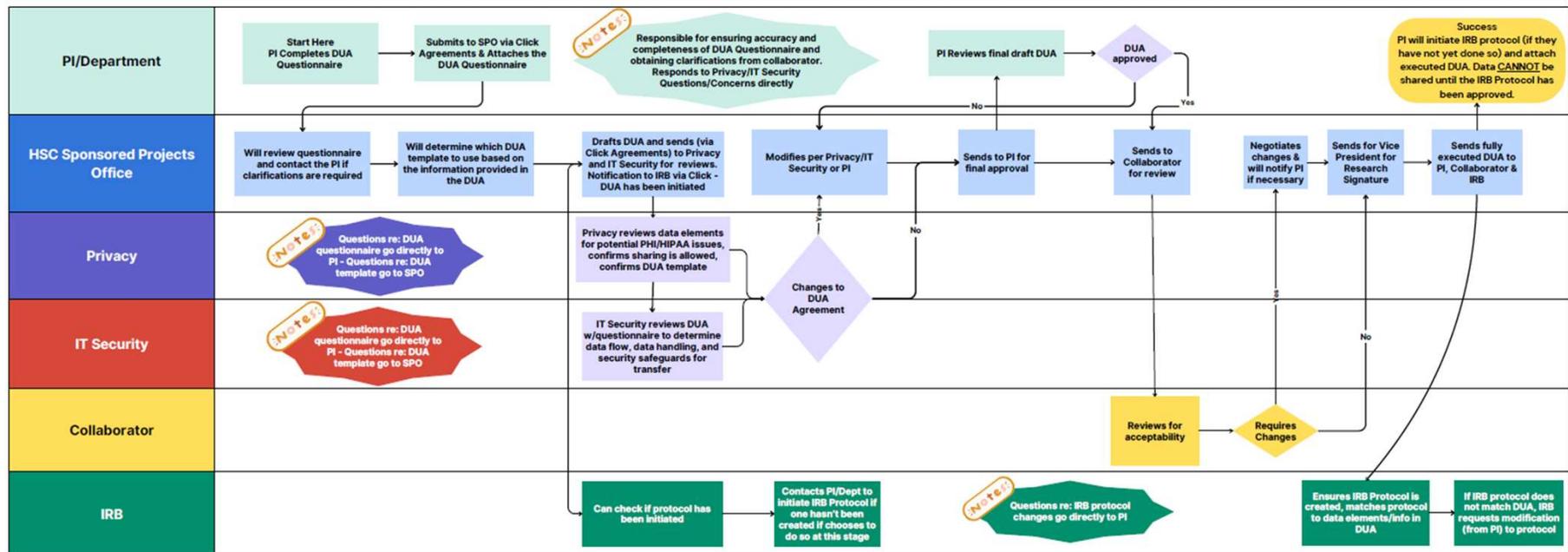


**HSC Sponsored Projects  
Date Use/Share Agreements in Click**



# Data Use Agreement (DUA) Process Flow

## Data Use Agreement Procedure



# DUA Questionnaire

- DUA's are initiated through the HSC Sponsored Projects Office. You will need to:
  - Complete the Data Use Questionnaire located: **(WILL PROVIDE ONCE PILOT PERIOD IS COMPLETE)**
  - You will then need to create a record in Click Agreements and upload the fully completed questionnaire under "Data Screening Questionnaire" It is highly important that all relevant questions are answered thoroughly. You can refer to the DUA Questionnaire reference guide for definitions and examples. Alternatively, you can work with your collaborator to ensure the most accurate information.
  - Once the record has been submitted, the DUA SPO Specialist will review the questionnaire to verify the need of a Data Use Agreement. If it is determined an agreement is needed, the SPO DUA Specialist will draft the agreement based on the information provided in the questionnaire. At this time, if you will be sharing/receiving human subject data, you are encouraged to submit your IRB protocol. The information you provide in the data questionnaire should be the same information you include in your IRB protocol.
  - The data use agreement will then be sent to Privacy and IT security for their reviews. If they have questions, they will contact you directly. Once their reviews are complete, they will advise the DUA SPO Specialist on whether to proceed or make suggested changes.
  - SPO will send to PI for final review/approval – PI will approved in Click Agreements through an "ancillary" review
  - SPO will then send to the collaborator for review – this will occur via email
  - Once the collaborator approves, SPO will obtain all signatures and send a fully executed copy to you
  - Once you receive the executed DUA, if you have not done so already and this involves human subject data, you will need to submit your IRB protocol and attach the executed DUA. Please remember, although you have an executed DUA, you CANNOT share/receive data until your IRB protocol has been approved.

The following slides will explain how to create a Click Agreements record for your DUA request.

# Creating a New DUA Record (Logging in)

Click on "UNM HSC Login." This will change the window to request your HSC NetID and Password.

UNM HEALTH SCIENCES

UNM HSC Login

Non HSC Login

Secure Logon  
for University of New Mexico  
Health Sciences Center

HSC NetID

Password

Logon

If you are a member of UNM HSC and have a current HSC NetID, please click on the UNM HSC Login button.

All other, please click on the Non HSC Login button (includes UNM main campus).

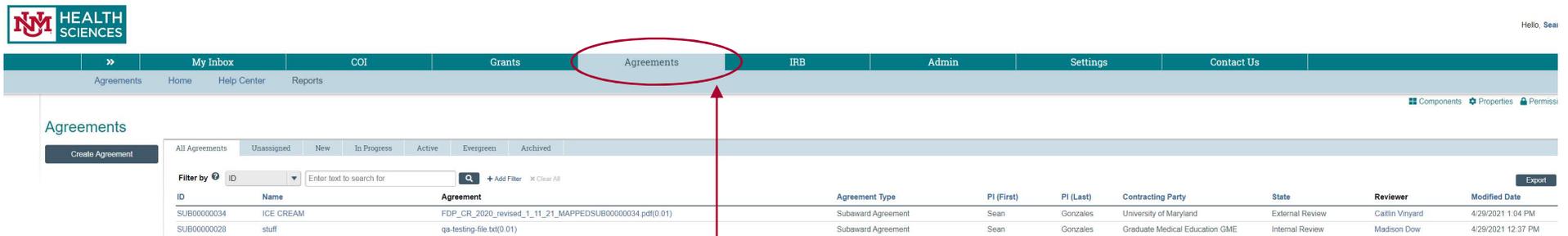
If you do not have a Click Account, you will need to take the CLICK Electronic Research Administration Lecture in Learning Central: Course HSC 135 in order to obtain an account.

If you do have a Click Account but have never used Agreements, you will need to request a user role by emailing [HSC-PreAward@salud.unm.edu](mailto:HSC-PreAward@salud.unm.edu)

Click Agreements URL:  
<https://era.health.unm.edu/Agreements>

If you encounters issues logging in, you can contact: Sean Gonzales,  
[Sgonzales@salud.unm.edu](mailto:Sgonzales@salud.unm.edu), 505-272-3495  
or [HSC-Preaward@salud.unm.edu](mailto:HSC-Preaward@salud.unm.edu)

# Creating a New DUA Record (Agreements)



The screenshot shows the University of New Mexico Health Sciences web application. The top navigation bar includes tabs for My Inbox, COI, Grants, Agreements, IRB, Admin, Settings, and Contact Us. The 'Agreements' tab is highlighted with a red circle. Below the navigation bar, the 'Agreements' section is visible, featuring a 'Create Agreement' button and a table of existing agreements. A red arrow points from the 'Agreements' tab to a text box below.

ID	Name	Agreement	Agreement Type	PI (First)	PI (Last)	Contracting Party	State	Reviewer	Modified Date
SUB00000034	ICE CREAM	FDP_CR_2020_revised_1_11_21_MAPPESUB00000034.pdf(0.01)	Subaward Agreement	Sean	Gonzales	University of Maryland	External Review	Caitlin Vinyard	4/29/2021 1:04 PM
SUB00000028	stuff	qa-testing-file.txt(0.01)	Subaward Agreement	Sean	Gonzales	Graduate Medical Education GME	Internal Review	Madison Dow	4/29/2021 12:37 PM

After logging in, you will need to navigate to Agreements by clicking the “Agreements” tab.

# Creating a New DUA Record

Navigation bar with tabs: My Inbox, COI, Grants, Agreements. Sub-navigation: Agreements, Home, Help Center, Reports.

## Agreements

Create Agreement

Filtering options: All Agreements, Unassigned, New, In Progress, Active, Evergreen, Archived. Filter by ID, Enter text to search for, + Add Filter, x Clear All.

Once you are in the "Agreements" tab, click on "Create Agreement" to get started!

# Creating a New DUA Record

The screenshot shows the 'Agreement Upload' form for 'SUB00000034'. The form includes a navigation bar on the left with options like 'General Information', 'SUB Agreement Information', 'Subaward Uploads', 'SUB Risk Assessment', and 'Completion Instructions'. The main form area has three numbered sections: 1. Agreement manager/Principal Investigator (Sean Gonzales), 2. \*Agreement creator/administrator (Caitlin Vinyard), and 3. \*Upload agreement draft (with a file upload button and a checkbox for 'First draft to be generated internally?'). The 'Validate' and 'Compare' buttons are circled in red. A red asterisk is placed next to the 'Agreement creator/administrator' label. A red starburst callout points to this asterisk. A red box callout points to the 'Upload agreement draft' section. A red box callout points to the 'First draft to be generated internally?' checkbox.

You can use the validation tool to make sure all mandatory fields are filled

You can use the compare tool to see all previous versions to the forms (tracking changes).

You can Navigate all smart forms using this navigation bar

Mandatory fields are marked with a Red Asterisk

If your collaborator has provided a DUA template, please upload here, otherwise check the "First draft to be generated internally" box

# Creating a New DUA Record

You Are Here: ICE CREAM

Editing: SUB00000034

4. Title: ?

ICE CREAM

Enter the Title of your Project

5. \* Agreement type:

Subaward Agreement

Agreement Type = Data Use Agreement

6. Description:

Please describe any extenuating circumstances regarding this request, i.e. transfer is required to submit for a grant, priority request because...

7. Supporting documents:

+ Add

Name

There are no items to display

Upload any documents you feel will assist in expediting this request. You can submit communications from the collaborator regarding the data, draft IRB protocols or the like

# Creating a DUA Record (General Info)

Please enter all institutional staff who will be assisting you with this agreement **(including yourself)**. This is especially important if a person is not in your department as this will allow them to access/view the record. Staff entered here will also be able to edit the record and will receive important notifications from Click **(Please be sure to also include HSC HRPO as they will need to be included in notifications regarding this record. Their email is HSC-HRPO@salud.unm.edu)**.

Select the highest org code for your Submitting Department (i.e. if Cancer Center, select 099 – Cancer Research Treatment Ctr CRTc – SOM Center Institutes vs. 0990M00 Cancer Epi Faculty #1 – CRTc Cancer Epidemiology. You will enter the specific PI Org Code on #7. You can request this info from your research admin staff

Leave Negotiation Start and Negotiation End Date Blank. This for only for SPO.

Agreement Upload

General Information

Human Subjects and Animal Research

Export Control

Completion Instructions

1. \* Contracting party:  
AAAA TEMP PLACEHOLDER

If you cannot find the organization in the list above, enter its information here:  
Contracting party name:  
TEST - Don't Enter - Stacy Sponsor Name

2. Contracting party contact name:  
Albert Einstein

3. Contracting party contact e-mail:  
AlbertEinstein@braniac.com

4. Contracting party contact phone:  
505-222-2222

5. Agreements collaborators: (institutional staff given read/edit permissions for this Agreement)

Name	E-mail	Phone
Aida Andujo	aandujo@salud.unm.edu	
Sean Gonzales	SGonzales@salud.unm.edu	
HSC HRPO	hsc-hrpo@salud.unm.edu	
Sirin Wilson	SWilson@salud.unm.edu	

6. \* Submitting Department:  
Pre-Award Services HSC

7. PI ORG Code:  
962A

8. \* Expected Project Start Date:  
1/1/2024

9. \* Expected Project End Date:  
12/31/2026

10. Negotiation Start Date (SPO Only):

Select your collaborator. If your collaborator is not listed, enter their name under "contracting Party." Once you click "save" below, an email will be sent to SPO to add your collaborator and the record will be updated.

Please enter the collaborator contact name, email and phone number. This should be the person SPO will be working with to execute the agreement

Enter your "expected" Project Start and End Date

Always Click "Save" first, and then click "Continue".

Exit Save Continue

# Creating a DUA Record (HS & AS Research)

Validate Compare <<

You Are Here: Data Transfer - TEST - TEST - ...

Editing: DUA00000574

Agreement Upload

General Information

**Human Subjects and Animal Research**

Export Control

Completion Instructions

## Human Subjects and Animal Research

1. \* Is this agreement tied to Human Subjects research?  Yes  No [Clear](#)

2. \* Is this agreement tied to Animal Research?  Yes  No [Clear](#)

3. Describe the purpose of the exchange:

The purpose of this exchange is to receive patient data for pregnant women, de-identified, in order to research correlations between the number of healthcare visits, reported diet, and family genetic history with the likelihood of developing pre-eclampsia.

TEST - TEST - TEST - TEST - TEST RECORD

4. \* Will Data be Incoming/Outgoing?

Both

Incoming

Outgoing

[Clear](#)

5. Upload data screening questionnaire:

Data Questionnaire(0.01) ...

6. \* Is the transaction related to a funded agreement?  Yes  No [Clear](#)

If your DUA has human subjects, select "yes." If "yes" is selected, the form will branch out – see below. If not, select "no" and move on to the Question 2.

1. \* Is this agreement tied to Human Subjects research?  Yes  No [Clear](#)

a. \* Indicate the IRB review status of this research:

Exempt

Not Yet Submitted

Pending

Approved

[Clear](#)

b. \* Will there be Protected Health Information (PHI)?  Yes  No [Clear](#)

c. \* Check the appropriate boxes below:

UNM will receive from sponsor

All PHI is de-identified

Exchange will be mutual

UNM will exchange with sponsor

Indicate if your project is "exempt" from HS research, had not yet been submitted (its encouraged to submit your IRB protocol at this time), is Pending, or if your IRB protocol related to this research has been approved.

You will also need to indicate if you will be sharing or receiving PHI. If Yes, the form will branch out; if "no" continue to Question 2

Indicate your response above. If it is unclear which option you should select, you can refer to the Data Use Questionnaire reference guide: (WEBSITE LINK HERE)

# Creating a DUA Record (HS & AS Research cont.)

The screenshot shows a web interface for editing a DUA record (DUA00000574) under the 'Human Subjects and Animal Research' section. The form contains several questions and a text area, with callout boxes providing instructions:

- Question 2:** If your DUA has Animal Research, select "yes" the form will branch out and ask you to provide your IACUC # if available – if "no" move on to Question 3. This points to question 2 and the 'a. Provide IACUC #' field.
- Question 3:** Describe the purpose of this exchange. Please be as detailed as possible. This helps SPO validate the correct questions were entered on the DUA Questionnaire and the correct DUA template is used. This points to the text area for question 3.
- Question 4:** Will Data be Incoming/Outgoing? Indicate if you will be sharing the data(outgoing), receiving the date (incoming), or receiving & sharing data (both). This points to the radio button options for question 4.
- Question 5:** Upload data screening questionnaire: Upload your completed DUA Questionnaire here. Your DUA request will not be processed if this is left blank. This points to the file upload field for question 5.
- Question 6:** Is the transaction related to a funded agreement? If this DUA request is in relation to a funded (grant/contract) you have, select "yes" otherwise select "No" and click "save" and "continue". This points to question 6.

# Creating a DUA Record (Export Control)

You Are Here: Data Transfer - TEST - TEST - ...

Editing: DUA00000574

### Export Control

- \* **Export Control:**  Yes  No [Clear](#)
- \* **Does This Project Involve Select Agents or Select Toxins Of Any Amount:**  Yes  No [Clear](#)
- \* **Foreign National:**  Yes  No [Clear](#)
- \* **Has Dual Citizenship:**  Yes  No [Clear](#)
- \* **Has Foreign Collaborators:**  Yes  No [Clear](#)
- \* **Has Restrictions On Publications:**  Yes  No [Clear](#)
- \* **Has Foreign Owned Funding:**  Yes  No [Clear](#)
- \* **Involves Foreign Travel:**  Yes  No [Clear](#)
- \* **Has Proprietary Information:**  Yes  No [Clear](#)
- \* **Contains FAR Clause 48 CFR 1852.223-74 - Drug and Alcohol-Free Workforce?:**  Yes  No [Clear](#)
- \* **Has Security File (TCP):**  Yes  No [Clear](#)
- \* **Download, complete and sign the Export Control Exclusion Screening Form (ECES) if any of the above were answered Yes.**

Attach Here: [None]

As PI, you will need to answer the questions to the left regarding Export Controls. You should know if engagement in your project will includes these components, especially if sharing/receiving data from a foreign collaborator and/or if a non US citizen will handling the data. If a question is unclear, you can request assistance by emailing HSC-DUASPO@salud.unm.edu

If the response is "yes" to any of these question, you will be prompted to complete an Export Control Exclusion Screening Form which can be downloaded by clicking on the arrow.

You will then upload for SPO submission to the export control committee for review and clearance.

Click "save" and "continue"

# Creating a New Agreement

Validate Compare

Agreement Upload

General Information

Human Subjects and Animal Research

Export Control

**Completion Instructions**

You Are Here: Data Transfer - TEST - TEST - ...

Editing: DUA00000574

### Completion Instructions

You have reached the end of the Agreement form. Read the next steps carefully:

1. Click **Validate** to verify that all required questions in this Agreement form are answered.
2. Correct any errors or omissions and refresh the error report.
3. When no errors are reported, click **Finish** to exit the form.
4. From the workspace, click **Submit** to send the Agreement for review.



You have successfully created your DUA record. Please allow 3 business days for initial review of request. If there are any questions with the data provided, the SPO DUA Specialist will reach out to you.

Whew, now we are done with the smartforms! Be Sure to click "Finish"! Instruction to submit are on the following slides

Exit Save **Finish**

# Click DUA Record Dashboard

This screen serves as a dashboard for your new record. You can:

1. View summarized data regarding the project
2. View the status of your DUA request
3. Complete actions as necessary
4. Assign PI Proxies if you are unavailable
5. Copy the agreement
6. Manage relationships – connecting your DUA to a funded agreement and/or IRB protocol

We will take a closer look at some of these items in the following slide.

The screenshot shows the 'Data Transfer - TEST - TEST - TEST' record page. The top navigation bar includes 'Dashboard', 'Agreements', 'COI', 'IRB', 'Grants', and 'Contact Us'. The main content area is divided into several sections:

- Pre-Submission:** A yellow box indicating the current status of the record.
- Primary contact:** Stacy Catanach, Manager/PI: Stacy Catanach, Owner: Stacy Catanach.
- Created:** 10/8/2024 8:46 AM
- Received:** 10/8/2024 1:36 PM
- Modified:** 10/8/2024 1:36 PM
- Effective:** 10/8/2024 1:36 PM
- Expires:** 10/8/2024 1:36 PM

**Next Steps:** A flow diagram showing the process from 'Pre-Submission' to 'Active'. The steps are: Pre-Submission (highlighted in orange), Unassigned, In Review, Signing, and Active. There are two 'Clarification Requested' boxes between 'Unassigned' and 'In Review', and between 'In Review' and 'Signing'.

**Agreement Details:**

- Agreement type:** Data Use Agreement
- Office:** Unfunded Agreements Office
- Responsible Department/Division/Institute:** Pre-Award Services HSC
- Description:** Test - Test - Test

**Contracting party:** AAAA TEMP PLACEHOLDER

**Actions:** Edit Agreement, Printer Version, View All Correspondence, Submit, Manage Ancillary Reviews, Assign PI Proxies, Discard, Copy Agreement, Manage Relationships.

**Correspondence To Do:** A table with columns: Due Date, Owner, Type, Status, For Person, Summary, Date Modified. The table is currently empty with the message 'No data to display.'

**Correspondence Completed:** A table with columns: Due Date, Owner, Type, Status, For Person, Summary, Date Modified. The table is currently empty with the message 'No data to display.'

# DUA Dashboard (Main Functions)

The screenshot shows the DUA Dashboard interface with the following components and callouts:

- Navigation Bar:** Dashboard, Agreements, COI, IRB, Grants, Contact Us. Sub-menu: Agreements, Help Center, Reports.
- Page Header:** Agreements > Data Transfer - TEST - TEST - TEST
- Record Title:** DUA00000574 Data Transfer - TEST - TEST - TEST
- Pre-Submission Section:**
  - Primary contact: Stacy Catanach
  - Manager/PI: Stacy Catanach
  - Owner: Stacy Catanach
  - Created: 10/8/2024 8:46 AM
  - Received: Stacy Catanach
  - Modified: 10/8/2024 1:36 PM
  - Effective: Stacy Catanach
  - Expires: Stacy Catanach
- Agreement Details:**
  - Agreement type: Data Use Agreement
  - Office: Unfunded Agreements Office
  - Responsible Department/Division/Institute: Pre-Award Services HSC
  - Description: Test - Test - Test
- Next Steps:**
  - Edit Agreement
  - Printer Version
  - View All Correspondence
  - Submit
  - Manage Ancillary Reviews
  - Manage Access
  - Email Agreement
  - Log Correspondence
  - Assign PI Proxies
  - Discard
  - Copy Agreement
  - Manage Relationships
- Callout Boxes:**
  - "Edit Agreement" will allow you to go back into the record to update information prior to the record being submitted.
  - "Printer Version" will allow you to print the smart sheets you have completed.
  - "View correspondence" will allow you to view ??????
  - If you click on "Discard" this will delete the record and it will not be recoverable
  - The "manage relationships" activity will allow you to link this record with a funded proposal or/and IRB record. This will be demonstrated on the next slide.
  - You will "submit" your record for SPO Review via this dashboard. Please allow 3 business days for initial review of request. If there are any questions with the data provided, the SPO DUA Specialist will reach out to you.
- Submit Confirmation:**

Execute "Submit" on DUA00000574 - Google Chrome

era.health.unm.edu/Agreements/sd/ResourceAdministration/Activity/form?ActivityType=com.webridge.entity.Entity[OID[56D8BA8A86DDC844AE84421006514660]]&Ac...

**Submit**

By clicking OK below you are attesting that:

  - All information provided is accurate and filled out to the best of your ability.
  - Everything related to this agreement has been included.

OK Cancel

No data to display.

# DUA Record (Managing Relationships)

Once “manage relationships” is selected on the previous screen, the following will pop-up (ensure pop-ups are allowed on your browser). Click on the ellipsis below to find the project you would like to relate

Manage Relationships

1. Related Projects:

ID	Name	PI First Name	PI Last Name
There are no items to display			

2. Comments:

3. Supporting documents:

+ Add	
Name	Description
There are no items to display	

“Filter by” allows you to search for your project in multiple ways. If you know the record number, you can search by “ID” by changing the filter.

Otherwise, you can search by “project type.” To see funded projects, type fun% and it will bring up a selection.

Find your project, check the box and click “ok”

Select One or More Integration Projects

Filter by Project Type

ID	Name	PI First Name	PI Last Name	Project Type	Pro
<input type="checkbox"/>	FP00008344 TB Data-faction in Kenya, Zimbabwe, and Vietnam	Sanjeev	Arora	Funding Proposal	Fin Re
<input type="checkbox"/>	HSC-9032 #8 SEER Patterns of Care, Diagnosis Year 2006	Charles	Wiggins	Funding Proposal	Aw
<input type="checkbox"/>	FP00008779 (ABBV-599 Combination)	Suzanne	Emil	Funding Proposal	Fin Re
<input type="checkbox"/>	HSC-20037 (BRAIST II) Radiographic Status of Subjects and Change in Cobbangle at a Minimum of 2 Years After Termination From BRAIST	Antony	Kallur	Funding Proposal	Aw
<input type="checkbox"/>	FP00003173 (PENUT) Capitation	Robin (Not Active)	Ohls	Funding Proposal	Awarded
<input type="checkbox"/>	FP00004731 (Subaward) Sanson-based Mobility Assessment of Older Latinos With Dementia	Janice	Knoefel	Funding Proposal	Awarded

1. Related Projects:

ID	Name	PI First Name	PI Last Name	Type	Status
FP00008344	TB Data-faction in Kenya, Zimbabwe, and Vietnam	Sanjeev	Arora	Funding Proposal	Final SPO Review
HSC-9032	#8 SEER Patterns of Care, Diagnosis Year 2006	Charles	Wiggins	Funding Proposal	Awarded

2. Comments:

3. Supporting documents:

+ Add	
Name	Description
There are no items to display	

Your related funded project and/or IRB protocol will now be linked to this DUA record for easy reference. Please note, that you should always link to the most current funded record or IRB protocol.

Click “ok” to complete the task.

# DUA Record (Finding Relationships)



Effective: 7/29/2021 10:10:11 AM  
Expires:

## Next Steps

- Edit Agreement
- Printer Version
- View All Correspondence

- Submit
- Manage Ancillary Reviews
- Assign PI Proxies
- Discard
- Copy Agreement
- Manage Relationships

(DUA Agreement Workspaces)

Supporting documents: There are no items to display

Description:



Communication	History	Contacts	Snapshots	Related Projects	Documents
<b>Funding Proposals</b>					
ID	Name	Investigator	Type	Status	Starting Date
HSC-9932	#8 SEER Patterns of Care, Diagnosis Year 2006	Charles Wiggins	Funding Proposal	Awarded	9/30/2007
FP00008344	TB Data4action in Kenya, Zimbabwe, and Vietnam	Sanjeev Arora	Funding Proposal	Final SPO Review	2/11/2020

Once you have “related” your funded agreement and/or IRB protocol, a new tab will appear on your DUA record dashboard.

To see your related projects, just click on the tab. If you need to access the related projects, just click on the “Name” and you will be routed to those projects.

# DUA Review - Communications

SPO & Compliance offices will initiate communication requests via Click. You will also need to respond via Click.

If a clarification is required, you will receive a notification similar to that below. Click on the "Link" to log in to Click ( it will take you directly to the appropriate record).



HSC-PreAward@salud.unm.edu  
To: @ Stacy M. Catanach  
Tue 10/8/2024 6:00 PM

[[-- External - this message has been sent from outside the University --]]

## Notification of Requested Clarifications

To: [Stacy Catanach](#)  
 Link: [DUA00000574](#)  
 P.I.: [Stacy Catanach](#)  
 Title: Data Transfer - TEST - TEST - TEST  
 Description: Clarifications have been requested on this submission. This requires a response from you. For additional details, click on the link above to review and provide clarification.

Agreements > Data Transfer - TEST - TEST - TEST

**Clarification Requested**

DUA00000574  
**Data Transfer - TEST - TEST - TEST**

Agreement type: Data Use Agreement  
 Office: Unfunded Agreements Office  
 Responsible Department/Division/Institute: Pre-Award Services HSC  
 Description: Test - Test - Test

Primary contact: Stacy Catanach  
 Manager/PI: Stacy Catanach  
 Owner: Stacy Catanach  
 Created: 10/8/2024 8:45 AM  
 Received: 10/8/2024 2:34 PM  
 Modified: 10/8/2024 6:00 PM  
 Effective: 10/8/2024 6:00 PM  
 Expires:

Next Steps

Edit Agreement  
 Print Version  
 View All Correspondence

Assign Owner  
 Manage Ancillary Reviews  
 Manage Access  
 Submit Ancillary Review  
 Email Agreement  
 Contact Owner  
 Submit Changes

Pre-Submission → Unassigned → In Review → Signing → Active  
 Clarification Requested → Clarification Requested

Ancillary Reviews

Review Type	Organization	Person	Reqd	Accepted	Comments
Department		Stacy Catanach	yes	yes	Agreement looks good - please proceed to sending to collaborator
Department		Stacy Catanach	yes	yes	Agreement looks good - please proceed to sending to collaborator
Privacy	Privacy	Laura Putz	no		

Correspondence History Contacts Snapshots Documents

Correspondence To Do

Filter by Due Date Enter text

Due Date	Owner	Type	Notes
			1. Notes: If it you -yes, Patient Name needs to be added to the data elements.

Submit Changes

2. Supporting documents:

+ Add  
 Name  
 There are no items to display

Click "ok" to submit

OK Cancel

Once in your record, you will click on "Submit Changes." A pop up window will appear. Under "Notes" you will respond to the request and attach and support documents if necessary.

# DUA Review – Communications cont.

**Internal Review**

Primary contact: Stacy Catanach  
 Manager/PI: Stacy Catanach  
 Owner: Stacy Catanach  
 Created: 10/8/2024 8:46 AM  
 Received: 10/8/2024 2:34 PM  
 Modified: 10/8/2024 6:19 PM  
 Effective:  
 Expires:

**Next Steps**

Edit Agreement

Printer Version

View All Correspondence

Assign Owner

Unassign Owner

Manage Ancillary Reviews

Manage Access

Submit Ancillary Review

Email Agreement

Move to External Review

Approve Language

Contact Owner

Request Clarification

DUA00000574  
**Data Transfer - TEST - TEST - TEST**

**Agreement:** Data Use Agreement  
**Final agreement:** Unfunded Agreements Office  
**Contracting party:** AAAA TEMP PLACEHOLDER  
**Responsible Department/Division/Institute:** Pre-Award Services HSC  
**Description:** Test - Test - Test

**Ancillary Reviews**

Review Type	Organization	Person	Reqd	Accepted	Comments
Department		Stacy Catanach	yes	yes	Agreement looks good - please proceed to sending to collaborator
Department		Stacy Catanach	yes	yes	Agreement looks good - please proceed to sending to collaborator
Privacy	Privacy	Laura Putz	no		

Correspondence | **History** | Contacts | Snapshots | Documents

Filter by: Activity | Enter text to search | + Add Filter | X Clear All

Activity	Author	Activity Date
Changes Submitted	Catanach, Stacy	10/8/2024 6:19 PM
Thank you - yes. Patient Name needs to be added to the data elements.		
← Clarification Requested	Catanach, Stacy	10/8/2024 6:00 PM
Can you please confirm the data elements you listed on your questionnaire are complete? Based on your explanation, it appears patient name may be missing.		
Thanks		
Submitted Ancillary Review	Catanach, Stacy	10/8/2024 5:55 PM

You can also view the clarification request by selecting the "History" tab.

You can click the link "Clarification Requested" and a pop-up window will open.

You will still need to respond by clicking on "submit changes" in order to respond.



**Clarification Requested**

Send the agreement back to the PI for clarification.

Summary

Oct 8 2024 Author: Stacy Catanach (Pre-Award Services HSC)  
 Logged For (Agreement): Data Transfer - TEST - TEST - TEST  
 Activity Date: 10/8/2024 6:00 PM

Form

1. Please make the following changes or provide the requested information:  
 Can you please confirm the data elements you listed on your questionnaire are complete? Based on your explanation, it appears patient name may be missing.

Thanks

2. Attachments:  
 Name: \_\_\_\_\_  
 There are no items to display

# Department: How to Respond to an Ancillary Request (PI Approval)

HSC-PreAward@salud.unm.edu  
 To: © Stacy M Catanach  
 Tue 10/8/2024 5:25 P

[[-- External - this message has been sent from outside the University --]]

## Notification of Ancillary Review

**To:** Stacy Catanach  
**Link:** [DUA00000574](#)  
**PI:** Stacy Catanach  
**Title:** Data Transfer - TEST - TEST - TEST  
**Required:** Yes  
**Description:** An Agreement submission has been assigned to you for ancillary review. Click the link above to access and review the agreement.

**Comments:**  
 Please review the attached DUA. Once approved, SPO will send to the collaborator for review/consideration. Thank you.

**Supporting Documents:**  
[Draft DUA](#)

You will receive a notification similar to that above. You will click on the link under "Supporting Documents" to view the "draft" DUA.

Once you have reviewed, you will need to click on the link: DUA00000.... To log in to Click (if not already logged in) and complete the Ancillary Review process. It will take you directly to the record.

This method allows all approvals to remain transparent and viewable in the Click (Note: Unfortunately these notifications are restricted from being modified by the Vendor (Huron) and they will only provide minimal direction.

Internal Review

DUA00000574

### Data Transfer - TEST - TEST - TEST

Primary contact: Stacy Catanach  
 Manager/PI: Stacy Catanach  
 Owner: Stacy Catanach  
 Created: 10/8/2024 8:46 AM  
 Received: 10/8/2024 2:34 PM  
 Modified: 10/8/2024 5:25 PM  
 Effective:  
 Expires:

**Agreement:**  
**Final agreement:**  
**Contracting party:** AAAA TEMP PLACEHOLDER

**Agreement type:** Data Use Agreement  
**Office:** Unfunded Agreements Office  
**Responsible Department/Division/Institute:** Pre-Award Services HSC  
**Description:** Test - Test - Test

**Next Steps**

- [Edit Agreement](#)
- [Printer Version](#)
- [View All Correspondence](#)
- [Assign Owner](#)
- [Unassign Owner](#)
- [Manage Ancillary Reviews](#)
- [Manage Access](#)
- [Submit Ancillary Review](#)
- [Email Agreement](#)

**Ancillary Reviews**

Review Type	Organization	Person	Reqd	Accepted	Comments
Department		Stacy Catanach	yes		
Department		Stacy Catanach	yes		
Privacy	Privacy	Laura Putz	no		

Notice how you can view where the agreement is in the process

To approve the draft DUA, you will Click "Submit Ancillary Review." A new pop-up window, see next slide, will appear. Please ensure your browser is set to allow for pop-ups.

# Department: How to Respond to an Ancillary Request cont.

## Submit Ancillary Review

### 1. \* Select the review you are submitting:

Organization	Person	Review Type	Required
<input checked="" type="checkbox"/>	Stacy Catanach	Department	yes
<input checked="" type="checkbox"/>	Stacy Catanach	Department	yes

Check the appropriate box for you as the reviewer

### 2. \* Do you accept the proposed agreements?

Yes  No [Clear](#)

If you accept the proposed agreement, click "yes."

If you require changes, click "no" and proceed to the "Comments" section

### 3. Comments:

Agreement looks good - please proceed to sending to collaborator

If you selected "no" to Question 2, please indicate the reason in the Comments section. Once you Click "ok" the review will be routed back to SPO to update your agreement. You will be sent another ancillary review to review the updated agreement.

### 4. Supporting documents:

+ Add

Name

There are no items to display

Click "ok" to submit back to SPO

OK

Cancel

# Status of Agreement

Agreements > Data Transfer - TEST - TEST - TEST

## Internal Review

DUA00000574

## Data Transfer - TEST - TEST - TEST

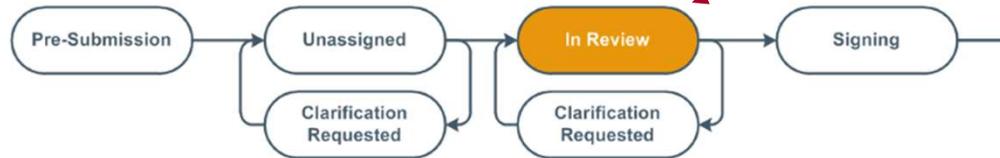
Primary contact: Stacy Catanach  
 Manager/PI: Stacy Catanach  
 Owner: Stacy Catanach  
 Created: 10/8/2024 8:46 AM  
 Received: 10/8/2024 2:34 PM  
 Modified: 10/8/2024 3:38 PM  
 Effective:  
 Expires:

Agreement:  
 Final agreement:  
 Contracting party: AAAA TEMP PLACEHOLDER

Agreement type:  
 Office:  
 Responsible  
 Department/Division  
 Description:

### Next Steps

- Edit Agreement
- Printer Version
- View All Correspondence



### Ancillary Reviews

Review Type	Organization	Person	Reqd	Accepted	Comments
Privacy	Privacy	Laura Putz	no		

Once you have submitted your request and related your projects (if applicable), you will be able to check the status of your projects through this dashboard. As your project is elevated to the next step, you will receive a notification.

SPO will be sending the drafted DUA template via Ancillary reviews to Privacy, IT Security and the your department. You can also view which office is currently reviewing the template.

# DUA Executed – Now what?

Once the collaborator signs the DUA, SPO will route for internal signature. The DUA will require the HSC VPR signature.

Once this signature is obtained, SPO “activate” the DUA in Click Agreements.

A copy of the executed agreement will be sent to you and the IRB. You will be responsible for ensuring you have initiated your IRB protocol and attached the executed DUA. Please remember, not data can be shared/received without an approved IRB Protocol. The DUA Process within SPO is now complete.

So what actions can you take in your record once it is active?

If a change is required (i.e. additional data elements need to be added) you can select “Create Amendment.” This will trigger SPO to initiate the amendment.

If you have questions regarding the executed DUA, you can contact SPO by selecting “Contact Owner.”

If you are going to be unavailable (i.e. sabbatical) you can assign a proxy to handle any concerns by selecting “Assign PI Proxies”

If you are going to initiate a similar agreement, you can select “Copy Agreement.” By doing this, you will not have to enter all the same information again.

If you didn’t have a funded agreement related to this DUA at the time of initiation but now do, you can relate it this DUA by selecting “Manage Relationships.”

**Active**

Created by:	Emily Altman
Agreement Manager:	Emily Altman
Owner:	Susan De Los Santos
Created:	4/19/2021 6:38 PM
Received:	4/23/2021 10:46 AM
Modified:	4/28/2021 10:13 AM
Effective:	4/23/2021
Expires:	4/22/2022

**Next Steps**

- View Agreement
- Printer Version
- View All Correspondence

---

- Create Amendment
- Contact Owner
- Assign PI Proxies
- Copy Agreement
- Manage Relationships

(SPO Agreement Workspace)

# DUA Record (“Other” Tabs)

The “Other” tabs on the DUA record dashboard reflect the following:

- Correspondence:** Reflects correspondence recorded
- History:** Reflects all actions that have occurred since inception of the record. Provides a timeline of events.
- Contacts:** Shows all personnel entered related to this project
- Snapshot:** Provides a snapshot of change made in the record
- Documents:** Provides links to documents that have been uploaded through the record.

The screenshot shows a dashboard with several sections:

- Correspondence To Do:** A section with a filter by 'Due Date' and a search bar. Below it is a table with columns: Due Date, Owner, Type, Status, For Perso.
- Correspondence:** A section with a filter by 'Activity' and a search bar. Below it is a table with columns: Activity, Author, Activity Date.
- Owner:** A table with columns: Name, Organization, E-mail, Phone. Row: Stacy Catanach, Pre-Award Services HSC, scatanach@salud.unm.edu.
- Contracting Party:** A table with columns: Name, Contact, E-mail, Phone. Row: AAAA TEMP PLACEHOLDER, Albert Einstein, AlbertEinstein@braniac.com, 505.222.2222.
- Agreement Manager/Principal Investigator:** A table with columns: Name, Organization. Row: Stacy Catanach, Pre-Award Servi.
- Primary Contact:** A table with columns: Name, Organization. Row: Stacy Catanach, Pre-Award Servi.
- Version:** A table with columns: Name. Rows: Snapshot 0.3(0.01), Snapshot 0.2(0.01).
- Documents:** A table with columns: Project, ID, Name, File (Final). Row: No data.

Annotations in the image point to the 'Correspondence', 'History', 'Contacts', 'Snapshots', and 'Documents' tabs in the top navigation bar and the corresponding sections in the dashboard.