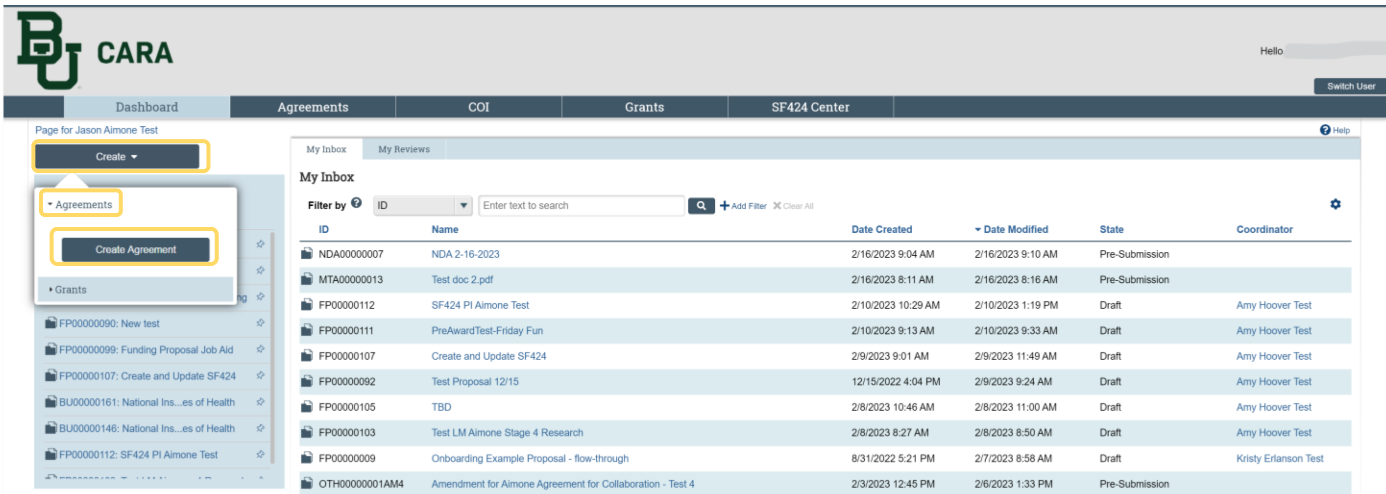
Follow the below step-by-step instructions to create a new agreement in CARA. These instructions outline the process of creating a new agreement and completing the Agreement SmartForm pages.

Table of Contents

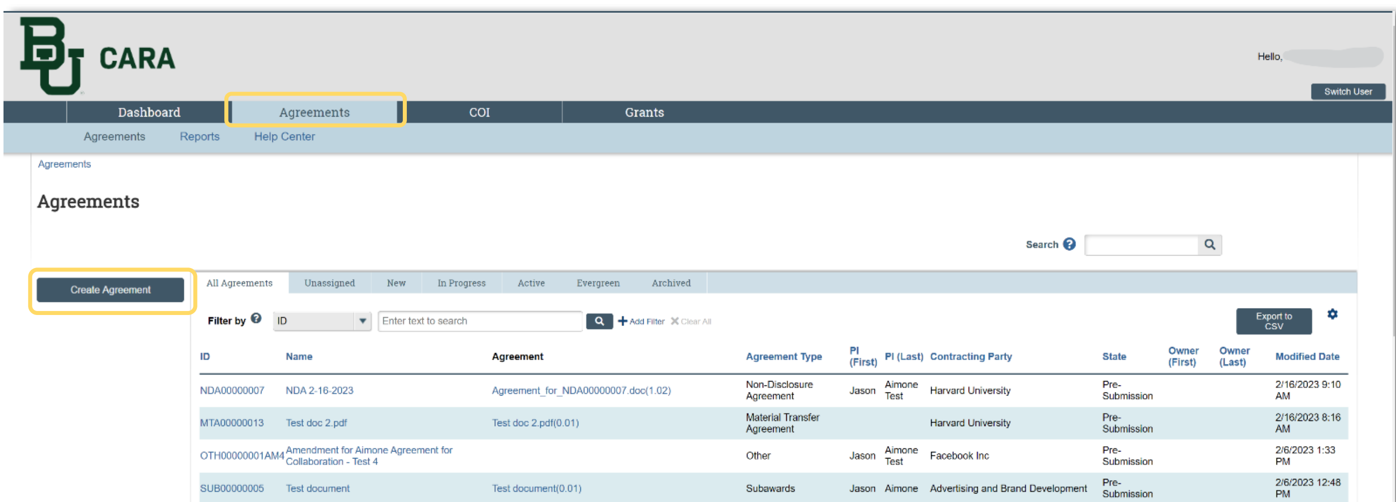
1. How to Create an Agreement

Log-in to CARA (using Baylor Single Sign On login credentials) from the OVPR home page. A new Agreement record can be created in one of **three ways**:

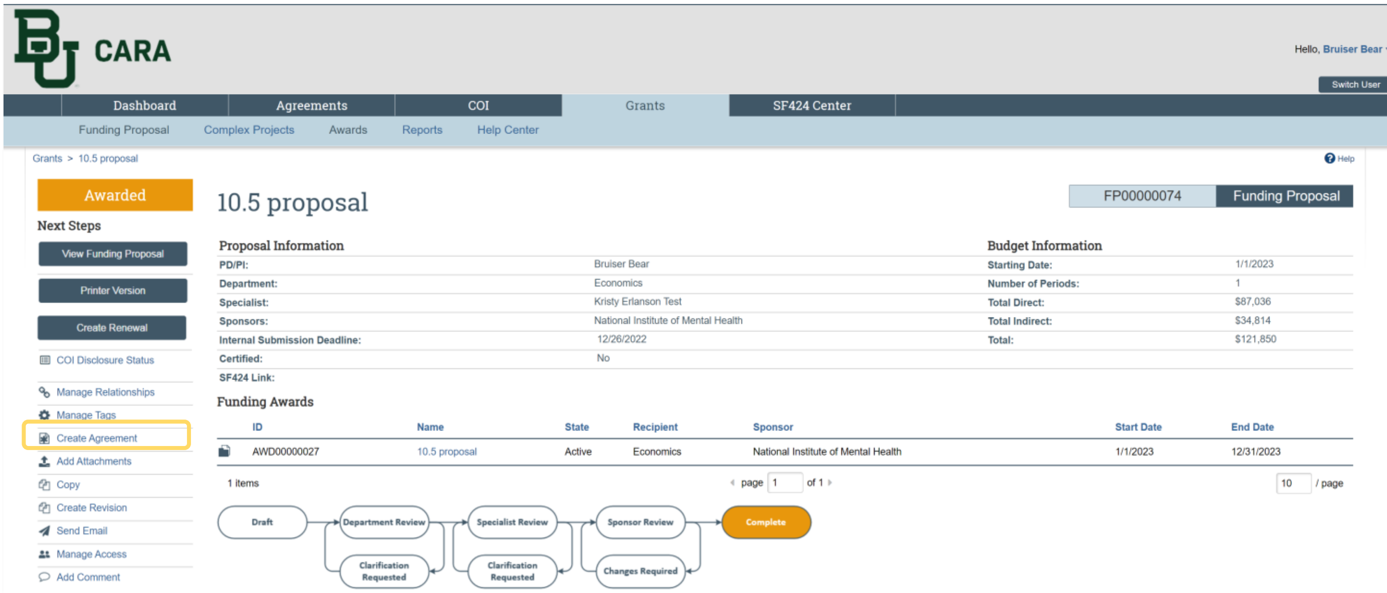
1. From the Dashboard, select Create > Agreements > Create Agreement.



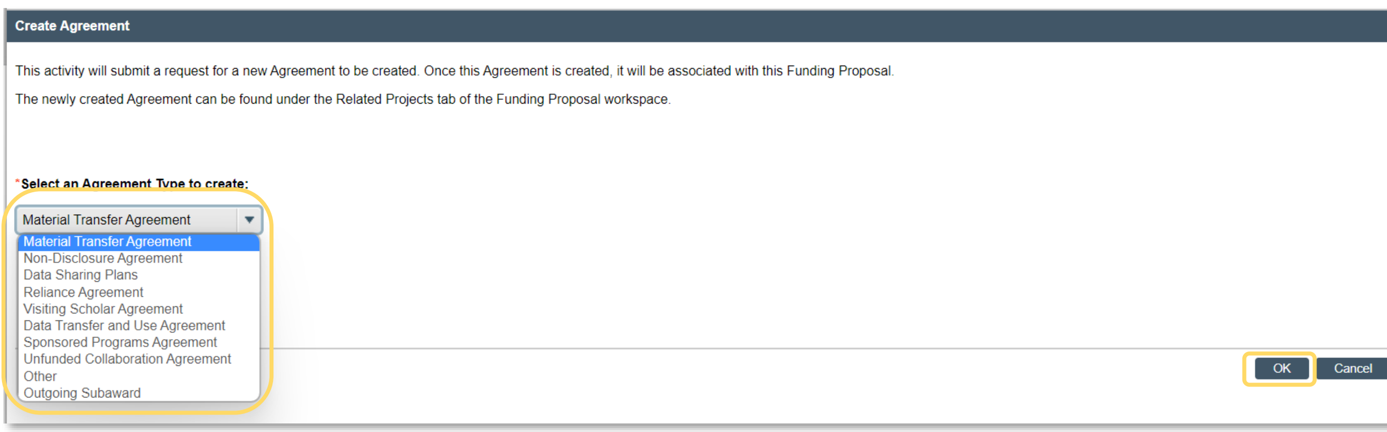
2. From the Agreements tab, Click 'Create Agreement'.



3. Execute the ‘Create Agreement’ activity from a Funding Proposal workspace.



This will launch a screen allowing you to select the type of agreement you’d like to create.



Select the agreement type from the dropdown, then Click ‘OK’. The agreement will populate on the ‘Related Projects’ tab of the funding proposal workspace, and the agreement ID will be created. Select the agreement to be taken to the ‘Agreement Upload’ page.

INSERT SCREENSHOT OF RELATED PROJECTS TAB

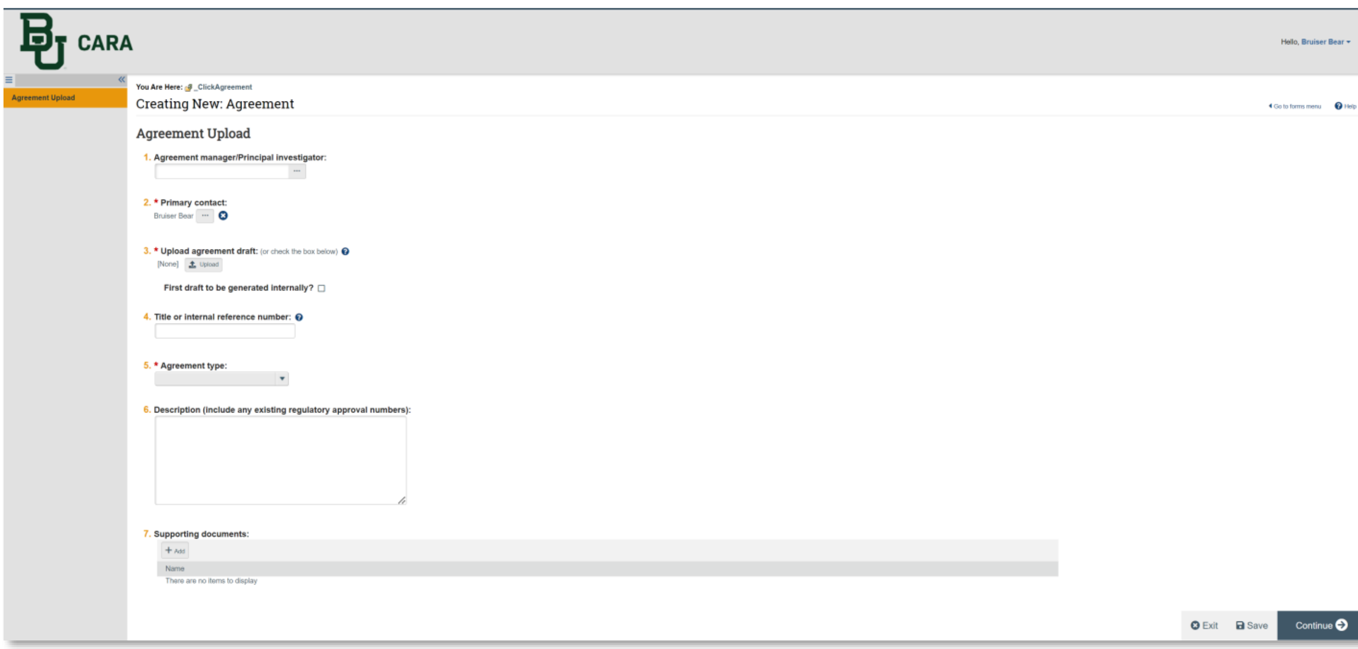
2. Complete the Agreement SmartForms

The following section walks you through the SmartForm pages that are required for every agreement type. When you are finished with each page, Click '**Continue**' to navigate through the rest of the SmartForm pages.

Creating a new agreement will open the Agreement SmartForms and launch the 'Agreement Upload' page which is required for *all* agreement types. Complete each question on the SmartForms with your relevant agreement information. See **Branching Agreement SmartForms** section for instructions for completing the additional, specific SmartForm pages for each agreement type.

2.1 Agreement Upload SmartForm

Below is the blank 'Agreement Upload' page which launches when an Agreement is created. The following section explains how to complete the fields on this page.



1. Principal Investigator: Enter the PI's full name or last name or use the % sign as the wildcard. The ellipses can be used to launch the search pop-up, or you can type into the field for a list of selections to appear.

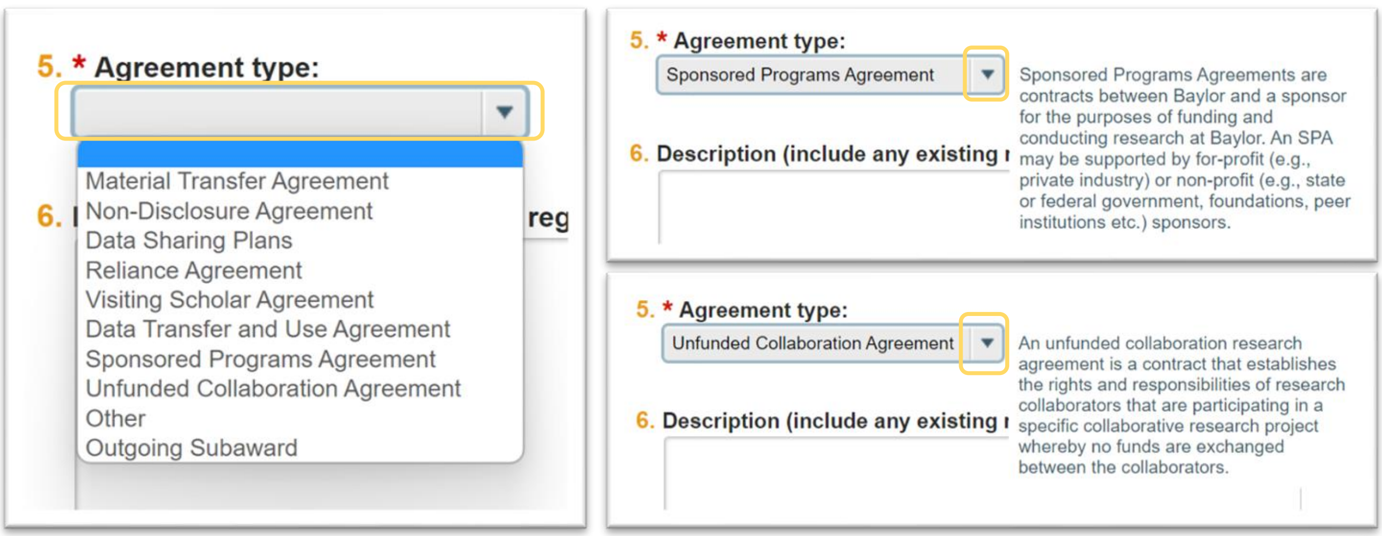
2. Primary Contact: This field defaults to the person creating the agreement record. To change it, Click 'X' then search for an select someone new. The Primary Contact is the only person who can submit the agreement and the only person who will receive automated email notifications from CARA as various milestones are reached.

Note: that the Primary Contact may be updated by anyone listed as an Agreement Collaborator. In addition, the CARA team may mass update the Primary Contact for all records associated with a department in case of personnel change.

3. Upload Agreement Draft: In most cases, the box for 'First draft to be generated internally?' should be selected. In the less likely event that a draft agreement is available from the contracting organization, upload it here.

4. Title or internal reference number: Type a short name for the agreement. As a guideline, keep it shorter than 50 characters.

Note: This text appears throughout the system as the agreement name, for example, in My Inbox.



5. Agreement Type: Select the correct agreement type. Once a type is selected, hovering over it will provide a help bubble to describe the appropriate use of the selection.

Note: The agreement type selected in this question determines the following SmartForm pages that will appear, and the subsequent agreement templates that can be generated from the record. Contact CARAagreements@baylor.edu if you have questions about which agreement type should be selected for your situation.

6. Description: Provide a succinct description of the purpose of the agreement. This field is not required but may be helpful to enter any relevant notes for OVPR.

7. Supporting Documents: Attach any supporting documents that may be required to review or issue the agreement. Most agreements will require a Scope of Work. Many agreements will require other documentation as well. Documents uploaded here will also appear in the 'Documents' tab of the workspace.

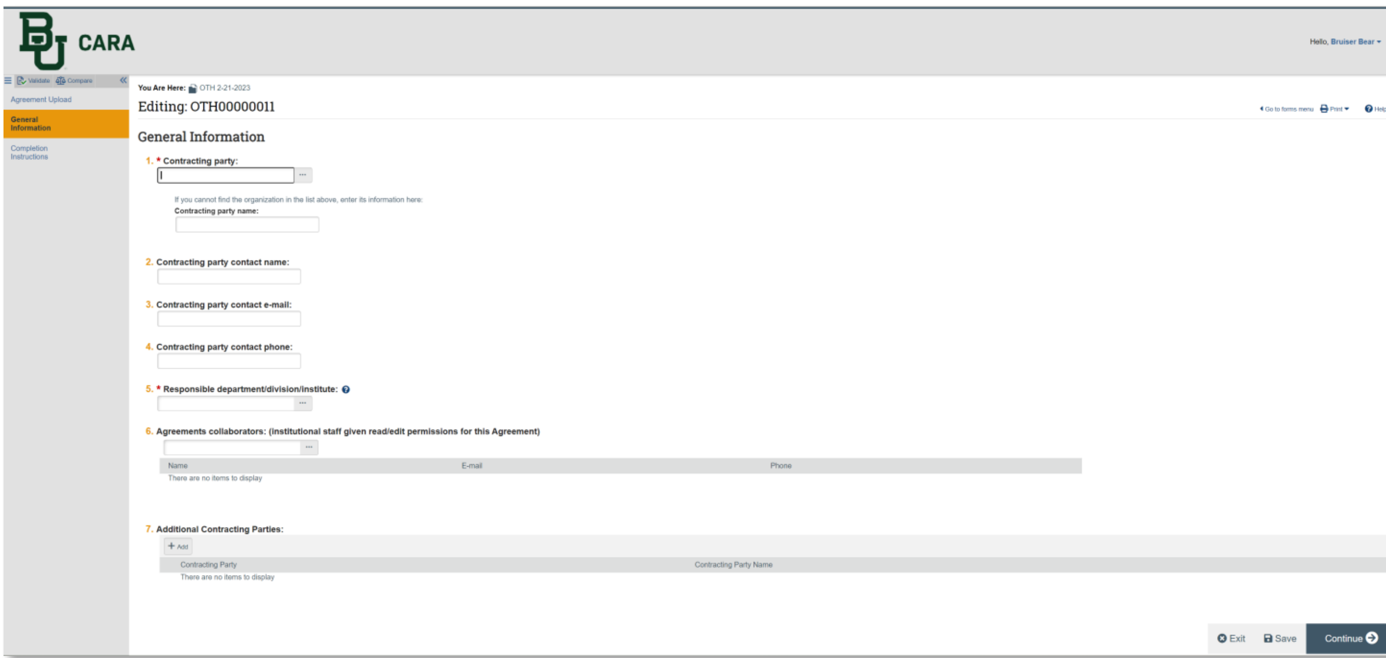
Once the Agreement Upload fields have been completed and the 'Continue' button has been selected, the following items will appear:

- A new Agreement ID
- Additional SmartForms based on the agreement type selected

Note: The record number is created based on the agreement type, and will use the following format:

Type	Agreement ID Format
Material Transfer Agreement	MTAxxxxxxxx
Non-disclosure Agreement	NDAxxxxxxxx
Data Sharing Plans	DSPxxxxxxxx
Reliance Agreement	RAxxxxxxxx
Visiting Scholars Agreement	VSAxxxxxxxx
Data Transfer and Use Agreement	DTUAxxxxxxxx
Sponsored Programs Agreement	SPAxxxxxxxx
Unfunded Collaboration Agreement	COLxxxxxxxx
Other	OTHxxxxxxxx
Outgoing Subaward	SUBxxxxxxxx

2.2 General Information SmartForm



1. Contracting Party: Select the organization with which the agreement is being signed. You can type into the box for a drop-down list to be populated (use the % sign as the wildcard) or select the ellipses to display the search box.

If the contracting party is *not* in CARA, follow these steps:

1) Leave the 'Contracting Party' box blank. *Note:* Selecting the 'TBD' option will return an error and prevent you from moving on to the next page.

2) Enter the name in the 'Contracting Party Name' box below.

3) Email CARAsupport@baylor.edu to request the new organization to be added with the organization name, type, address, and phone/email info.

4) Once the OVPR team notifies you that the new organization has been added, update the 'Select an organization' box to include the name of the organization and remove the name from the 'Contracting Party Name' box. Do *not* submit the record with a blank 'Select an organization' box. The agreement record cannot be processed if it is submitted with a blank organization.

2. Contracting party contact name: For non-subaward agreements, this field is not required but will delay processing if left blank. For subawards, this field is always required.

3. Contracting party contact e-mail: For non-subaward agreements, this field is not required but will delay processing if left blank. For subawards, this field is always required.

4. Contracting party contact phone: For non-subaward agreements, this field is not required but will delay processing if left blank. For subawards, this field is always required.

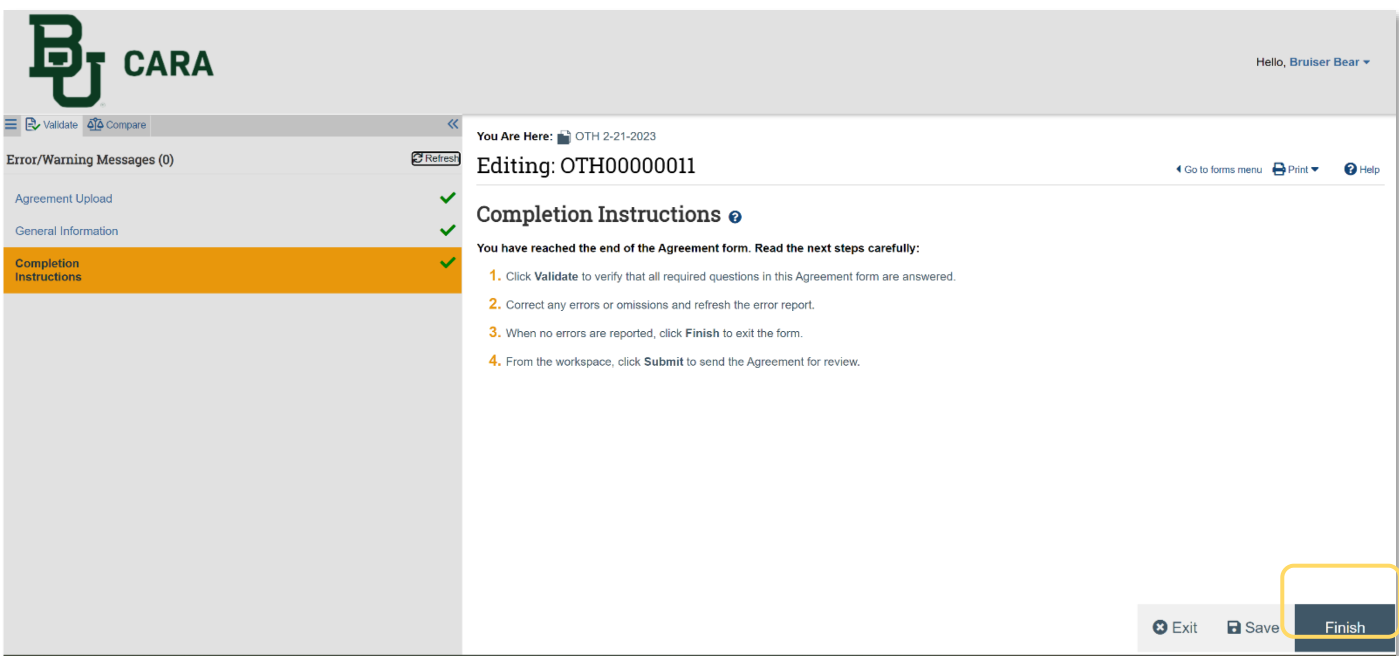
5. Responsible department/division/institute: This defaults as the PI's home department. Update it to the responsible (submitting) department, center, or institute, as required.

6. Agreements collaborators: Enter the names of other departmental users who need read/edit access to this record. For example, your Business Officer, URA, or project staff.

7. Additional contracting parties: Use this field if there are multiple organizations signing the agreement. Follow the same instructions as in **1.**

Click 'Continue' to save and move on to the next SmartForm.

2.3 Completion Instructions Page



This page is informational and requires no data entry. Select 'Validate' to confirm all required fields have been completed. Once validated, select 'Finish' to return to the agreements workspace and complete the required activities there.

3. Complete Branching Agreement SmartForms

The following section walks you through additional forms known as "branching forms" that will appear based on the agreement type selected on the 'Agreement Upload' page. When you are finished with each page, Click '**Continue**' to navigate through the rest of the SmartForm pages.

Note: Some agreement types do *not* have additional branching forms. For help completing the universal agreement SmartForms, see the **Complete Agreement SmartForms** section.

3.1 Material Transfer Agreement Branching Forms

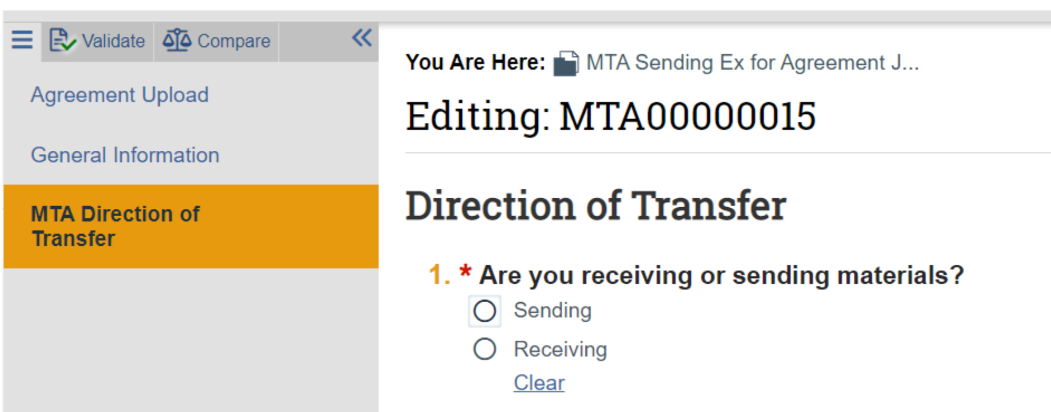
3.1.1 General Information Page

This page is identical to the General Information page on the universal agreement SmartForms.

See section **2.2 General Information SmartForm** *for instructions to complete this page.*

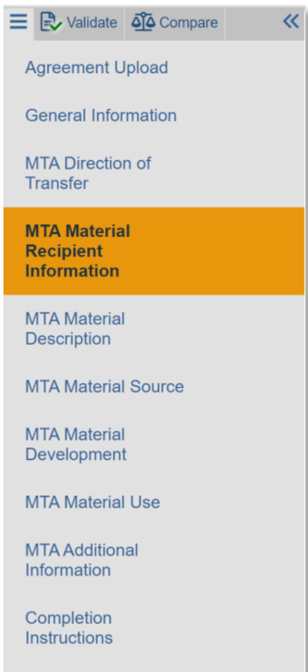
3.1.2 MTA Direction of Transfer

When 'Material Transfer Agreement' is selected on the 'Agreement Upload' page, the 'MTA Direction of Transfer' SmartForm will appear.

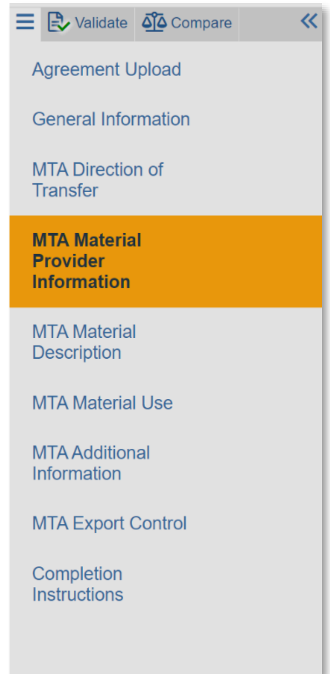


Based on the answer to **1.** on the 'MTA Direction of Transfer' page, additional SmartForms will populate after you click 'Continue'.

MTA *Sending* SmartForms



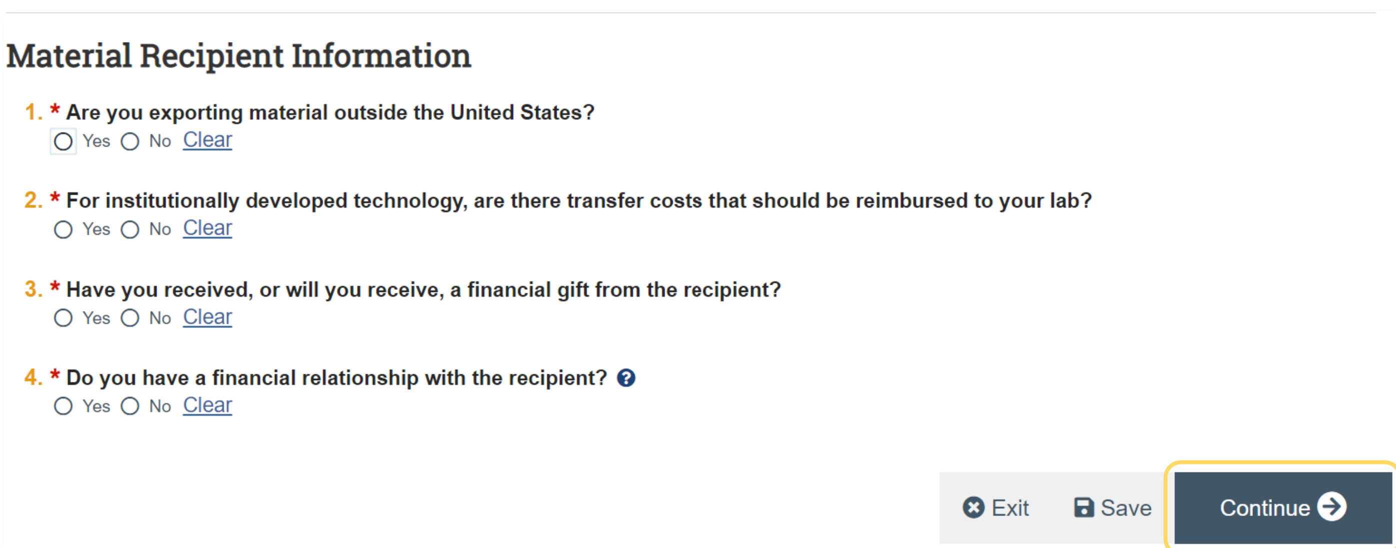
MTA *Receiving* SmartForms



The below section includes details for how to complete the additional SmartForm pages based on whether you select 'Sending' or 'Receiving'.

Note: Some of the SmartForm pages are the same whether you select 'Sending' or 'Receiving', and some are entirely unique based on that selection. The designation will be noted at the SmartForm section header.

3.1.3 MTA Material Recipient Information (Sending)



1. Exporting material: Select 'Yes' or 'No'.

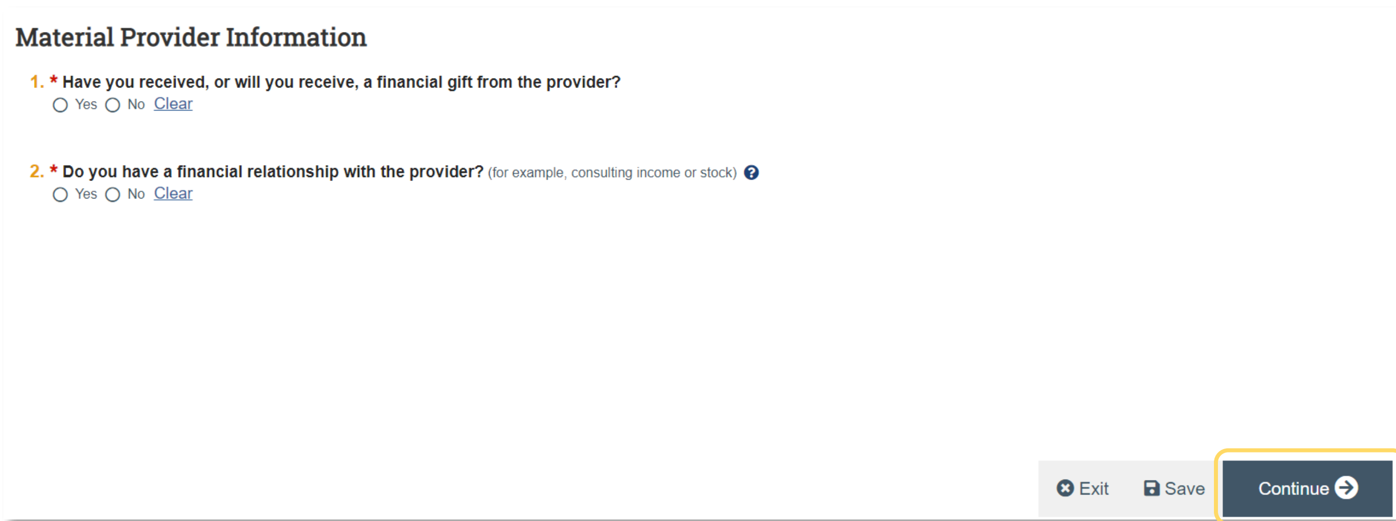
2. Transfer costs: Select 'Yes' or 'No'. If yes, an additional required question appears. Input the total amount of transfer costs that should be reimbursed.

3. Financial gift from recipient: Select 'Yes' or 'No'. If yes, provide details.

4. Financial relationship with recipient: Select 'Yes' or 'No'. If yes, provide details.

Click 'Continue' to save and move on to the next SmartForm.

3.1.3 MTA Material Provider Information (Receiving)



1. Financial gift from provider: Select 'Yes' or 'No'. If yes, provide details.

2. Financial relationship with provider: Select 'Yes' or 'No'. If yes, provide details.

Click 'Continue' to save and move on to the next SmartForm.

3.1.4 MTA Material Description (Both)

1. Identify the material: Identify the material being transferred in the agreement. *Note:* What is entered in this field will be mapped to the MTA Agreement contract template.'

2. Origin of material: Select *one* of the options from the list: animal, plant, plasmid, human, other. If other, enter the origin.

3. Material type: Select all that apply. *Note:* If 'cDNA / Plasmid / Vector is selected, an additional question **6** will appear. Enter the IBC registration number in that field.

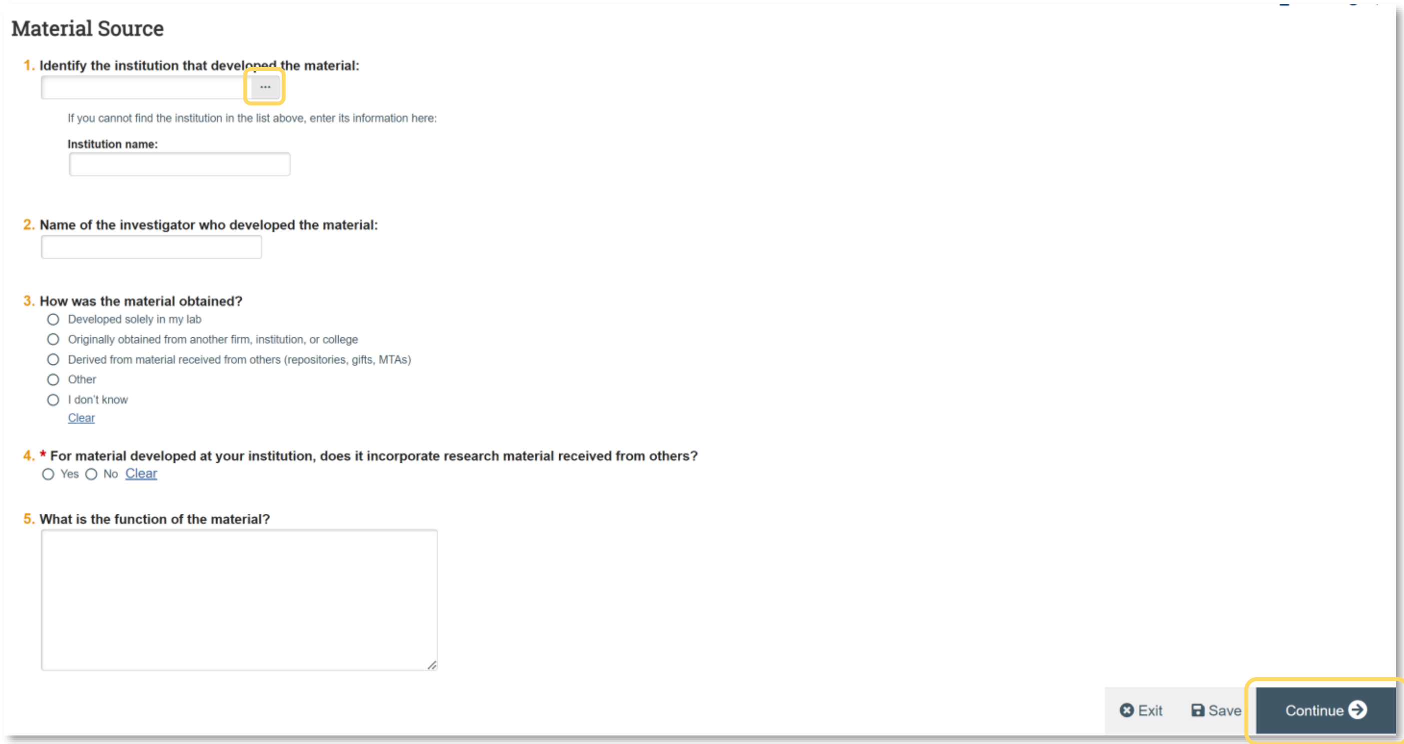
4. Live animals: Select 'Yes' or 'No'. If yes, enter the strain or geno and IACUC protocol number.

5. Hazardous biological agents: Using the ellipsis button, identify and select all hazardous biological agents involved in the transfer.

6. Transmittal fees: Enter the $ amount of transmittal fees, if applicable.

Click 'Continue' to save and move on to the next SmartForm.

3.1.5 MTA Material Source (Sending)



1. Institution that developed the material: Select the institution that developed the material. You can type into the box for a drop-down list to be populated (use the % sign as the wildcard) or select the ellipses to display the search box.

Note: If the institution that developed the material is *not* in CARA, see the **'Contracting Party is *not* in CARA'** section above for next steps.

2. Investigator that developed the material: Type the name of the scientist who developed the material.

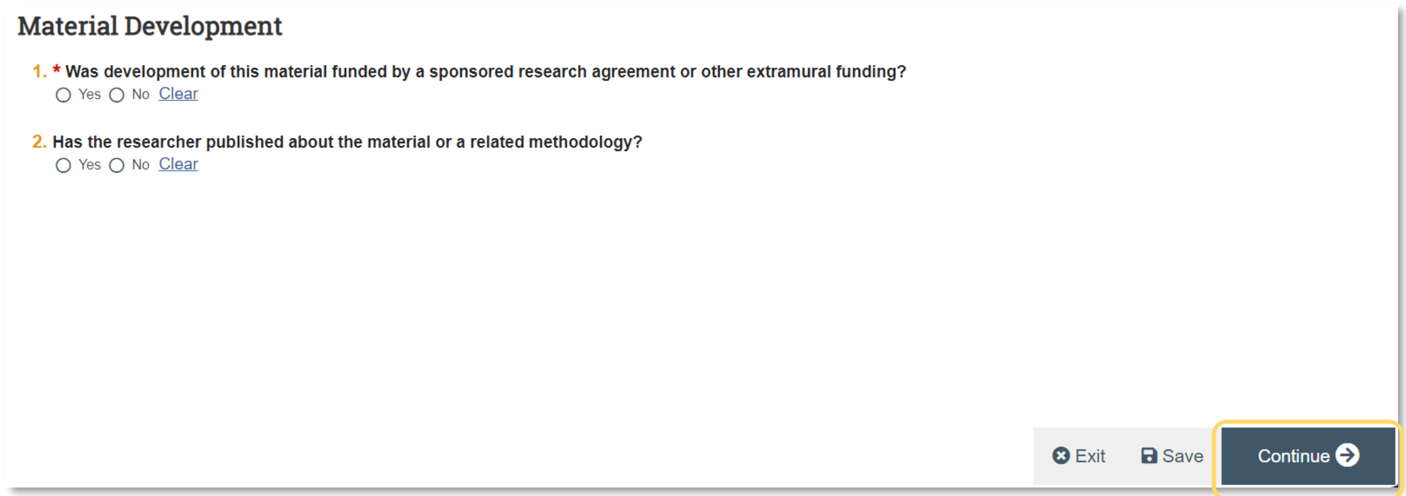
3. Material obtained: Select one option from the options.

4. Research material received from others: Select 'Yes' or 'No'. If yes, describe institution's original material, its relationship to the third-party material, and how the materials have been combined.

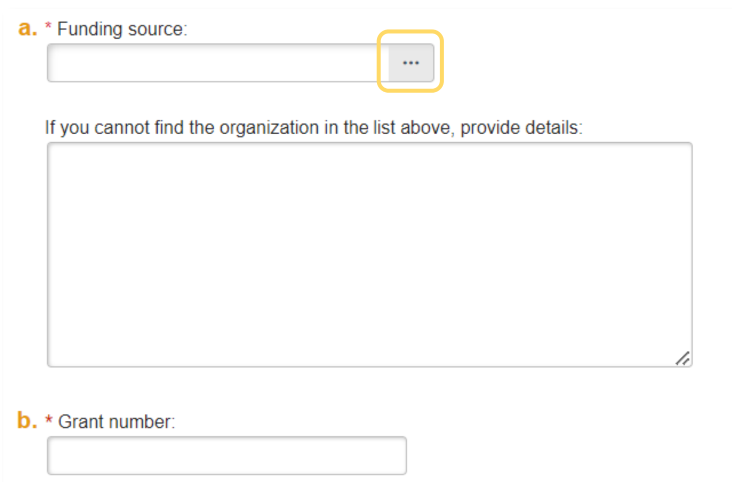
5. Function of material: Describe the function of the material.

Click 'Continue' to save and move on to the next SmartForm.

3.1.5 MTA Material Development (Sending)



1. Funded by sponsored research agreement or extramural: Select 'Yes' or 'No'. If yes, answer the following questions:



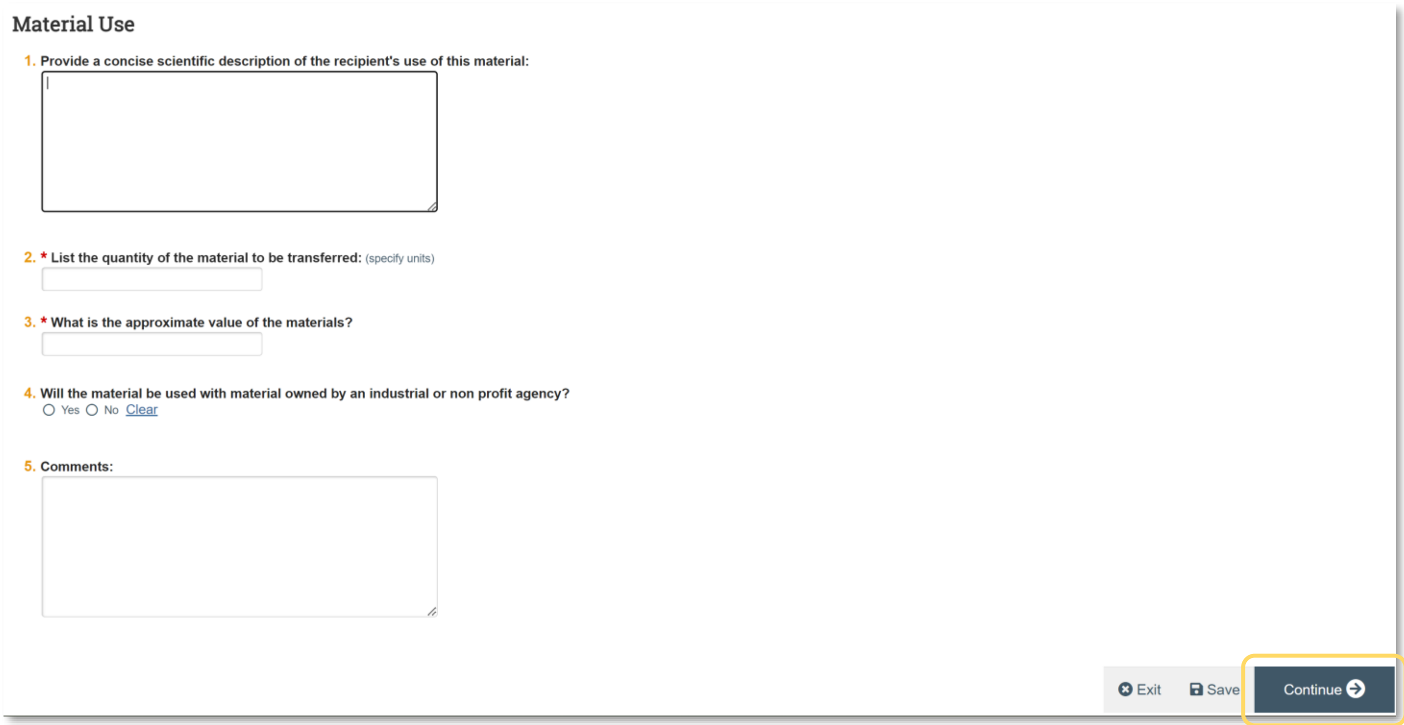
a. Funding source: Using the ellipsis button, select the appropriate funding source. Provide details if organization that provided funding is not an option in the list.

b. Grant number: Input the CARA Award ID (i. e. AWDXXXXXX) related to the funding that contributed to the development of the material.

2. Published about material or related methodology: Select 'Yes' or 'No'. If yes, enter the citation or publication title in the dialog box.

Click 'Continue' to save and move on to the next SmartForm.

3.1.6 MTA Material Use (Both)



1. Scientific description: Provide a concise scientific description of the recipients use of the material. *Note:* Character count is limited to xxx.

2. Quantity of material to be transferred: Enter the quantity of material being transferred. Specify units of the material.

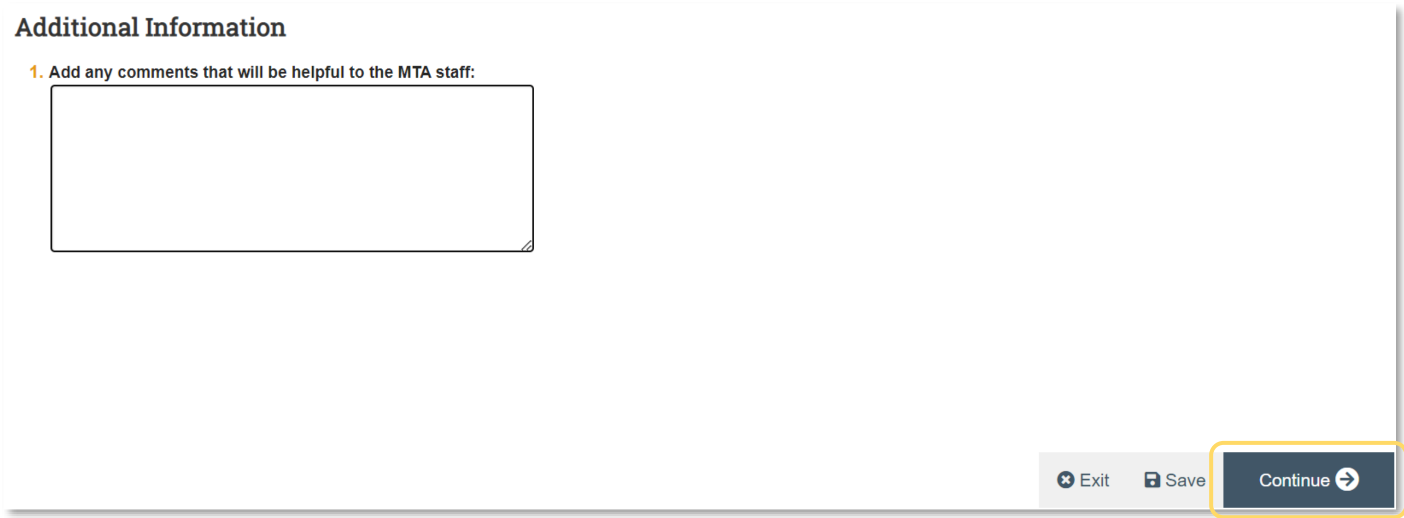
3. Value of materials: Enter the approximate $ value of the material being transferred.

4. Used with material from industrial / non-profit: Select 'Yes' or 'No'.

5. Comments: Include additional comments if applicable.

Click 'Continue' to save and move on to the next SmartForm.

3.1.7 MTA Additional Information (Both)



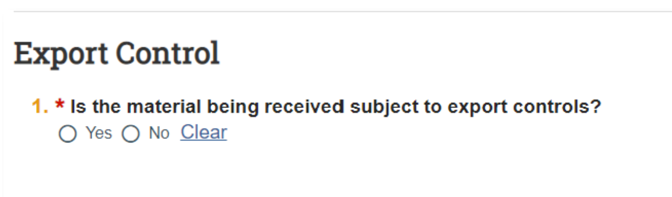
1. Additional comments: In the comments box, include the **name of the outside scientist** and the **shipping address** for the materials. Add any comments that will be helpful to OVPR Compliance staff in reviewing and creating the MTA agreement.

Note: Although this question is not required, failing to include the name and address will delay processing of the agreement.

Click 'Continue' to save and move on to the next SmartForm.

3.1.8 MTA Export Control (Receiving)

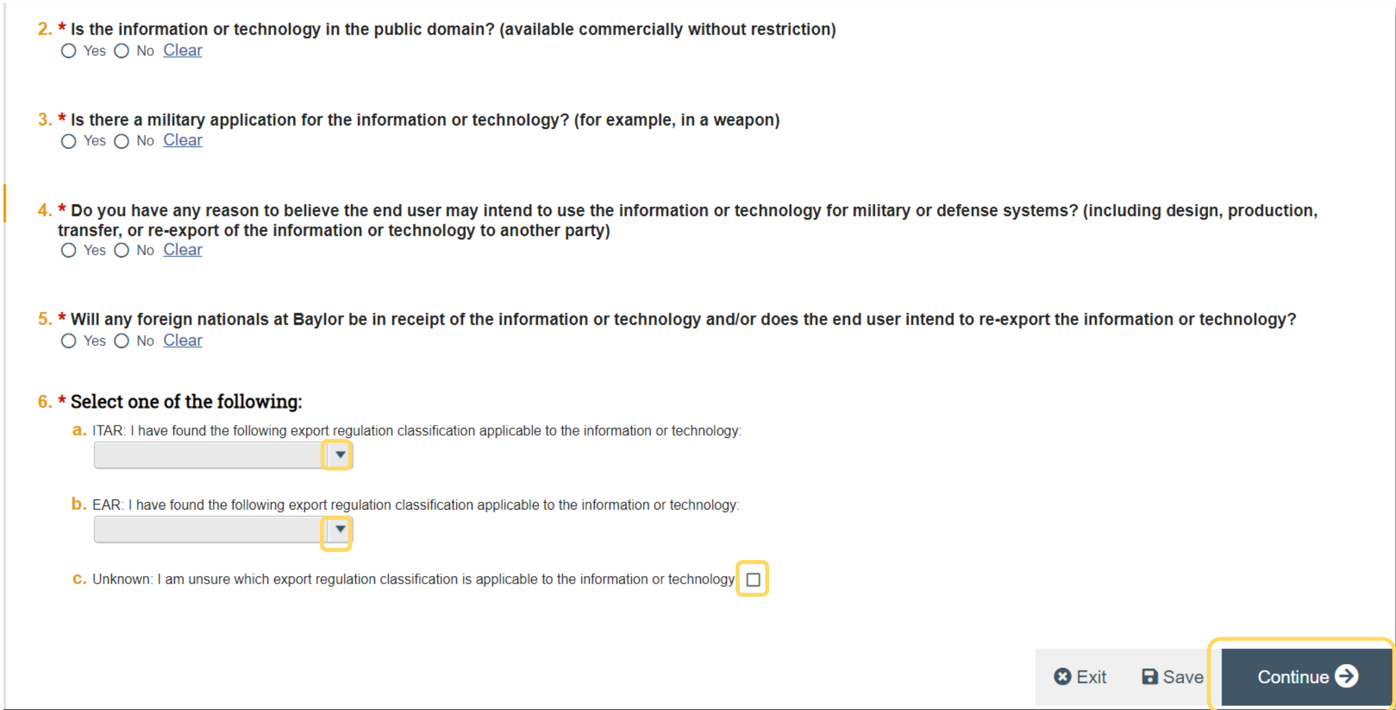
This is the final branching SmartForm of an MTA Receiving Agreement.



1. Select 'Yes' or 'No'.

If no, Click 'Continue' to move to the 'Completion Instructions' page.

If yes, the following questions will appear:



2. Public domain: Select 'Yes' or 'No'.

3. Military application: Select 'Yes' or 'No'.

4. Military defense: Select 'Yes' or 'No'.

5. Foreign nationals: Select 'Yes' or 'No'.

6. Select one: For this question, do <u>ONE</u> of the following:

- Select an option from the dropdown in **a**
- Select an option from the dropdown in **b**
- Check the box in **c**

Note: You will receive an error message and be unable to continue if you select more than **one** of the above options.

Click 'Continue' to save and move on to the last page.

3.1.9 Completion Instructions

This page is identical to the Completion Instructions page on the universal agreement SmartForms.

See section **2.3 Completion Instructions** *for instructions to complete this page.*

3.2 Non-Disclosure Agreement Branching SmartForms

Before starting a non-disclosure agreement record, in addition to the information that is normally collected for other types of agreements be sure to have the answers to the following questions:

- What is the purpose of the exchange? Provide a description.
- Who will be disclosing information: Baylor University, Contracting Party, or both?
- A brief description of the confidential technology or information to be disclosed.
- Is it mandatory to receive or disclose confidential information to accomplish the purpose stated above?
- Is there a deadline to have the agreement signed?
- Is there any possibility that the contracting entity's confidential information may co-mingle with similar work or information in your possession?
- Will confidential information be shared with non-employees, including students? If yes, provide details.
- Has an invention disclosure been submitted by the PI related to the information that will be received or disclosed? If yes, provide the disclosure number(s).
- Does the PI plan to submit an invention disclosure prior to receipt or disclosure of confidential information? If yes, provide submission date.

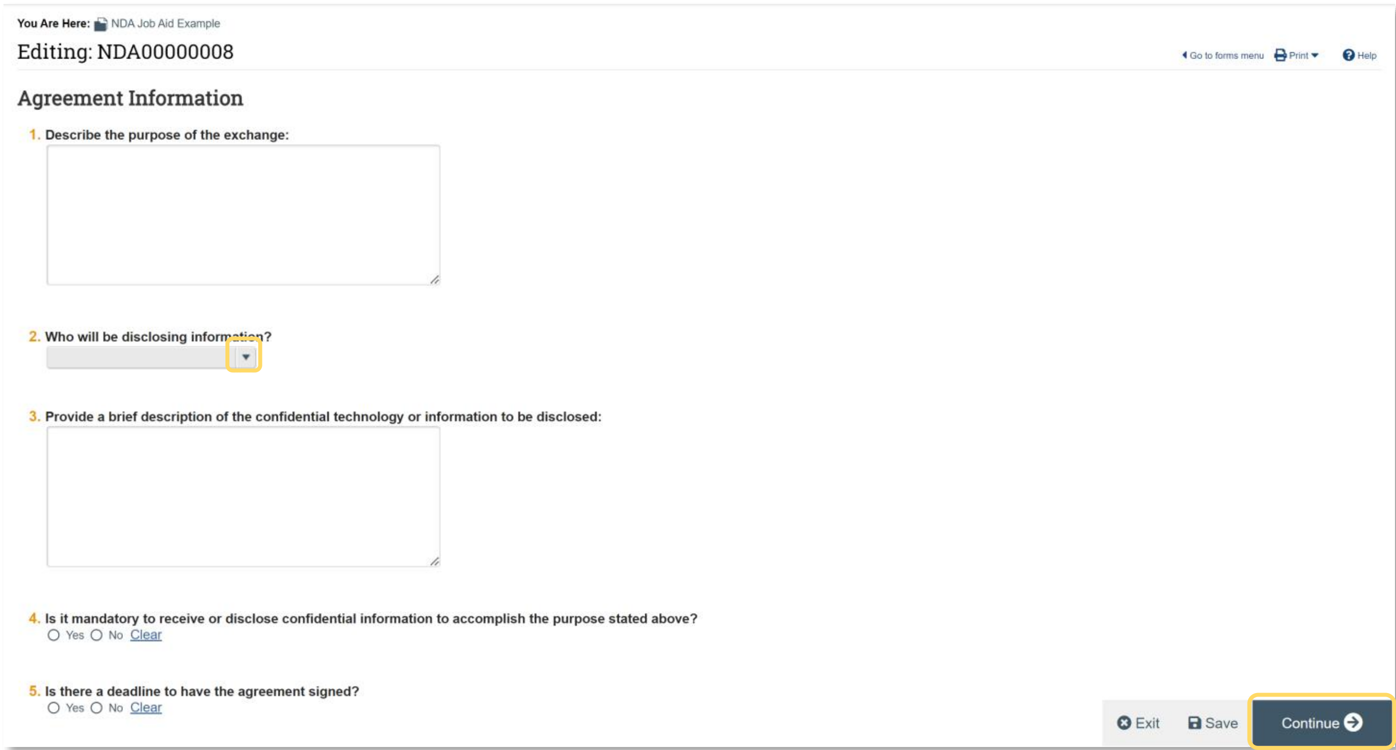
3.2.1 General Information Page

This page is identical to the General Information page on the universal agreement SmartForms.

See section 2.2 General Information SmartForm for instructions to complete this page.

3.2.2 NDA Agreement Information Page

This is the first branching SmartForm specific to the Non-Disclosure agreement type.



Note: The agreement ID number begins with the prefix "NDA".

1. Description of purpose: Add detailed description provided by the PI.

2. Who will be disclosing information: Select Contracting Party, Institution, or Both from the dropdown menu.

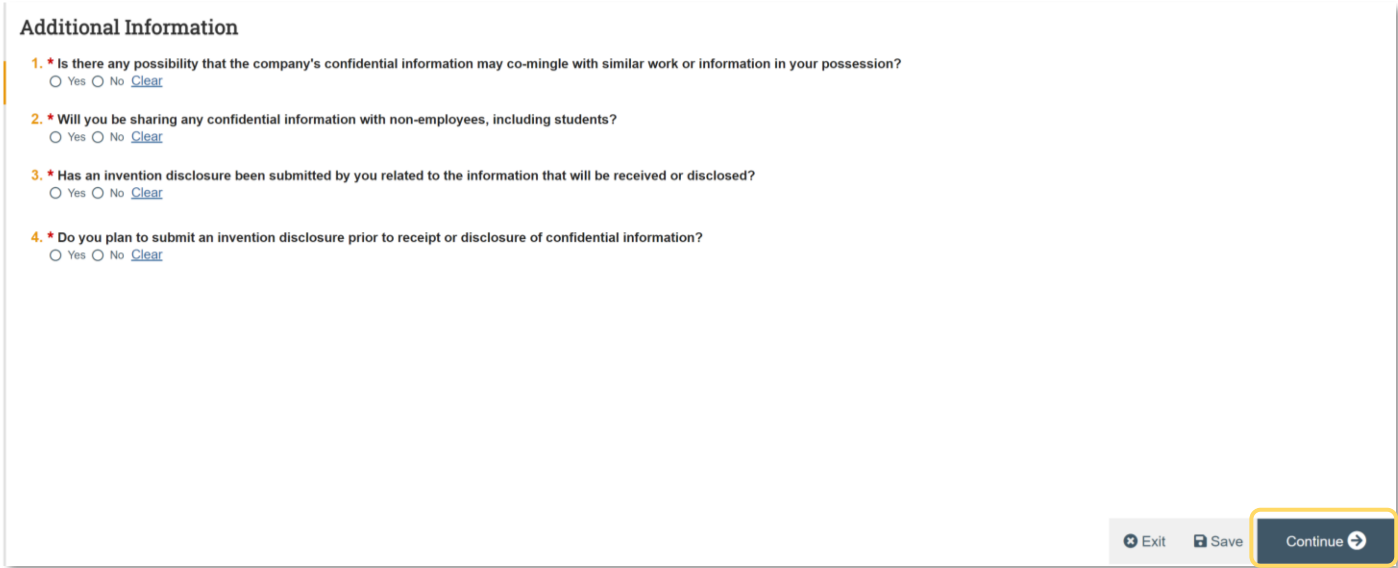
3. Description of confidential tech or info: Add a detailed description provided by the PI.

4. Mandatory: Select 'Yes' or 'No'.

5. Deadline: Select 'Yes' or 'No'. If yes, a required deadline date field appears.

Click 'Continue' to save and move on to the next SmartForm.

3.2.3 NDA Additional Information Page



1. Select 'Yes' or 'No'.

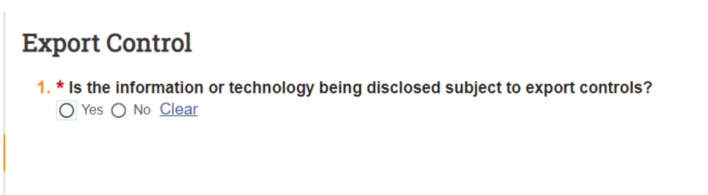
2. Select 'Yes' or 'No'. If yes, provide details.

3. Select 'Yes' or 'No'. If yes, provide disclosure number(s).

4. Select 'Yes' or 'No'. If yes, provide date.

Click 'Continue' to save and move on to the next SmartForm.

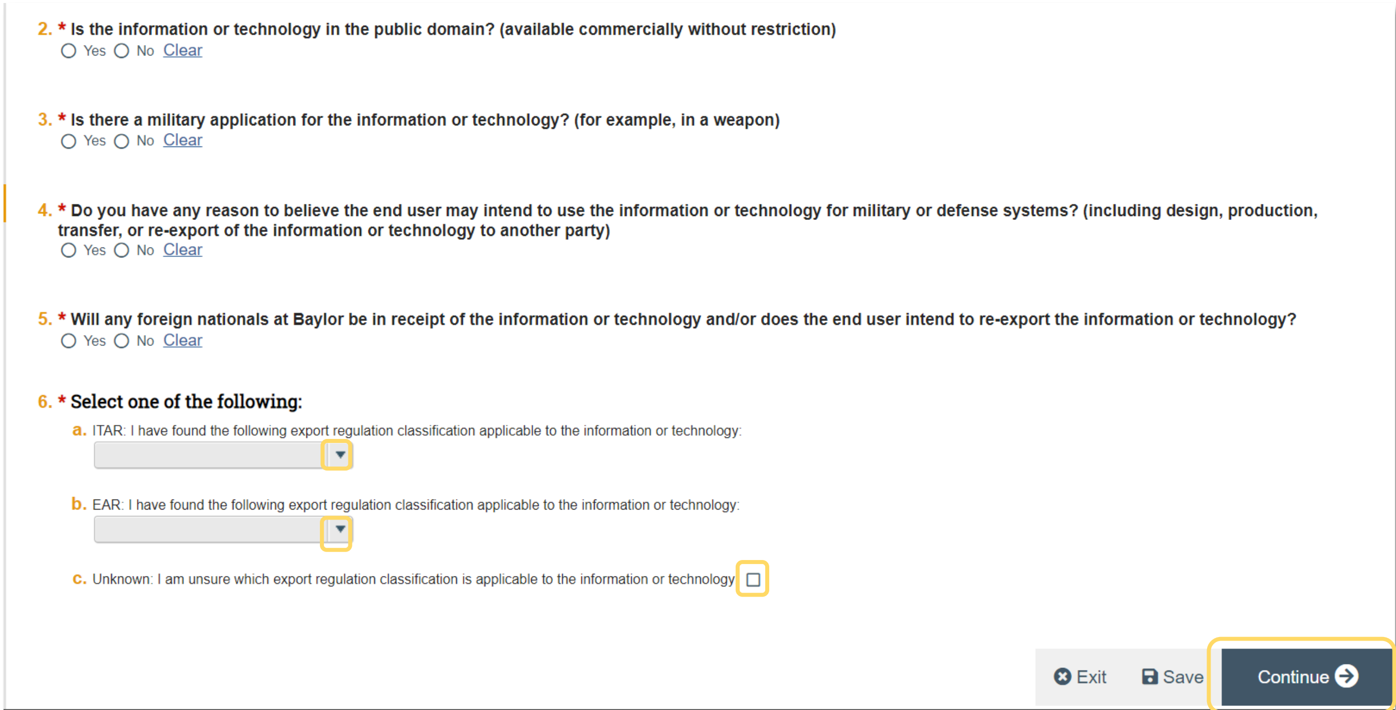
3.2.4 Export Control Page



1. Select 'Yes' or 'No'.

If no, Click 'Continue' to move to the 'Completion Instructions' page.

If yes, the following questions will appear:



2. Public domain: Select 'Yes' or 'No'.

3. Military application: Select 'Yes' or 'No'.

4. Military defense: Select 'Yes' or 'No'.

5. Foreign nationals: Select 'Yes' or 'No'.

6. Select one: For this question, do ONE of the following:

- Select an option from the dropdown in **a**
- Select an option from the dropdown in **b**
- Check the box in **c**

Note: You will receive an error message and be unable to continue if you select more than **one** of the above options.

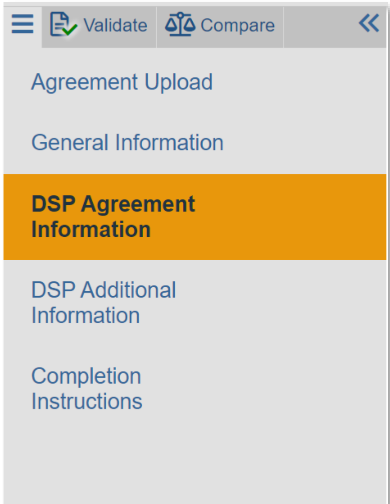
Click 'Continue' to save and move on to the last page.

3.2.5 Completion Instructions

This page is identical to the Completion Instructions page on the universal agreement SmartForms.

See section **2.3 Completion Instructions** *for instructions to complete this page.*

3.3 Data Sharing Plan Branching SmartForms

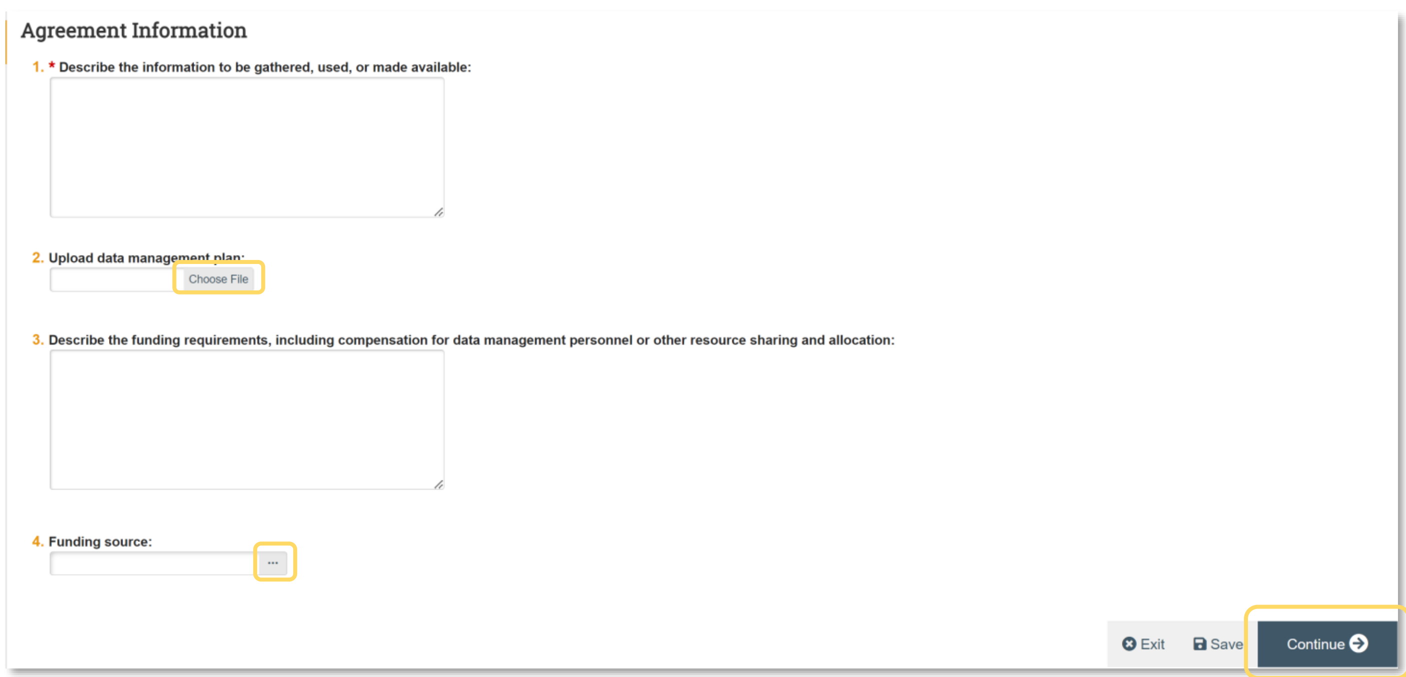


3.3.1 General Information Page

This page is identical to the General Information page on the universal agreement SmartForms.

See section **2.2 General Information SmartForm** *for instructions to complete this page.*

3.3.2 DSP Agreement Information Page



1. Describe the information: Add detailed description provided by PI.

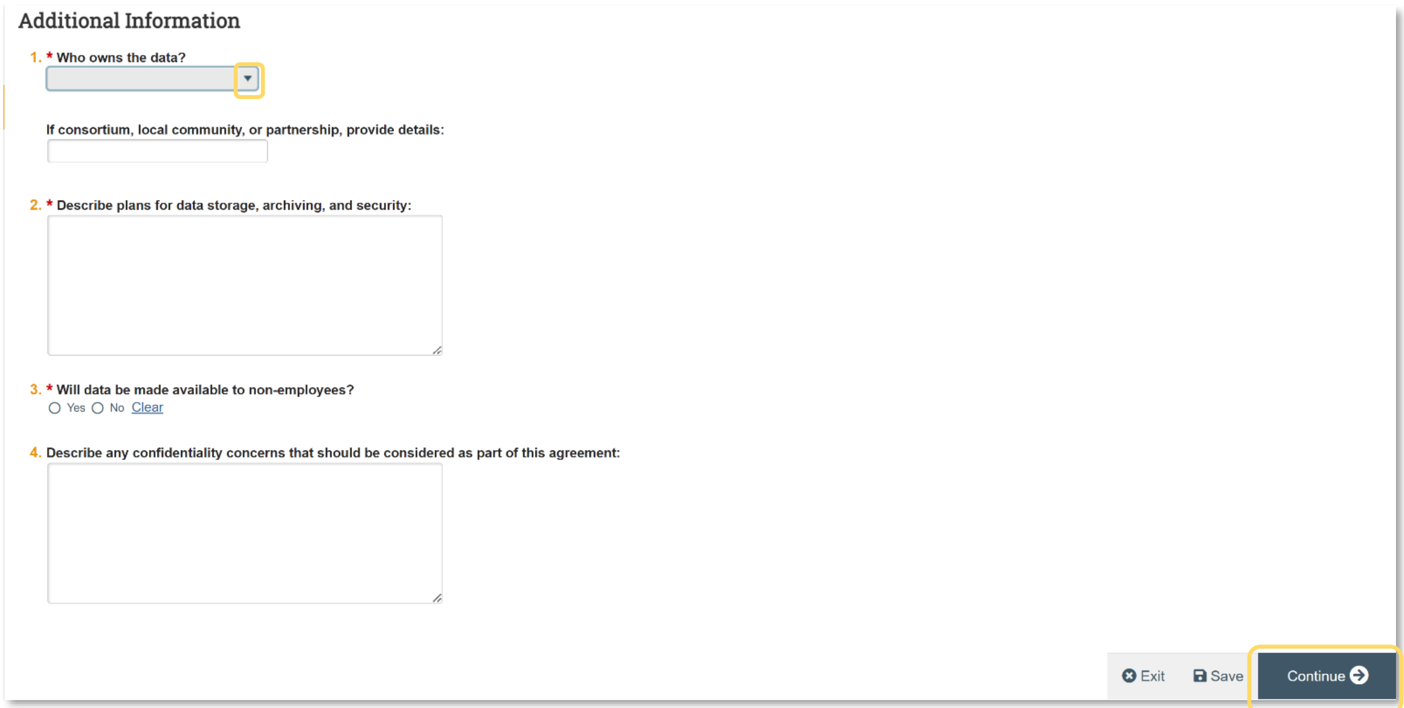
2. Upload data management plan: Upload data management plan provided by PI.

3. Describe funding requirements: Add detailed description provided by PI.

4. Funding source: Select the funding source.

Click 'Continue' to save and move on to the next SmartForm.

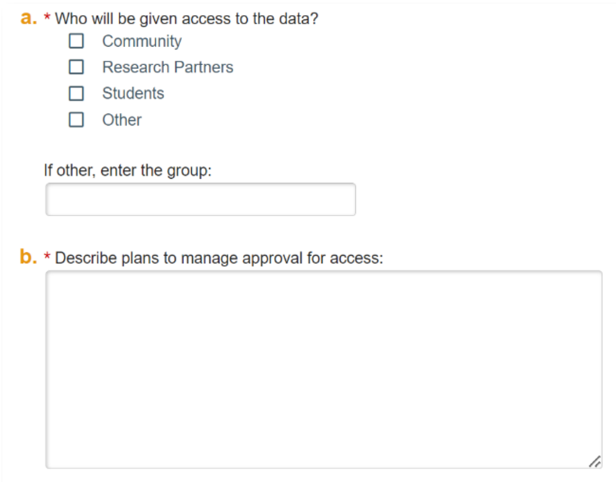
3.3.3 DSP Additional Information Page



1. Data owner: Select the data owner from the options provided: consortium, funder, institution, local company, partnership, or researcher. Provide details if necessary.

2. Describe data storage plans: Add detailed description provided by PI.

3. Data availability: Select 'Yes' or 'No'. If yes, answer the following questions:



a. Access to data: Select one or more options as applicable.

b. Plans: Add detailed description provided by PI

4. Describe concerns: Add detailed description provided by PI.

Click 'Continue' to save and move on to the next SmartForm.

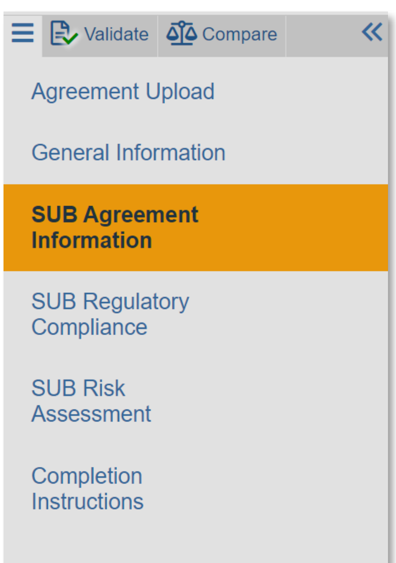
3.2.5 Completion Instructions

This page is identical to the Completion Instructions page on the universal agreement SmartForms.

See section *2.3 Completion Instructions for instructions to complete this page.*

3.4 Outgoing Subaward Branching Forms

Refer to the OVPR procedure for issuing Subawards for additional information.

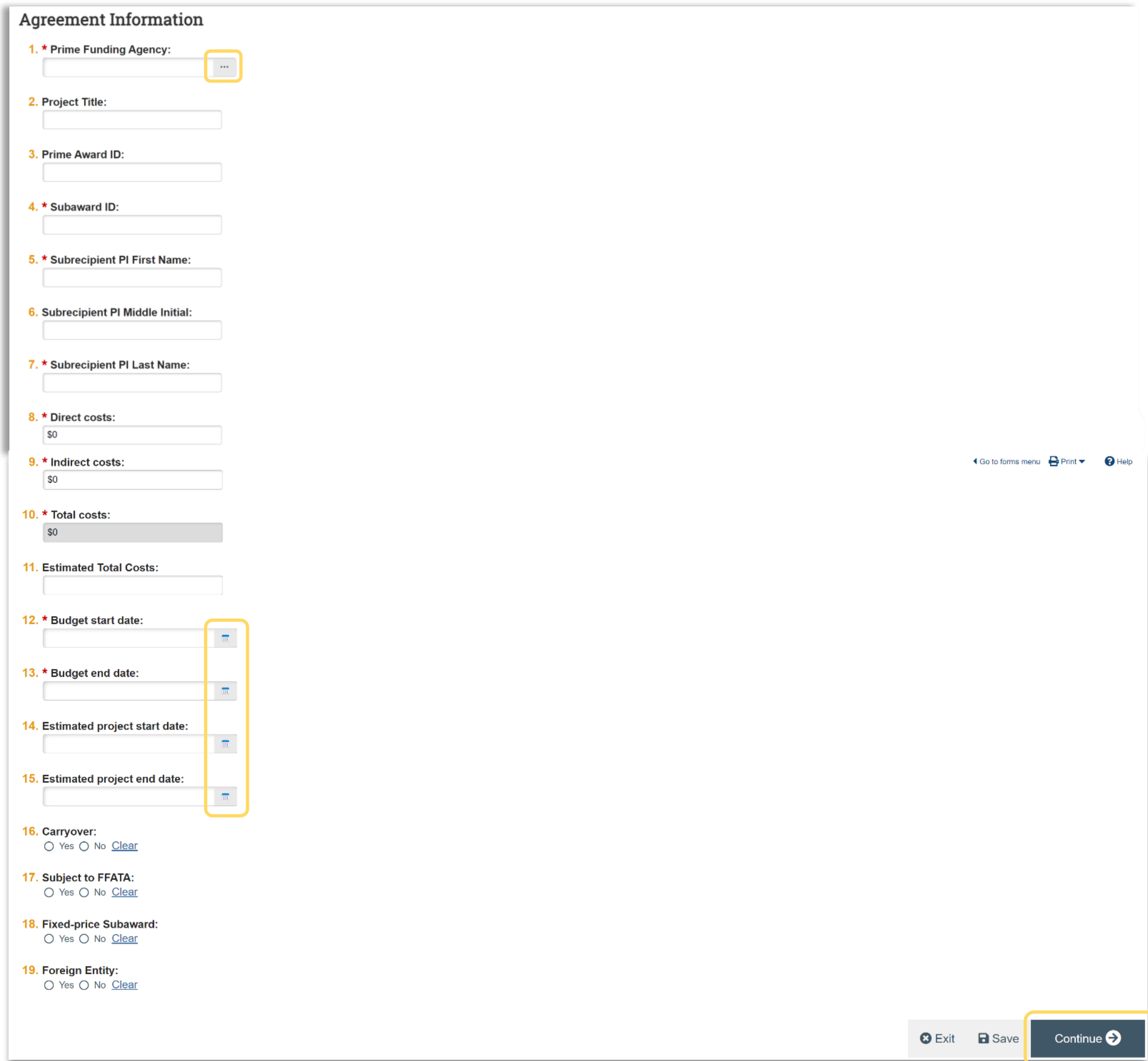


3.4.1 General Information Page

This page is identical to the General Information page on the universal agreement SmartForms.

See section [2.2 General Information SmartForm](#) *for instructions to complete this page.*

3.4.2 SUB Agreement Information Page



1. Prime funding agency: Select the prime funding agency

2. Project title: Use Award title.

3. Prime award ID: Use funding agency award number.

4. Subaward ID: Use Baylor subaward naming convention.

5. Subrecipient PI first name: Type PI's first name. *Note:* This field will be mapped to the Subaward Agreement template.

6. Subrecipient PI middle initial: Add MI if desired.

7. Subrecipient PI last name: Type PI's last name. *Note:* This field will be mapped to the Subaward Agreement template.

8. Direct Costs: Input direct cost amount for this action.

9: Indirect Costs: Input indirect cost amount for this action.

10. Total costs: This field is not editable; it will populate based on the direct and indirect costs inputted in questions **8** and **9**.

11. Estimated total costs: Input the estimated costs for the entire project period.

12. Budget start date: Match to award budget start date.

13. Budget end date: Match to award budget end date.

14. Estimated project start date: Match to award project period start date.

15. Estimated project end date: Match to award project period end date.

16. Carryover: Select 'Yes' or 'No'.

17. FFATA: Select 'Yes' or 'No'.

18. Fixed-price Subaward: Select 'Yes' or 'No'.

19. Foreign Entity: Select 'Yes' or 'No'.

Click 'Continue' to save and move on to the next SmartForm.

3.4.3 SUB Regulatory Compliance Page

1. Human subjects: Select 'Yes' or 'No'.

2. If yes, upload IRB approval.

2. Vertebrate animals: Select 'Yes' or 'No'.

4. If yes, upload IACUC approval.

Click 'Continue' to save and move on to the next SmartForm.

3.4.4 SUB Risk Assessment Page

1. Risk assessment level:

2. Risk assessment form:

3. Subaward commitment form:

4: Audit questionnaire:

Click 'Continue' to save and move on to the next SmartForm.

3.4.5 Completion Instructions

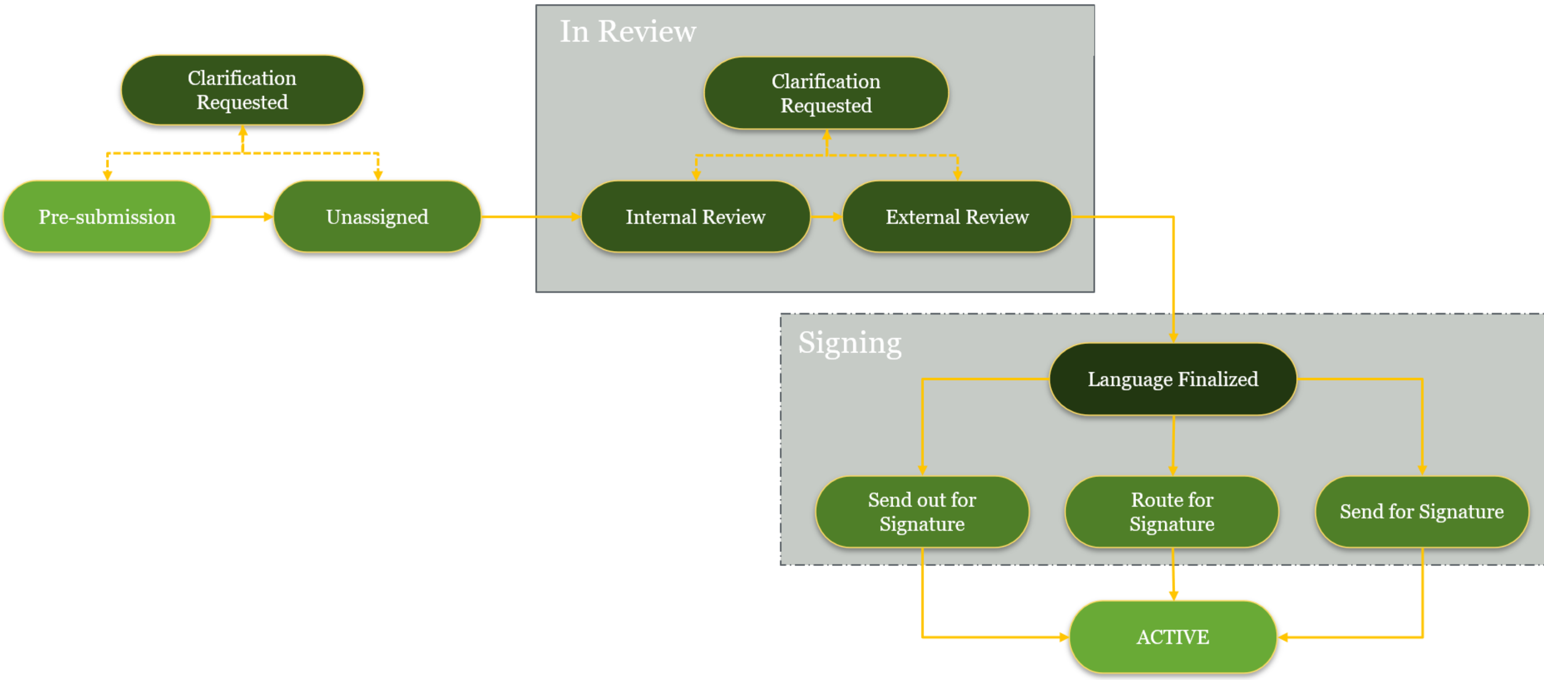
This page is identical to the Completion Instructions page on the universal agreement SmartForms.

See section 2.3 Completion Instructions *for instructions to complete this page.*

4. Agreement Workflow

The Workflow Map bubbles on the Agreements workspace show the major steps the agreement record moves through from the pre-submission phase through activation. The bubble highlighted in orange indicates the current step in the workflow process. Below is an explanation of the basic workflow an agreement will go through to reach the activated state.

Note: See **Agreement Routing and Review** for detailed instructions on how to complete the remaining workflow steps for an agreement.



Workflow State	Explanation
Pre-submission	PI/Agreement Creator is working to complete the SmartForm.
Unassigned	Submitted to Pre-award office, ready to be assigned to Agreement Reviewer.
Clarification Requested	Agreement Reviewer may contact PI for additional information.
Internal Review	Record is being reviewed by OVPR or Subcontract Administrator.
External Review	Agreement has been sent out to subcontracting party for their review. *Note:* Agreement may move back and forth between Internal Review and External Review states multiple times as agreement or contract language is negotiated.
Language Finalized	The agreement language has been finalized and it is ready to move into the signing phase.
Routing for Signature	Internal routing for Baylor signatures.
Send out for Signature	DocuSign
Out for signature	The finalized agreement has been sent out to the contacting party for their signature.
Active	The agreement has been signed by the contracting party as well as by Baylor University, thus it is fully executed. The agreement is active.