

# A GUIDE FOR PRINCIPAL INVESTIGATORS, STAFF AND SCHOOL REVIEWERS AND AUTHORIZERS (APPROVERS)

OFFICE OF RESEARCH SERVICES/DIVISION OF FINANCE/UNIVERSITY OF PENNSYLVANIA

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## Introduction:

This guide is intended to serve as a reference for users of the Research Inventory System—an electronic system for requesting and managing material transfer and other non-monetary agreements (“MTAs/NMAs”). Material transfer agreements are agreements governing the transfer of research materials into or out of Penn. Other non-monetary agreements are research agreements that do not bring funding into Penn (e.g., data use agreements, purchased service agreements, equipment loan agreements).

The system manages the process associated with MTAs/NMAs from the time a researcher or staff member initiates a request for an MTA/NMA through the internal Penn review and approval process, any necessary negotiation and signing of the agreement.

The system is designed for use by the people who submit (request), review & authorize (approve), receive information about, administer and negotiate MTAs/NMAs. A request may be initiated or submitted by a Principal Investigator or a staff member. An individual initiating a request is known as a “Submitter.”

The following chapters explain how to take the actions that a Submitter may take:

[Chapter 1: Creating New Requests:](#)

[Chapter 2: Copy a previously created request into a new request:](#)

[Chapter 3: Amend a previously approved request:](#)

[Chapter 4: Manage Drafts](#)

[Chapter 5: Manage Revisions:](#)

[Chapter 6: View Submitted Requests:](#)

Requests, once initiated by the Submitter, are automatically routed to the next step in the process for authorization (approval) or, in the case of an MTA request initiated and submitted by a Principal Investigator, to the Office of Research Services MTA Administrator for assignment to a negotiator. An individual or office authorizing (approving) a request is known as the “Authorizer”. An Authorizer may be a Principal Investigator (in cases where a staff member initiated the request), and for Non-Monetary agreements other than MTAs, a Department Chair or Center Director and the Dean or Dean’s delegate. In other words, an MTA requires authorization (approval) from the Principal Investigator only while other non-monetary agreements require the Principal Investigator, Department and School approval.

The following chapters explain how to take actions that an Authorizer may take:

[Chapter 5: Manage Revisions:](#)

[Chapter 6: View Submitted Requests:](#)

[Chapter 7: Reviewing and Approving Requests:](#)

[Chapter 8: View the History of Previous Authorizations:](#)

The chapters in this guide are designed to provide complete instructions for common uses of the system.

## Access, Navigation, Common Icons and Special Operations:





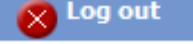




### Logging on to the Research Inventory System:

- Enter <https://medley.isc-seo.upenn.edu/researchInventory/jsp/fast2.do> on your web browser
- Enter your PennKey and PennKey password at the Penn WebLogin window

### Mandatory Entries

Information that is required for the submission is marked with a maroon asterisk \*


### Navigational and other icons used within The Research Inventory System:

|   |          |   |
|---|----------|---|
|    | Previous | Saves the document and moves to the previous tab if no errors are detected on the current tab. Does not appear on the first tab.  |
|    | Next     | Saves the document and advances to the next tab if no errors are detected. Does not appear on the last tab.   |
|    | Save     | Saves/Updates the current draft version of the document. The save occurs even if the current tab contains a validation error.   |
|    | Exit     | Closes the document; documents that are closed are automatically saved.   |
|  | Log Out  | Located in the top toolbar, exits you from the application. Please be sure to save any unsaved work prior to clicking the Log Out button. If you forget to save your work, a draft will be saved; however, it will not include the entries you made in the page on which you were working immediately prior to logging out. |
|  | View     | Allows you to view the request and, on specific pages, displays version and review history and activity information.  |
|  | Edit     | To edit a request, click the [Edit] icon next to the corresponding request.   |
|  | Delete   | To delete a request, click the [Delete] button next to the corresponding draft. Only drafts may be deleted.   |
|  | Help     | Located in the top toolbar, provides page level help  |
| <u>Close(withdraw)</u>  | Close    | To close (withdraw) a request, click the [close (withdraw)] link to the corresponding request. This command removes the request from the approval process. Closed (withdrawn) requests remain available to you for copying to generate new requests.  |

## Outside Party considerations:

A searchable menu of Outside Parties is provided. To locate the Outside Party for your request, begin typing the last name of the Outside Party and click on OK when the correct name appears. If the outside party is not listed in the drop down box, please type and select "UNKNOWN (62527)" in the box that appears. After you have selected "unknown", enter the name of the outside party, a web-site address and the mailing address for verification purposes. Office of Research Services ("ORS") will review the Outside Party and have it added to the comprehensive list maintained by ORS.

## Printer friendly/PDF Creation:

This button appears at the top of the Certifications tab while you are creating the request and on the request history page that is available when you open a request from any list screen using  icon. This allows you to create a page that contains the complete request. From this point, you may print the information or save it as a document (e.g. PDF).

## Saving drafts:

A draft version of each request is automatically created and saved every time you click the Previous, Next or Save button. The draft is automatically moved when the request is submitted to the "My MTA/NMA requests/Requests history" folder

## Sort-able Column Headings:

On pages that display a list of values with column headings, the column heading names may be clicked on to sort the displayed values by that column. Typical column header names include Document ID, Principal Investigator, Outside Party and Document Status

## Tabs:

There are "Tabs" at the top of each page of the request that look like this:



During the request creation process, to navigate backwards, you may click on the tabs at the top of the page or click the previous button. However, to navigate forward in the creation mode, you must use the Next button to advance to the next tab in the sequence. In view mode, the tabs that appear at the top of the page may be viewed in any order by clicking on them.

## Tab colors:

The white colored tab is the tab that is currently open. Light blue colored tabs may be opened by directly clicking on them. Dark blue tabs may only be accessed by clicking the blue "Next" button.

## Warning Sign when a mandatory question is skipped

If a question for which an answer is required is skipped, the system will report an error message on the top of the window, for example:

- **1 invalid entry marked with this icon  requires attention. To see details, click on the icon below. Invalid entry: The designated field is required**

Once the error is corrected, you may proceed to the next tab.

## Chapter 1: Creating New Requests:

### Create a new Request for an MTA:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word here* in the statement, “MATERIALS: If you want to receive/send research material from/to an outside party, click here” OR click the green “Add material” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

### Requests tab:



You are now in the “Requests” tab of the creation process. In this tab you will be asked for information about the material(s) that you wish to send or receive to/from the Outside Party.

This tab contains a base and a variable set of questions. The base set will appear for all material requests and include:

- Are you receiving or are you sending the material?
- Type of material

**Note:** Please select the categories that most closely describe your material. If you are unable to find a category that appropriately describes the material, please use the “Other” category.

- Description of the material
- Proper name
- Common name
- If the selected material is Drugs/Devices/Reagent, you will be asked if this material is being used in a clinical trial; this section describes how to create a request for material that is not being used in a clinical trial. For information regarding how to generate a request for material that is being used in a clinical trial, see [Create a new Request for a Clinical Trial Product Agreement](#):
- Three questions that help EHRS gauge the hazard level of the materials

**Note:** The Office of Environmental Health and Radiation Safety (EHRS) will review all MTA requests. The contact information you provide on the Penn personnel tab will be used in the event that the assigned reviewer needs additional information

When receiving materials you will be asked:

- Whether or not the material may be obtained from a source other than the Outside Party that you will identify on the Outside Party tab

**Note:** This information is helpful background for the ORS Contract Negotiator when working with the negotiator from the Outside Party

When sending materials you will be asked:

- Questions regarding other products e.g., dry ice, solvents, used to ship the materials
- Question related to previous or pending disclosures or licensing arrangements
- Whether or not federal funds were used in the development or generation of the materials being sent
- Whether or not the the material was originally provided to Penn by another Outside Party and, if so, whether an MTA is in place for when Penn received the materials

**Note:** The system will remind you to provide a Material Safety Data Sheet (MSDS) when shipping certain materials. The MSDS may be uploaded wherever submitted uploads are performed.

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “*Penn Personnel*” tab.



## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the materials specified on the Requests tab will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Will the materials be modified?
- c) Will the materials be used with other materials?
- d) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- e) What is the likelihood of an invention resulting from the research?
- f) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the materials or receive the materials from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step (a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) Country of origin (applies to receiving only) - please use this section to identify the country of origin for the materials when they are coming from a country other than the country identified for the Outside Party in section (c) above
- e) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new Request for a Clinical Trial Product Agreement:

**Note:** Use this request when receiving product or device and no funding from an Outside Party. Clinical trials that are funded by an Outside Party are submitted via Penn ERA  
<https://www.pennera.upenn.edu/>

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word* here in the statement, “MATERIALS: If you want to receive/send research material from/to an outside party, click here” OR click the green “Add material” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

### Requests tab:

|          |                |          |               |                |
|----------|----------------|----------|---------------|----------------|
| Requests | Penn personnel | Research | Outside party | Certifications |
|----------|----------------|----------|---------------|----------------|

You are now in the “Requests” tab of the creation process. In this tab you will be asked for information about the material(s) that you wish to send or receive to/from the Outside Party.

This tab contains a base and a variable set of questions. The base set will appear for all Clinical trial requests and include:

- Are you receiving or are you sending the material- select Receiving
- Type of material - select Drugs/Devices/Reagents

**Note:** Please select the categories that most closely describe the Drugs/Devices/Reagents. If you are unable to find a category that appropriately describes the Drugs/Devices/Reagents , please use the “Other” category.

- Description of the material
- Proper name
- Common name
- Is the selected material material is being used in a clinical trial?
- Three questions that help EHRS gauge the hazard level of the materials

**Note:** The Office of Environmental Health and Radiation Safety (EHRS) will review all MTA requests. The contact information you provide on the Penn personnel tab will be used in the event that the assigned reviewer needs additional information

When receiving materials you will be asked:

- Whether or not the material may be obtained from a source other than the Outside Party that you will identify on the Outside Party tab

**Note:** This information is helpful background for the ORS Contract Negotiator when working with the negotiator from the Outside Party

When sending materials you will be asked:

- Questions regarding other products e.g., dry ice, solvents, used to ship the materials
- Question related to previous or pending disclosures or licensing arrangements
- Whether or not federal funds were used in the development or generation of the materials being sent
- Whether or not the the material was originally provided to Penn by another Outside Party and, if so, whether an MTA is in place for when Penn received the materials

**Note:** The system will remind you to provide a Material Safety Data Sheet (MSDS) when shipping certain materials. The MSDS may be uploaded wherever submitted uploads are performed.

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “*Penn Personnel*” tab.

## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the materials specified on the Requests tab will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Who wrote the protocol?
- c) Has the protocol been submitted to IRB?
- d) Are your requests (materials, data, equipment, confidential information , services and/or collaboration) related or connected to a sponsored research agreement (SRA), a clinical trial agreement (CTA), a government or grant funded project, or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- e) What is the likelihood of an invention resulting from the research?
- f) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.



## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the materials or receive the materials for the Clinical Trial. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) Country of origin (applies to receiving only) - please use this section to identify the country of origin for the materials when they are coming from a country other than the country identified for the Outside Party in section c) above
- e) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new request for a Data Use Agreement:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word here* in the statement, “DATA: If you want to receive/send data for research from/to an outside party, click here” OR click the green “Add data” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

## Requests tab:

|          |                |          |               |                |
|----------|----------------|----------|---------------|----------------|
| Requests | Penn personnel | Research | Outside party | Certifications |
|----------|----------------|----------|---------------|----------------|

You are now in the “Requests” tab of the creation process. In this tab you will be asked for information about the data that you wish to send or receive to/from the Outside Party.

This tab contains a base and a variable set of questions. The base set will appear for all data requests and include:

- Are you receiving or are you sending the data?
- Type of data

**Note:** Please select the category that most closely describe your data. If you are unable to find a category that appropriately describes the data, please use the “Other” category.

- Description of the data
- Depending on the type of data involved you may be asked one additional question in an attempt to further classify the data
- Whether or not the data may be obtained from a source other than the Outside Party that you will identify on the Outside Party tab

**Note:** This information is helpful background for the ORS Contract Negotiator when working with the negotiator from the Outside Party

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “Penn Personnel” tab.

## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the research associated with the information specified on the Requests tab and how it will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- c) What is the likelihood of an invention resulting from the research?
- d) Is the research related to any of your previous or pending disclosures of inventions?

The following question and related answer will help determine if assistance may/will be needed from the Export Control Group:

- e) Are you aware of any restrictions on the use of the data?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the materials or receive the materials from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) – Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn Personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step (a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new request for a Collaborative Research Agreement:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word here* in the statement, “COLLABORATIVE RESEARCH: If you want to engage in collaborative research with an outside party, click here” OR click the green “Add collaborative research” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

### Requests tab:

|          |                |          |               |                |
|----------|----------------|----------|---------------|----------------|
| Requests | Penn personnel | Research | Outside party | Certifications |
|----------|----------------|----------|---------------|----------------|

You are now in the “Requests” tab of the creation process. In this tab you will be asked to provide a brief description of the collaboration, including a description of the intellectual contributions expected from each party entering into the agreement.

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “Penn Personnel” tab.



## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the research associated with the information specified on the Requests tab and how it will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For request for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- c) What is the likelihood of an invention resulting from the research?
- d) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the materials or receive the materials from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new request for an Equipment Loan Agreement:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word here* in the statement, “EQUIPMENT: If you want to receive/send loaned equipment from/to an outside party, click here” OR click the green “Add loan equipment” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

### Requests tab:

|          |                |          |               |                |
|----------|----------------|----------|---------------|----------------|
| Requests | Penn personnel | Research | Outside party | Certifications |
|----------|----------------|----------|---------------|----------------|

You are now in the “Requests” tab of the creation process. In this tab you will be asked for information about the equipment that you wish to send or receive to/from the Outside Party.

- Are you receiving or are you sending the equipment?
- Type of equipment
- Brief description of the equipment
- Whether or not the equipment may be obtained from a source other than the Outside Party that you will identify on the Outside Party tab

**Note:** This information is helpful background for the ORS Contract Negotiator when working with the negotiator from the Outside Party

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “Penn Personnel” tab.

## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the research associated with the information specified on the Requests tab and how it will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- c) What is the likelihood of an invention resulting from the research?
- d) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the materials or receive the materials from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step (a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) Country of origin (applies to receiving only) - please use this section to identify the country of origin for the materials when they are coming from a country other than the country identified for the Outside Party in Section (c) above
- e) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.



## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new request for a Confidential Information Agreement:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click New request
4. Click *the word here* in the statement, “INFORMATION: If you want to receive/send confidential information from/to an outside party, click here” OR click the green “Add confidential information” button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your “Manage drafts” section.

### Requests tab:



You are now in the “Requests” tab of the creation process.

The following information is required in order to complete this tab:

- Are you receiving, sending or both receiving and sending the information?
- A brief description of the objectives and planned discussions
- The type of confidential information - select from the available options or choose Other/Specify

**Important:** Before clicking the blue “Next” button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green “Add” buttons before clicking “Next”.

Click the “Next” button to go to the “Penn Personnel” tab.

## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Research tab:

In this tab you will be asked for information about how the research associated with the information specified on the Requests tab and how it will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- c) What is the likelihood of an invention resulting from the research?
- d) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to send the confidential information or receive the confidential information from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step (a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Create a new request for a Services Agreement:

**Note:** Use this request for purchasing services for research. When Penn is providing services in connection with research and the funding is coming into Penn, the request for an agreement generally is submitted via Penn ERA <https://www.pennera.upenn.edu/> If you aren't certain how to submit a request for an agreement for services to be provided by Penn, please contact the Office of Research Services -Heather Lewis, Director, Pre-Award for services in connection with projects funded by public or foundation sources; or Kathryn Steinbugler, Director, Corporate Contracts, for services in connection with projects funded by for-profit companies.

1. Click "My MTA/NMA requests" on the left menu to display the available options
2. Click "Create/amend request"
3. Click New request
4. Click *the word* here in the statement, "SERVICES: If you want to receive service from an outside party, click here" OR click the green "Add services" button at the bottom of the page

**Note:** At this point in the process you have begun the request creation process. If you stop before submitting this request, when you return to the system, you will find this document in your "Manage drafts" section.

### Requests tab:

|          |                |          |               |                |
|----------|----------------|----------|---------------|----------------|
| Requests | Penn personnel | Research | Outside party | Certifications |
|----------|----------------|----------|---------------|----------------|

You are now in the "Requests" tab of the creation process.

The following information is required in order to complete this tab:

- The type of service that you are receiving - select from the available options or choose Other/Specify
- A brief description of the services being provided
- Whether or not the services may be obtained from a source other than the Outside Party that you will identify on the Outside Party tab

**Note:** This information is helpful background for the ORS Contract Negotiator when working with the negotiator from the Outside Party

**Important:** Before clicking the blue "Next" button to move to the next tab, you may add additional materials or other non-monetary components to this same request provided that they all relate to the same Research and Outside Party. If you wish to add another component, please click on any of the green "Add" buttons before clicking "Next".

Click the "Next" button to go to the "Penn Personnel" tab.

## Penn personnel tab:

In this tab you will be asked for information about the Penn people who are associated with this request. The home department for the Principal Investigator is automatically listed. This listing determines the routing path for approval of the request. When the approver for a request is someone other than the Department Chair, the submitter needs to select the appropriate individual in order to override the default listing provided. See Section (d) below for detailed directions for overriding the default listing.



- a) Principal Investigator (required) - Select the Principal Investigator (PI) by clicking the green “Select” button. Start typing the letters in the PI’s last name and, if necessary, continue typing with a space between their last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.
- b) Alternate Contacts (optional but highly recommended) - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator for as many Alternate Contacts as you wish.

**Note:** Alternate Contacts are useful in the cases where the PI may not be reached. Alternate Contacts are automatically granted edit access to the request while the request is in draft mode (i.e., has not been submitted) and may view all submitted documents. They will also be included on all system generated email notifications related to the specific document.

- c) Business Administrator (required for all non-monetary agreements; always recommended) - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator. For purposes of clarity, the addition of the BA is for purposes of ensuring that the BA receives communications generated by the system regarding the status of the agreement; the BA is not required to approve the request.
- d) Department (required and automatically lists the home department associated with the PI) - The selected department is used to identify the department and school level approvers, when applicable, for non-monetary agreements.

**Note:** As mentioned above in Section (d), the system automatically lists the Principal Investigator’s home department (and not any Center or Institute with which the Principal Investigator may be associated or where a PI’s research is administered). For example, if the PI is associated with the Center for Clinical Epidemiology & Biostatistics, (“CCEB”), the system automatically lists the home department of the PI, not CCEB. The home department or Center listed for the PI in the system determines the routing path for the request.

Therefore, if the approver of a request is the Director of a Center or Institute with which the PI is associated or where a PI’s research is administered, then you **must** change the default listing of the PI’s department and identify the Center or Institute for approval of the request. Otherwise, the request will be routed to the home Department Chair or his or her delegate in error.

Click the blue “Next” button when you have completed this tab and want to move to the next one.



## Research tab:

In this tab you will be asked for information about how the research associated with the information specified on the Requests tab and how it will be used in your project.



All of the questions presented on this tab must be answered and in general, a “yes” answer will result in at least one additional follow up question:

- a) Description of research - A description is required either in the provided text box or by uploading a copy of the related research plan. For requests for a clinical trial product agreement, a protocol, protocol summary or informed consent document is required (drafts acceptable) and should be uploaded here.
- b) Is this request related to a sponsored research agreement, clinical trial agreement, grant funded project or will it be charged to a fund?

**Note:** A “yes” answer to this question will provide the user with the ability to connect this request to a proposal in PennERA. If the proposal has not been created yet, please use the available text box to provide information related to the source of funding.

The following questions and related answers will help determine if assistance may/will be needed from the Center for Technology Transfer:

- c) What is the likelihood of an invention resulting from the research?
- d) Is the research related to any of your previous or pending disclosures of inventions?

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Outside Party tab:

In this tab you will be asked for information regarding the Party to whom you intend to provide services to or receive services from. This information is critical in enabling the communication process between Penn and this entity.



- a) Outside Party (required) - Click the green “Select” button to select the Outside Party from the list of providers from PennERA. Similar to the selection list for Penn personnel, begin typing the name of the sponsor and then click on the name when it appears in the list. Once selected, click “Ok” to add it to the request

**Note:** See “Outside Party considerations” in the [Access, Navigation, Common Icons and Special Operations Chapter](#) for what to do when the Outside Party is not found in the selection list.

Type of outside party (required) - This value will be automatically supplied if you selected the outside party from the list provided as described in Step (a) above. If you select "UNKNOWN (62527)", the system will provide a short list of values (e.g., not-for-profit, for-profit, don't know) from which to choose from

- b) Outside Party location and address (required)
- c) Outside Party contact people (required) - at least one contact is required from the Outside Party but you may enter as many contacts as you wish by clicking the green “Add contact person” button
- d) External third party agreement (optional) - if the Outside Party has provided a template, sample or other document that they would like to use as a starting point for the contract, please upload it using the green “Upload third party agreement” button

Click the blue “Next” button when you have completed this tab and want to move to the next one.

## Certifications tab:



In this tab you will be asked for the following information:

- a) Provide any other information that you feel would be helpful to the people working on your behalf to put an agreement in place to protect your interests
- b) Conflict of Interest (required when the question is presented) - Based on the content of the request, you will be presented with a statement regarding whether a potential conflict of interest exists for anyone associated with this request; a “Yes” or “No” answer is required
- c) Participation Agreement (required) - Certification that everyone associated with this request has completed a Participation Agreement
- d) Overall Certification (required) - Clicking the green “I accept” button, certifies that the information entered on this request is complete and accurate to the best of your knowledge and submits the request

Upon successful submission, the system will return the following message:

Request has been submitted

Document ID: [Number associated with request/number of revisions and amendments]

Principal Investigator: [Name of Principal Investigator]

Routing state: [Identification of the next step in the process]

**Note:** If the Submitter is not the PI, then the PI will be notified via email that this request requires their approval. Instructions for reviewing/approving this request are provided in [Chapter 7: Reviewing and Approving Requests](#). Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).


## Chapter 2: Copy a previously created request into a new request:

Previous requests may be copied into a new request to further simplify the request creation process. The request being copied may be in any status. Requests for which you were the Creator, Submitter, PI or were listed as an Alternate Contact are available for you to copy.

To copy a request:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click [Copy existing request](#)
4. A list of requests available for copying will be presented

**Note:** You may sort the list of copy-able requests by clicking on the column names. See [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter

5. Click the Edit icon () to select the request you wish to copy
6. A **new request will be automatically created for copying** using the information from the request selected in the previous step. Simply follow the steps outlined in [Chapter 1: Creating New Requests](#): based on the type of request you wish to create

**Note:** Since this is a new request, a new Document ID will be assigned (e.g. XXXX/00). See [Chapter 9: Definitions](#): for further information on the format of the Document ID


## Chapter 3: Amend a previously approved request:

Amendments are used for minor changes to a previously completed agreement. Significant changes, such as the addition of an entirely new research plan, generally require a new agreement.

To amend a request:

1. Click “My MTA/NMA requests” on the left menu to display the available options
2. Click “Create/amend request”
3. Click [Amendment](#)
4. A list of requests available to be amended will be presented

**Note:** You may sort the list of amendable requests by clicking on the column names. See [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter

5. Click the Edit icon () to select the request you wish to amend
6. A **new request will be automatically created for amending** using the information from the request selected in the previous step. Simply follow the steps outlined in [Chapter 1: Creating New Requests](#): based on the type of request you wish to create

**Note:** The amendment will be assigned the same base Document Id as the original request. The version number (the last two digits) will be increased by one (e.g. XXXX/01 is the number that will be assigned to an amendment of an agreement that was made in response to request XXXX/00). See [Chapter 9: Definitions](#): for further information on the format of the Document ID

## Chapter 4: Manage Drafts


The Manage drafts folder (“MTA/NMA requests/Manage drafts”) contains requests that have been started and have not yet been submitted for PI, department, school or ORS review.

Requests may be located by using the filters available at the top of the page (see [Chapter 10: Using filters to find requests or narrow results sets](#)) or by sorting the list of requests by the column headers (see [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter).


Three functions are available for each draft that appears in the list:

- You may permanently delete the draft
- You may continue editing the request for submission
- You may view the current list of review activities that have already taken place


### Delete a draft:

Click the Delete  icon associated with the draft. A confirmation message will appear before the draft is deleted. Clicking “Ok” to the confirmation message will permanently delete the draft.

### Edit a draft:

Click the Edit  icon to select the draft for editing. The document will be opened beginning with the “Requests tab.” Follow the steps outlined in [Chapter 1: Creating New Requests](#): based on the type of request you wish to create.

### View the review activities associated with the request:

Click the View  icon to select the draft for viewing. No editing is possible in the view mode. The following sections related to the individual request will be displayed:

- **Request history:**
  - Lists all versions of the document - initial version plus all revisions and amendments.
  - You may click the **View** button under the highlighted request to display the contents of the request. By default, the most recent version will be displayed.
  - You may click the underlined document then click **View** button to display the contents any other version (e.g. a revision or an amendment) if any exist
- **Activity History:**
  - Shows any activities that have been performed by Research Administration personnel. This includes the status of the negotiation and internal reviews; click the blue **Show activities** button under Activity History to see the recorded activities. Only in unusual situations will there be activities for a draft request.

- **Department review history:**
  - Shows whether the request has been reviewed by the PI, department and school, if necessary, and, if so, the action they took and the date/time that they performed their action
  - Drafts will not have any departmental review history
  
- **Reviewer documents:**
  - If any of the reviewers uploaded a document during the review process, the document will be listed here; click the underlined document to view it
  
- **Negotiator documents:**
  - If the Negotiator uploaded any documents during the negotiation process, the document will be listed here; click the underlined document to view it

You may return to the list of drafts by clicking the blue “Back to Submission List” button that appears at the top-right of the page.

## Chapter 5: Manage Revisions:


The Manage revisions folder (“MTA/NMA requests / Manage revisions”) contains requests that have been submitted for review but have been returned to the submitter for correction of essential information. The reason(s) the request has been returned is included in the email notification sent to the Submitter, PI and the Alternate Contact(s).

Revisions may be located using the filters available at the top of the page (see [Chapter 10: Using filters to find requests or narrow search results](#)) or by sorting the list of requests by the column headers (see [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter).


Three functions are available for each revision that appears in the list:

- You may edit the revision to make the requested updates/changes
- You may view the current list of review activities that have already taken place
- You may withdraw/close the request if it is no longer needed; a withdrawn/closed request may be resubmitted at any time by copying the request and resubmitting it

### Edit a revision:

Click the Edit  icon to select the revision for editing. The document will be opened for editing beginning with the “Requests tab.” Follow the steps outlined in [Chapter 1: Creating New Requests](#): based on the type of request you wish to create to locate the tab(s) where the change(s) is to be made. Apply the changes and submit the request again by clicking the green “I accept” button that appears on the Certifications tab.

### View the review activities associated with the request:

Click the View  icon associated with the desired revision. No editing is possible in the view mode. The following sections related to the individual request will be displayed:

- **Request history:**
  - Lists all versions (initial plus all revisions and amendments) related to this document
  - You may click the **View** button under the highlighted request to display the contents of the request. By default, the most recent version is displayed.
  - You may click the underlined document then click **View** button to display the contents any other version (e.g. a revision or an amendment) if any exist
- **Activity History:**
  - Shows all activities that have been performed by Research Administration personnel. This includes the status of the negotiation and internal reviews; click the blue **Show activities** button under Activity History to see the recorded activities
- **Department review history:**
  - Shows whether the request has been reviewed by the PI, department and school, if necessary, and, if so, the action they took and the date/time that they performed their action

- **Reviewer documents:**
  - If any of the reviewers uploaded a document during the review process, the document will be listed here; click the underlined document to view it
  
- **Negotiator documents:**
  - If the Negotiator uploaded any documents during the negotiation process, the document will be listed here; click the underlined document to view it

You may return to the list of revisions by clicking the blue “**Back to Submission List**” button that appears at the top-right of the page.

### **Close/Withdraw a revision:**

Closing a revision will cause all activities, including any negotiation, to stop. To Close/Withdraw a revision click the **close (withdraw)** link associated with the revision. A confirmation message will appear before the revision is closed.


Clicking “Ok” to the confirmation message will permanently close the request however; it may be copied to create a new request if it is needed in the future. See [Chapter 2: Copy a previously created request into a new request](#): A closed request may be found under the “My MTA/NMA requests / Requests history” menu item.



## Chapter 6: View Submitted Requests:

The Requests history folder (“MTA/NMA requests / Requests history”) contains a list of all requests that you submitted or for which you were named as the PI or the Alternate Contact and have been submitted using this system. The list presented will show only the most recent version of the request (or, when the most recent document is a revision or amendment) however; prior versions may also be viewed. Submitted requests may be easily located using the filters available at the top of the page (see [Chapter 10: Using filters to find requests or narrow results sets](#)) or by sorting the list of requests by the column headers (see [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter). Requests submitted within the previous 90 days will appear in the “Recent” folder and all requests will appear in the “All” folder.

### Viewing a request, including its history and submitted documents:

Click the View  icon to select the request you wish to view. No editing is possible in the view mode. The following sections related to the individual request will be displayed:

- **Request history:**
  - Lists all versions (initial version plus all revisions and amendments) related to this document
  - You may click the **View** button under the highlighted request to display the contents of the request. By default, the most recent version is displayed
  - You may click the underlined document then click **View** button to display the contents any other version (e.g. a revision or an amendment) if any exist
- **Activity History:**
  - Shows all activities that have been performed by Research Administration personnel. This includes the status of the negotiation and internal reviews; click the blue **Show activities** button under Activity History to see the recorded activities
- **Department review history:**
  - Shows whether the request has been reviewed by the PI, department and school, if necessary, and, if so, the action they took and the date/time that they performed their action
- **Reviewer documents:**
  - If any of the reviewers uploaded a document during the review process, the document will be listed here; click the underlined document to view it
- **Negotiator documents:**
  - If the Negotiator uploaded any documents during the negotiation process, the document will be listed here; click the underlined document to view it


You may return to the list of submitted requests by clicking the blue “**Back to Submission List**” button that appears at the top-right of the page.

## Chapter 7: Reviewing and Approving Requests:

To review and take action on a request that has been submitted to you as the Principal Investigator, Department Chair or Dean:

1. Click “My authorizations” on the left menu to display the available options
2. Click “Pending MTA/NMA approvals”
3. A list of requests waiting for approval is presented

**Note:** Requests pending your approval may be located by using the filters available at the top of the page (see [Chapter 10: Using filters to find requests or narrow results sets](#)). You may also sort the list of requests by clicking on the column names. See [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter.

4. Click the View  icon associated with the request that you wish to review
5. Click the blue **View** button that appears under “**Request history**” to open the request and review it tab-by-tab or click the blue **Printer friendly** button that appears at the top-right portion of the page to view the entire request on one page and print, if required
6. When your review is complete click the blue **Submit a decision** button that appears under “**Request history**”
7. The system will open the request directly to the Certifications tab
  - a. The PI, department and school level approvers will see the following two actions:
    - i. Click the **I accept and approve** button to approve the request
    - ii. Click the **Reject** button to send the request back to the Submitter for changes
  - b. The PI and other authorizers will have one additional choice for an action:
    - i. Click the **Edit** button to open the request for edit to make changes.
    - ii. Edit allows the PI to go back and change any of the five sections of the request, i.e., Request section, Penn Personnel, Research, Outside Party or Certification
    - iii. The PI will then be given the option to authorize (approve) the edited version of the request


Approving the request will move it to the next step in the approval process. See [Chapter 9: Routing](#).

## Chapter 8: View the history of previous authorizations (approvals):

The View history folder (“My authorizations / View history”) contains a list of all requests that you reviewed and on which you have acted (i.e. submitted a decision).

Previous authorizations may be easily located using the filters available at the top of the page (see [Chapter 10: Using filters to find requests or narrow results sets](#)) or by sorting the list of requests by the column headers (see [Sort-able Column Headings](#): in the Access, Navigation, Common Icons and Special Operations Chapter). Requests submitted within the previous 90 days will appear in the “Recent” folder and all requests will appear in the “All” folder.

### Viewing a request, including its history and submitted documents:

Click the View  icon to select the request you wish to view. No editing is possible in the view mode. The Department review history section shows whether the PI submitted the request and, if not, what action he or she took when asked to review and approve it. This same section also indicates whether or not department and school level review and approval have been requested and performed.

- **Request history:**
  - Lists all versions (initial version plus all revisions and amendments) related to this document
  - You may click the **View** button under the highlighted request to display the contents of the request. By default, the most recent version is pre-selected
  - You may click the underlined document then click **View** button to display the contents any other version (e.g. a revision or an amendment) if any exist
  
- **Activity History:**
  - Shows all activities that have been performed by Research Administration personnel. This includes the status of the negotiation and internal reviews; click the blue **Show activities** button under Activity History to see the recorded activities
  
- **Department review history:**
  - Shows whether the request has been reviewed by the PI, department and school, if necessary and if so, the action they took and the date/time that they performed their action
  
- **Reviewer documents:**
  - If any of the reviewers uploaded a document during the review process, the document will be listed here; click the underlined document to view it
  
- **Negotiator documents:**
  - If the Negotiator uploaded any documents during the negotiation process, the document will be listed here; click the underlined document to view it

You may return to the list of submitted requests by clicking the blue “**Back to Submission List**” button that appears at the top-right of the page.

## Chapter 9: Routing:

The following chart describes the review and approval steps for each request type:

| Document Type  | PI             | BA | Clinical Trial Coordinator | Dept and School Level Approver | ORS Corporate Contracts | EHRS | Stem Cell Committee | COI | CTT | Export Control |
|--|----------------|----|----------------------------|--------------------------------|-------------------------|------|---------------------|-----|-----|----------------|
| Collaborative Research Agreement                     | A <sup>1</sup> | B1 | N/A                        | A                              | A                       | N/A  | N/A                 | C   | O   | O              |
| Data Use Agreement                                   | A <sup>1</sup> | B1 | N/A                        | A                              | A                       | N/A  | N/A                 | C   | O   | O              |
| Equipment Loan Agreement                             | A <sup>1</sup> | B1 | N/A                        | A                              | A                       | N/A  | N/A                 | C   | O   | O              |
| Material Transfer Agreement (with clinical trial)    | A <sup>1</sup> | B1 | B1                         | A                              | A                       | A    | N/A                 | C   | O   | O              |
| Material Transfer Agreement (without clinical trial) | A <sup>1</sup> | B2 | N/A                        | N/A                            | A                       | A    | C                   | C   | O   | O              |
| Non-Disclosure / Confidentiality Agreement           | A <sup>1</sup> | B2 | N/A                        | N/A                            | A                       | N/A  | N/A                 | C   | O   | O              |
| Services Agreement                                   | A <sup>1</sup> | B1 | N/A                        | A                              | A                       | N/A  | N/A                 | C   | O   | O              |

<sup>1</sup> – The PI review and approval step will be bypassed when the PI is also the Submitter

### Legend:

A = Review and Approval is required. Reviewer will be notified via email when a request is sent to them

B1= Information Only. Request may be accessed via the system and alerted via email notification

B2= Information Only. Request may be accessed via the system however, no email notification is sent

C = Review and Approval is determined based on the content of the request

O = ORS Contracts Group determines if review and approval is needed and acts accordingly

N/A = No action is needed however, ORS Corporate Contracts may manually assign the request

**Note:** Submissions returned by ORS Corporate Contracts for additional information will bypass school approval when resubmitted.

**Note:** One request may include more than one activity (e.g., material transfer and collaborative research). Such a request will be routed so as to meet the approval requirements for all aspects of the request.

## Chapter 10: Definitions:

| <u>Term</u>                             | <u>Definition</u>   |
|---|---|
| <b>Amendment</b>                        | A change requested for a previously completed request; amendments are appropriate for minor changes—e.g., the addition of a new material in a material transfers agreement.   |
| <b>Agreement</b>                        | Document that specifies an arrangement between two or more parties regarding a course of action; to be legally enforceable, an agreement must include consideration (i.e., an exchange of value between or among the parties).  |
| <b>CDA</b>                              | See Confidential Disclosure Agreement. See also Non-Disclosure Agreement (“NDA”)  |
| <b>Clinical trial product agreement</b> | An agreement providing for a product or device to be evaluated in a clinical trial but not providing any funding.   |
| <b>Clinical trial product agreement</b> | An agreement providing for a product or device to be evaluated in a clinical trial but not providing any funding.   |
| <b>Collaborative Research</b>           | Research conducted by two or more parties, to which each party makes an intellectual contribution.  |
| <b>Collaborative Research Agreement</b> | Agreements under which two or more parties conduct collaborative research; <b><i>in a genuine collaboration</i></b> , both parties make intellectual contributions to the research. Typical terms include a description of the role of each party and provisions for sharing responsibility for publications and ownership of any jointly-developed inventions; also, a budget and payment plan are included when the research is funded by one of the parties (some collaborative research projects involve no outside funding). |

| <b><u>Term</u></b>  | <b><u>Definition</u></b>  |
|---|---|
| <p><b>Document ID (base number/version number)</b></p> <p>The initial request is assigned a version number of 00. Each revision and amendment increments the version number by one.</p> | <p>A unique value assigned to each request.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>• 1000/00 is document #1000 – initial version</li> <li>• 2020/02 is document #2020 version 02 (means that 2 revisions or 2 amendments or one of each has been created for document 2020)</li> </ul>                                      |
| <b>Equipment</b>  | An item kept, furnished or provided for a specific or general purpose.  |
| <b>Equipment Loan Agreement</b>   | An agreement specifying the terms and conditions under which a piece of equipment is loaned; typical terms include the purpose for which the equipment is loaned (e.g., research, evaluation for purpose), responsibility for loss, damage, repair and maintenance, duration of the loan, mechanism for returning equipment at the end of the loan. |
| <b>Fully Executed</b>   | A status that means that the requested agreement has been signed by all necessary parties.  |
| <b>Headings</b>   | The titles or captions at the top of the columns in a table displayed in, e.g., Manage drafts, Manage revisions, Pending MTA/NMA approvals, Request History   |
| <b>Loan</b>   | The grant of a temporary use of something   |
| <b>Materials</b>  | Chemical, biological or other substances used in research.  |

| <u>Term</u>                             | <u>Definition</u>   |
|---|---|
| <b>Non-Disclosure Agreement (“NDA”)</b> | <p>Also referred to as a <b>Confidential Disclosure Agreement (“CDA”)</b></p> <p>Agreement under which the parties keep information confidential; may be “one way” (i.e., one party agrees to keep confidential information provided by the other party) or “two way” (i.e., each party agrees to keep confidential the information provided by the other party; typical terms include the reason the information is being disclosed and the use to which the information may be put (e.g., to discuss the possibility of a company funding research in the lab of a specific Principal Investigator at Penn), the manner of providing notice that information is confidential (e.g., marking each document as “confidential”), and the length of time during which information must be kept in confidence (e.g., 5 years).</p> |
| <b>Revision</b>                         | A change requested for a previous request that has never been completed   |
| <b>Services</b>                         | Activities that enable the accomplishment of a defined outcome (e.g., lab services may be provided to enable the assessment of specified lab values in a clinical).   |

## Chapter 11: Using filters to find requests or narrow search results:

Many pages including, but not limited to, the Manage Drafts, Manage Revisions and Request History pages have the option to filter, or narrow, the displayed list.

The following chart describes the various options for filtering result sets:

| Field Name  | Definition  |
|---|---|
| <b>[Filter]</b>   | Click this button to begin the search using the criteria you have entered. <b>Filter</b>  |
| <b>[Clear Filter]</b>   | If you wish to remove the filter/criteria that you have entered, click the [Clear filter] button. <b>Clear filter</b>   |
| <b>[Document ID]</b><br>(base number/version number)<br><br>The initial request is assigned a version number of 00. Each revision or amendment increases the version number by one. | Request may be filtered by entering either the base number or the entire document ID. Entering the base number alone will return a list that includes all created versions of the document.<br><br>For example, filtering by: <ul style="list-style-type: none"> <li>• 1000 – will return all versions of document 1000</li> <li>• 2020/02 – will return the version #02 of document Id 2020</li> </ul> |
| <b>[Document Status]</b>  | Requests may be filtered by identifying their status such as closed, completed, pending dean approval, pending department approval, pending PI/Project Leader approval, return for additional information, submitted to ORS.  |
| <b>[Fully Executed]</b>   | Requests may be filtered by identifying whether the request is or is not fully executed by checking off the <b>[Fully Executed]</b> button.   |
| <b>Outside Party</b><br><b>[Select outside party]</b>   | Requests may be filtered by identifying the outside party associated with the request is. In order to do this, click the <b>[Select outside party]</b> button and type in the name. Names may be entered in part or in their entirety in the select outside party drop down box that appears; names may be searched via the letters (representing the first letter of the outside party's name).        |



| <b>Field Name</b>                                       | <b>Definition</b>   |
|---|---|
| <b>Outside Party Non-USA</b><br>[Non-USA outside party] | Requests may be filtered by identifying the outside party as a non-USA outside party by checking of the [Non-USA Outside Party].  |
| <b>PI</b><br>[Select PI]                                | Requests may be filtered by the Principal Investigator on the request.<br><br>In order to do this, click the [Select PI] button and type in the name. Names may be entered in part or in their entirety in the select from Penn Personnel drop down box that appears; names may be searched by typing the name, beginning with the last name. |
| [Request Type]  | Requests may be filtered by identifying the type of request, for example, material, data, loan equipment, collaborative research, confidential information and services.  |
| <b>Send, Receive or Both</b><br>[Send/Receive]          | Requests may be filtered by identifying whether you will send only, receive only or will send and receive.  |
| [Submitted after]                                       | Requests may be filtered to identify all request submitted after a specified date; this filter is available on the Request History tab  |
| [Submitted before]                                      | Requests may be filtered to identify all requests submitted before a certain date; this filter is available on the Request History tab  |
| [Submitted to ORS after]                                | Requests may be filtered to identify all requests submitted to ORS after a certain date; this filter is available on the Request History tab  |
| [Submitted to ORS before]                               | Requests may be filtered to identify all requests submitted to ORS before a certain date; this filter is available on the Request History tab   |