User Guide for JHURA Agreement Workflow System (JAWS)

5/21/2020

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1 PURPOSE

The JHURA Agreement Workflow System (JAWS) is the Johns Hopkins University Research Administration's (JHURA's) centralized, on-line database for tracking and managing all sponsored agreements, including negotiation, workflow and document storage.

This *JHURA Agreement Workflow System User Guide* provides an overview of the basic functions and usage of the JHURA Agreement Workflow System.

2 SYSTEM FUNCTIONS

The JHURA Agreement Workflow System provides the ability to enter and submit sponsored agreements to JHURA, and to log and report on the stages of the agreement creation and modification process.

All users with a valid JHED account can log on to JAWS. The user's role in the system determines which records can be viewed. Only JHURA personnel and the JHSPH Office of Financial Operations can modify records.

3 LOGGING ON TO JAWS

To use the JHURA Agreement Workflow System, go to the JHURA Systems site at https://jhurasystems.jhu.edu. The *JHURA Systems* page will be displayed.

Note: You may need to login to your JHED account to proceed. The JHED login page will be displayed, and after successful login, the JHURA Systems page will appear.

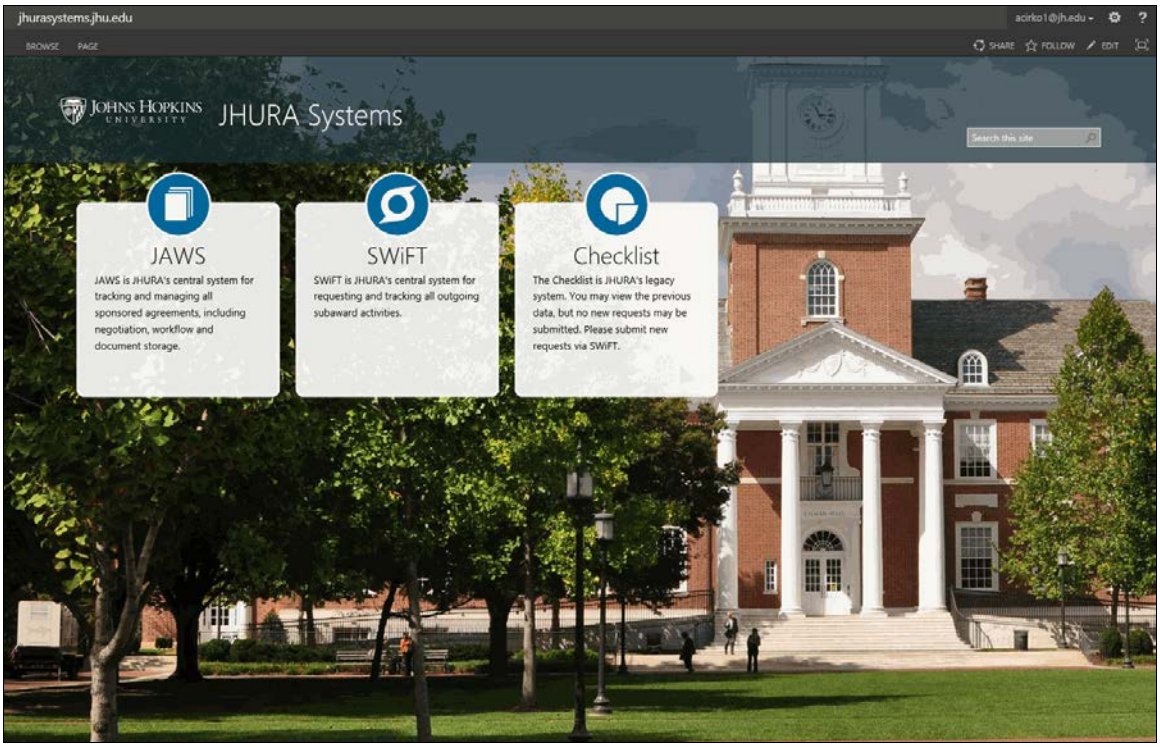


Figure 1: JHURA Systems

Click on the JAWS graphic. The JAWS *Search* page will be displayed, as shown in Section 4, *Searching for Records*.

4 SEARCHING FOR RECORDS

The Search page, displayed below, is used to search for existing records in JAWS. This is also the initial page displayed upon login.

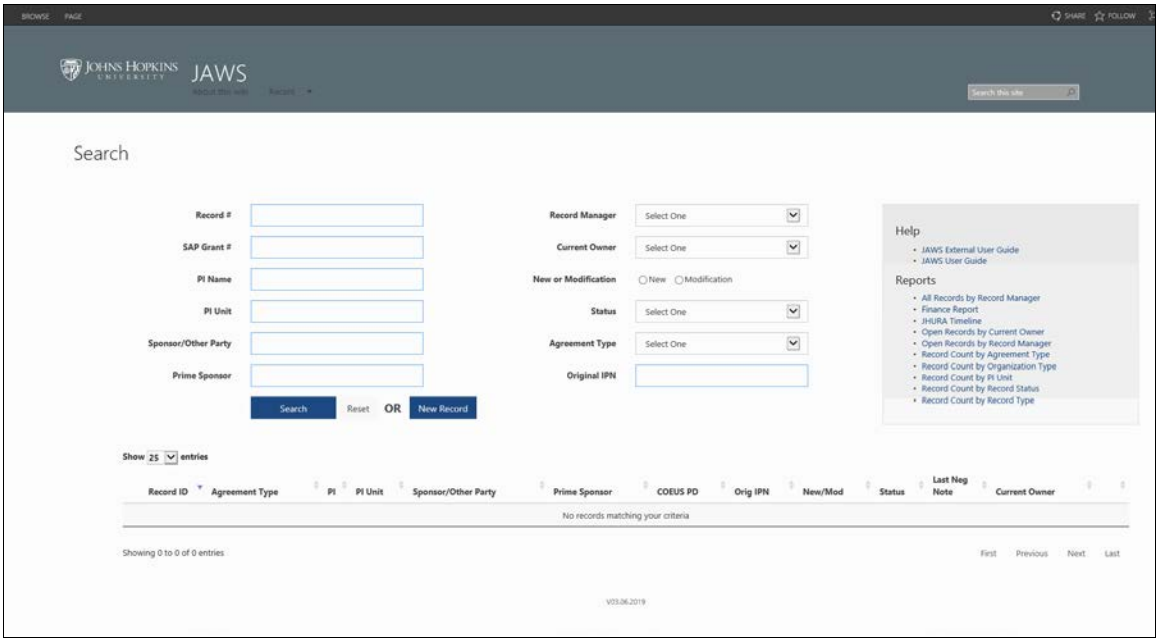


Figure 2: Search

The fields are listed and described in the table below. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Search Field	Description	Dropdown Choices
Record #	Unique JAWS Identifier for a record.	All record numbers in submitted agreements
SAP Grant #	Unique JHU Identifier for award accounts.	*<enter number>*
PI Name	The first and last name of the Principal Investigator.	All PIs in JAWS system
PI Unit	The department/center/institute/ school in which the Principal Investigator has chosen to perform the project.	All departments and other PI units
Sponsor/Other Party	The organization that funds a research project.	Available sponsors from SAP
Prime Sponsor	The organization that funds the Sponsor of the research project.	Available sponsors from SAP
Record Manager	The person who is overall responsible for the record.	All owner names in submitted agreements
Current Owner	The person who is currently in possession of the record.	All owner names in submitted agreements

Search Field	Description	Dropdown Choices
New or Modification	Record type denoting whether this is a new action or a modification to an existing action.	Select one
Status	The category that explains where the record is in process.	Pending Save In Progress Owner Assigned On Hold Withdrawn Initiated Review and Negotiation PEA Fully Executed Initiated Processing Workflowed by JHURA At SPSS SAP Setup/Update Complete Closed
Agreement Type (Refer to Appendix C, *JAWS Agreement Type Guide*).	The category of the award mechanism.	Allocation agreement CDA/NDA Cooperative agreement CRADA Data use agreement Equipment loan agreement (Bailment) Grant Incoming professional services agreement Incoming subcontract Incoming subgrant Letter of authorization License agreement Master agreement Material transfer agreement Membership agreement Memorandum of understanding Notice of Award Pre-Award Pre-teaming agreement Program income agreement Publication authorship agreement Secondment agreement/IPA Service center agreement Standard research agreement Student placement agreement Task order agreement Teaming agreement
Original IPN	The Institute Proposal Number used to workflow a record. It is the number linked to the SAP Grant number.	*<enter number>*

Initially, any agreements that you have permission to access will be listed in the lower portion of the page.

Select the search criteria (at least one item) and click on **Search**. The search results will appear in the lower part of the page, as shown below. The example below is a search for all agreements where the Status is *On Hold* and the Agreement Type is *Teaming agreement*.

Note: If you do not enter any search criteria, the search results will list all agreements in JAWS that you have permission to access.

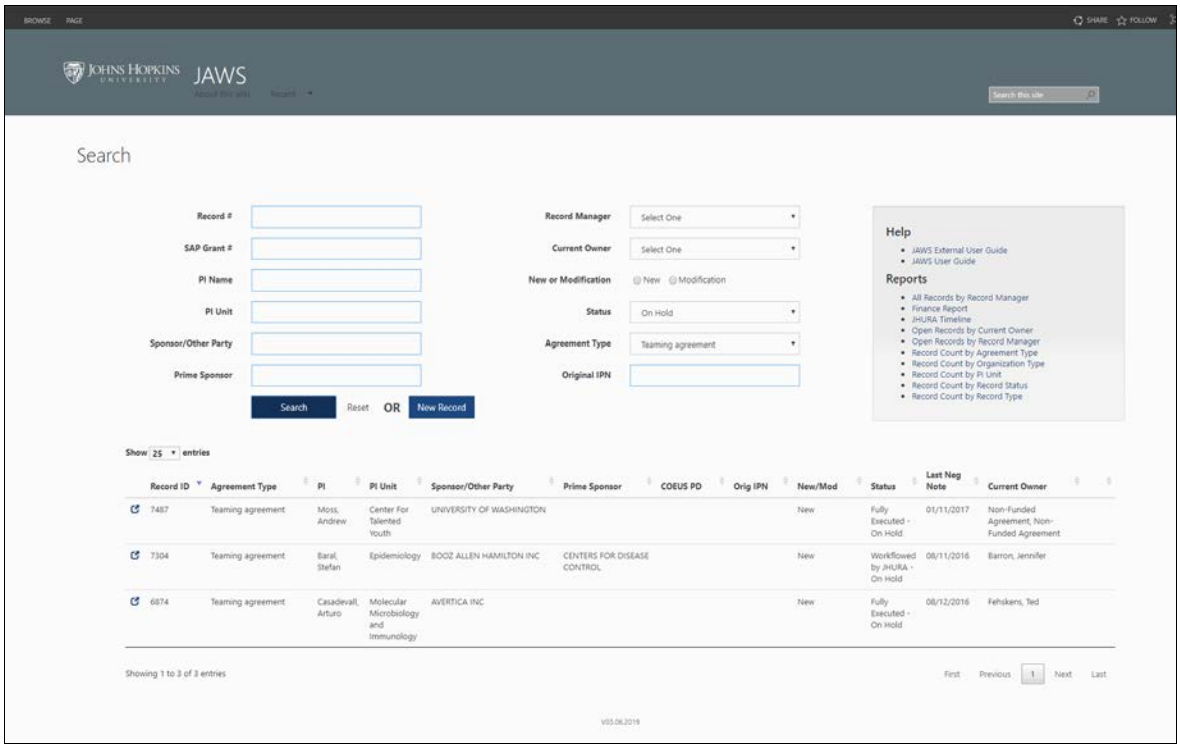


Figure 3: Search Results

If none of the information in an agreement has been changed in the last three business days, a bell icon may be displayed in the rightmost column, as shown below.

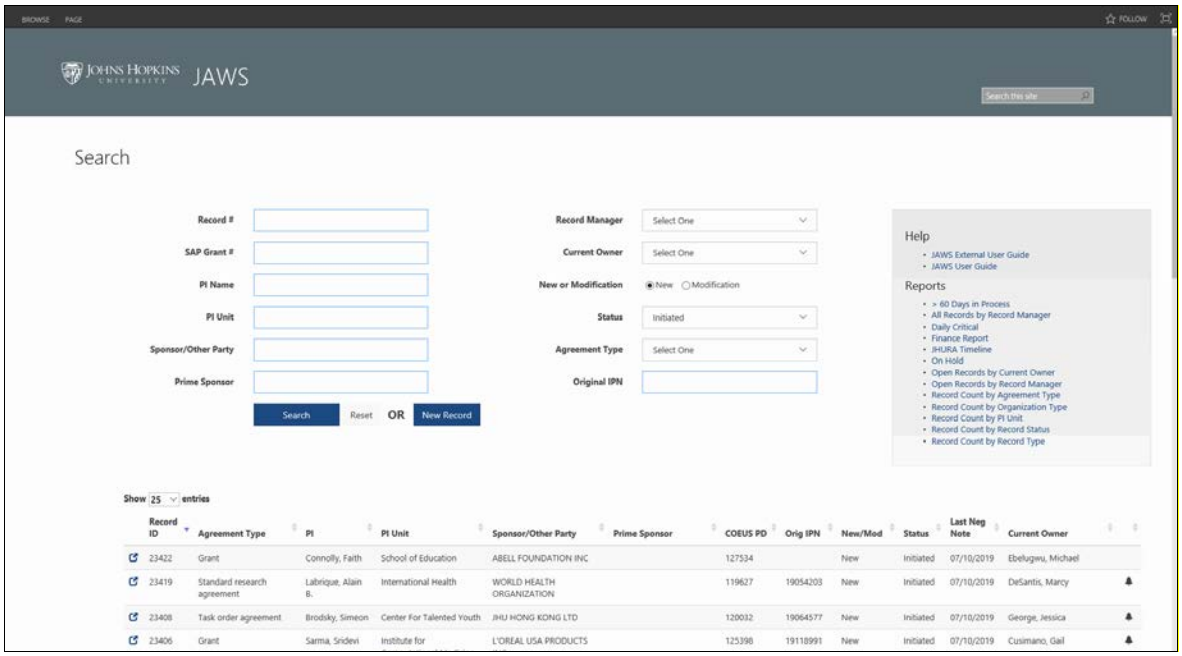


Figure 4: Agreement Has Not Been Modified Indicator

The bell will be displayed for all agreements except for the following:

- **Funded Agreements:** The bell icon ***will not*** be displayed for agreements with the following statuses:
  - SAP Setup/Update Complete
  - Closed
  - Withdrawn.
- **Unfunded Agreements or No Funding Selected:** The bell icon ***will not*** be displayed for agreements with the following statuses:
  - Fully Executed
  - Initiated Processing
  - Workflowed by JHURA
  - At SPSS
  - SAP Setup/Update Complete
  - Closed
  - Withdrawn.

To display the information for a record in the search results, click anywhere in that row. The default view for records in JAWS is the *Basic Information* tab.

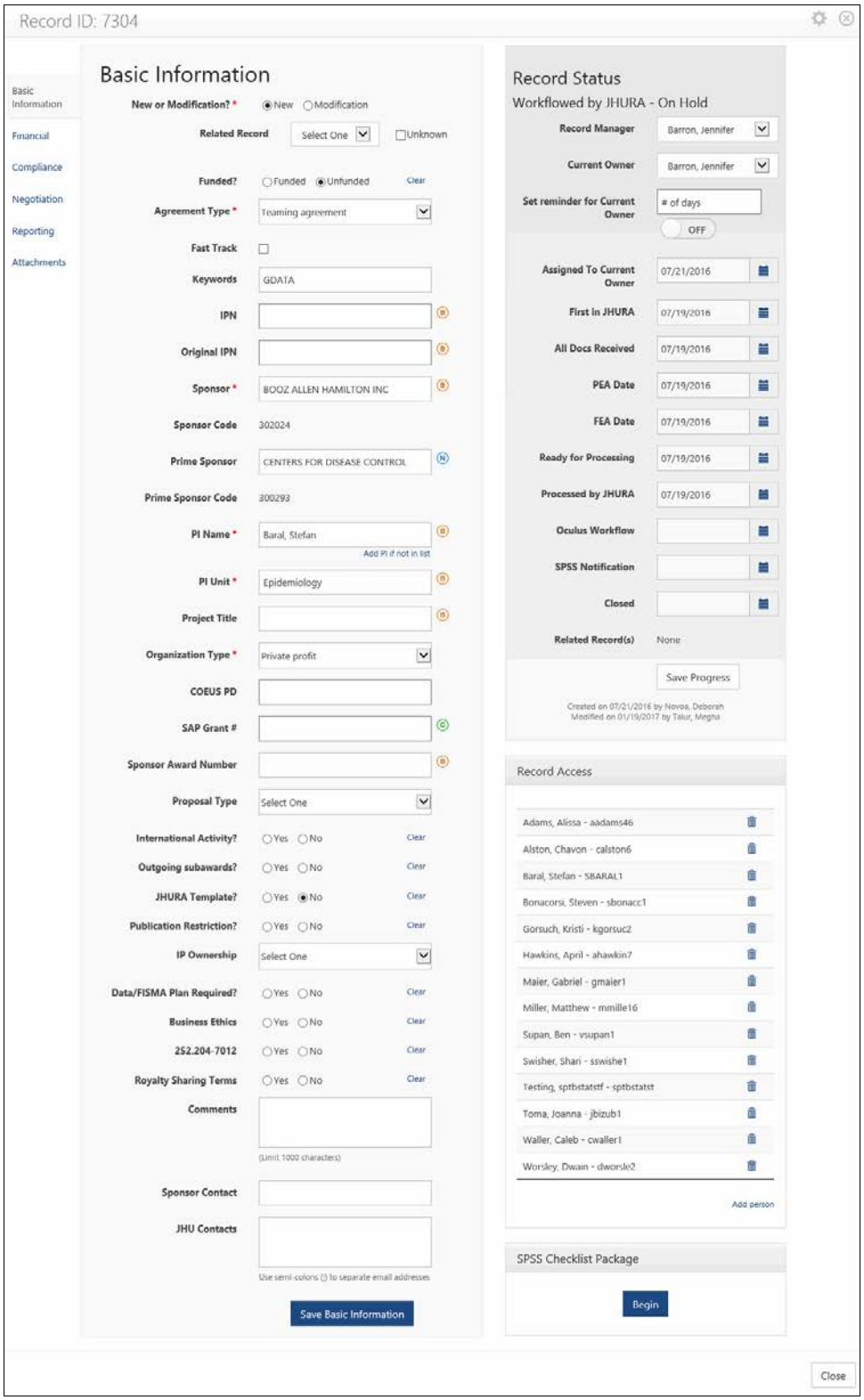


Figure 5: Agreement Record from Search Results

5 CREATING A NEW OR MODIFICATION RECORD

To create a new or modification record in JAWS, click on **New Record** on the *Search* page. The *New Record* window will be displayed.

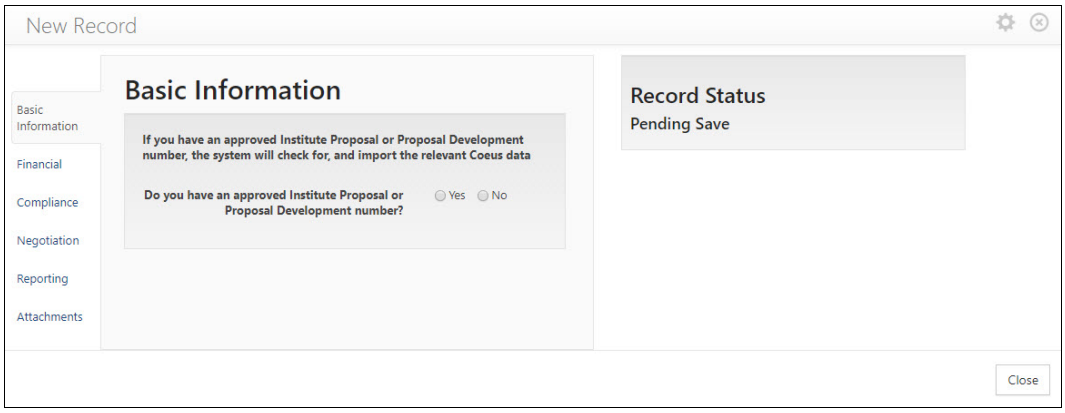


Figure 6: New Record Window

If you have an approved IPN, JAWS can import any relevant data from Coeus. Otherwise, you will need to input all data for the record.

Note: Information from Coeus is updated nightly. JAWS records containing data from Coeus will be continually updated with any changes to Coeus data.

5.1 If You Have an IPN

If you have an approved IPN, select **Yes**. The following window will be displayed.

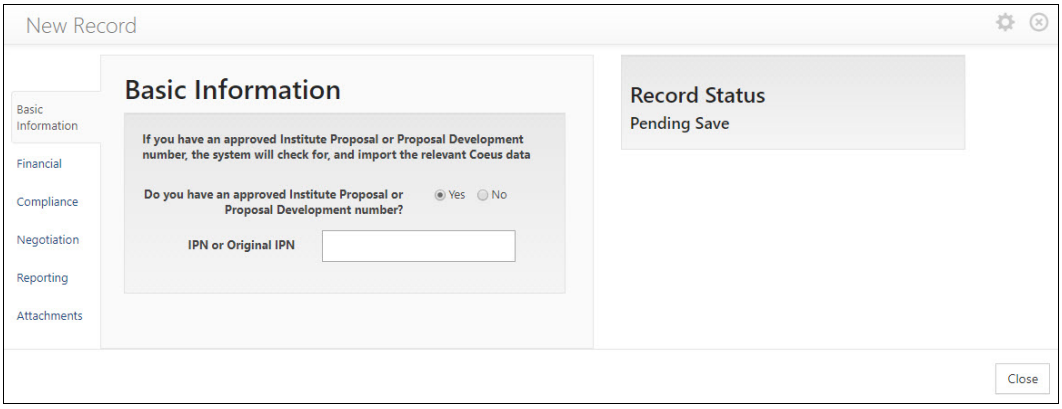


Figure 7: Enter IPN

Begin typing the IPN in the *IPN or Original IPN* field. When the third number has been entered, a dropdown box will appear containing all IPNs that begin with those three numbers, as shown below.

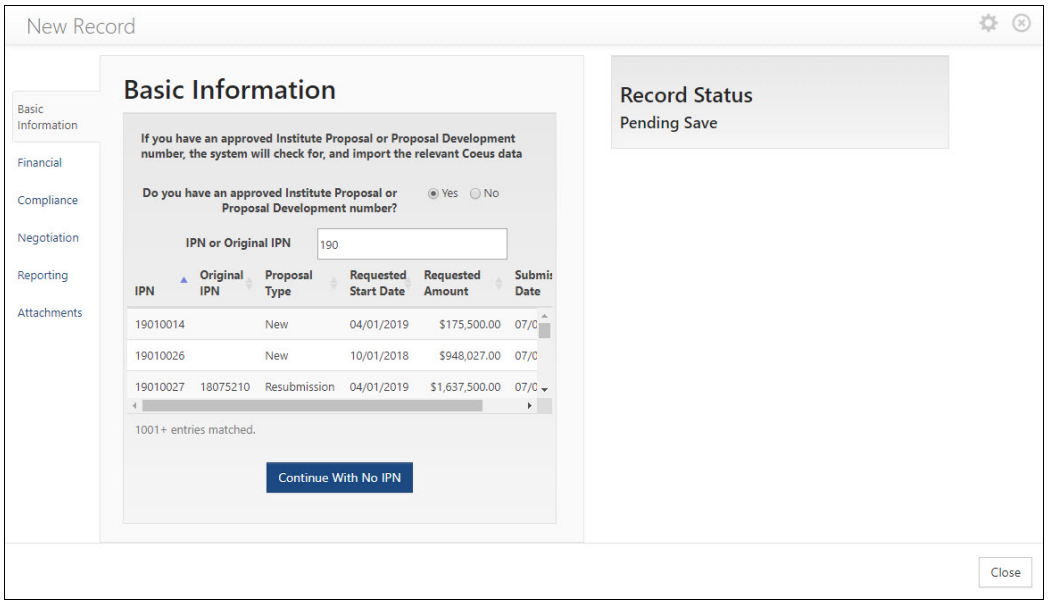


Figure 8: Search for IPN

As you enter additional numbers, the list will update to include only the IPNs that still match the entered numbers. Click on an IPN in the list at any time to select it.

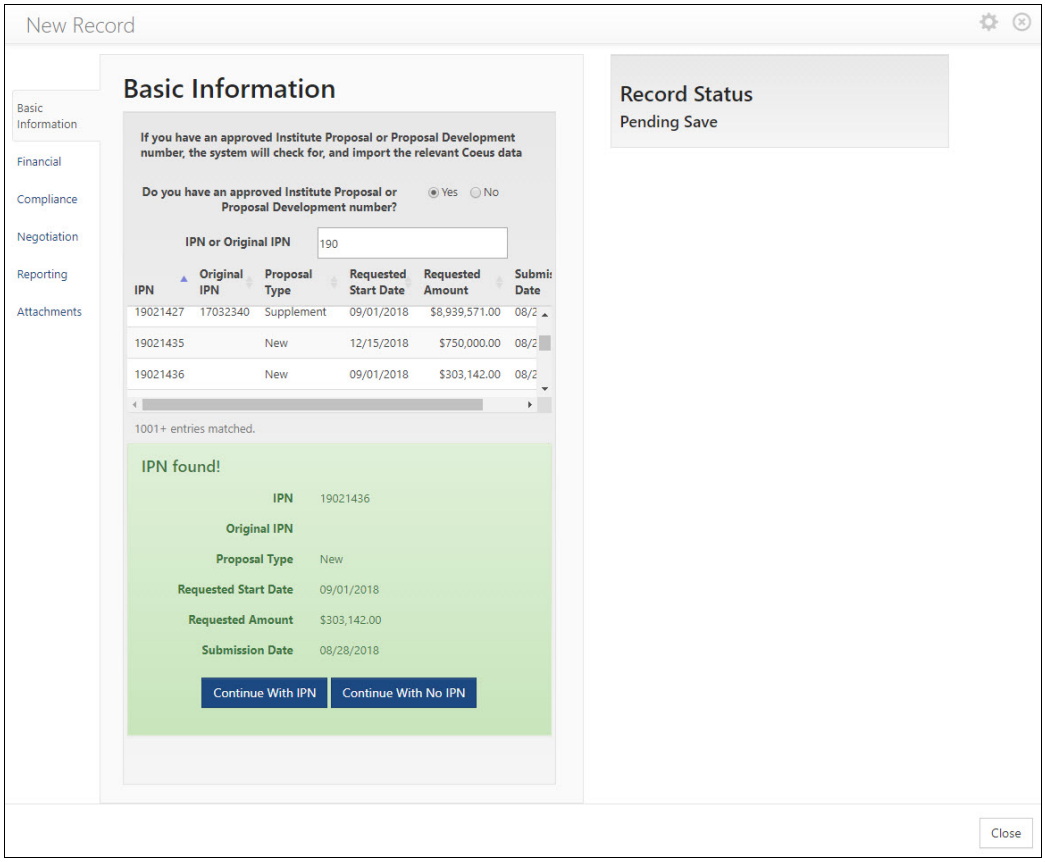


Figure 9: IPN Found

If you wish to use the record associated with the IPN, slick on **Continue with IPN**. Fields in the *Basic Information* and *Financial* pages will be populated with information from Coeus and the *Basic Information* page will be displayed.

The table below lists the fields that will be populated with data from Coeus:

Field	Tab
Funded?	Basic Information
IPN	Basic Information
Sponsor	Basic Information
Sponsor Code	Basic Information
Prime Sponsor	Basic Information
Prime Sponsor Code	Basic Information
PI Name	Basic Information
PI Unit	Basic Information
Project Title	Basic Information
Organization Type	Basic Information
COEUS PD	Basic Information
SAP Grant #	Basic Information
Sponsor Award Number	Basic Information
Proposal Type	Basic Information
Responsible Cost Center	Financial

Notes:

- *The 'Funded?' field is populated with **Funded** from Coeus, but it can be edited.*
- *None of the other fields that are populated from Coeus can be edited.*
- *The ability for JAWS users and administrators to add a PI name if not in the list is not available when using Coeus data.*
- *The ability for JAWS administrators to add a sponsor if not in the list is not available when using Coeus data.*
- *Any fields that do not have data in Coeus will be blank.*

5.2 If You Do Not Have an IPN

If you do not have an approved IPN, select **No**. The following window will be displayed.

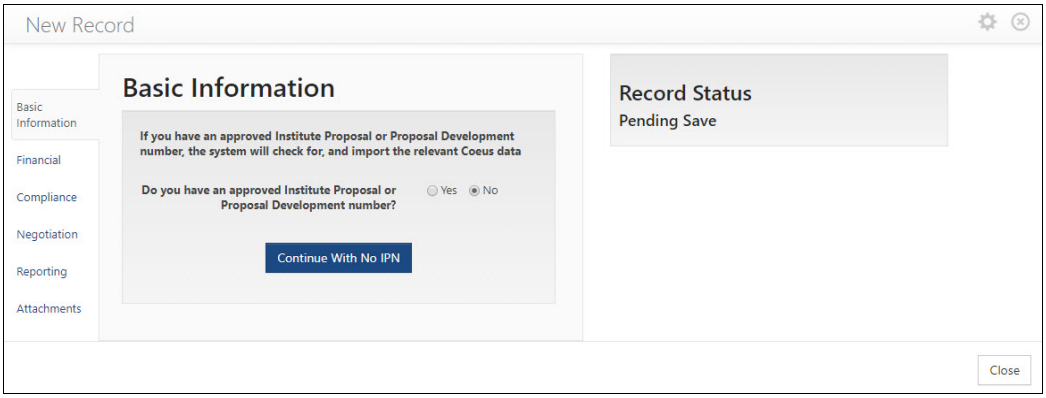


Figure 10: No IPN Selected

Click on **Continue With No IPN**. The *Basic Information* page will be displayed, as shown and described below.

5.3 Basic Information Tab

The **Basic Information** tab is the default starting page when creating a record and must be filled out and saved before continuing.

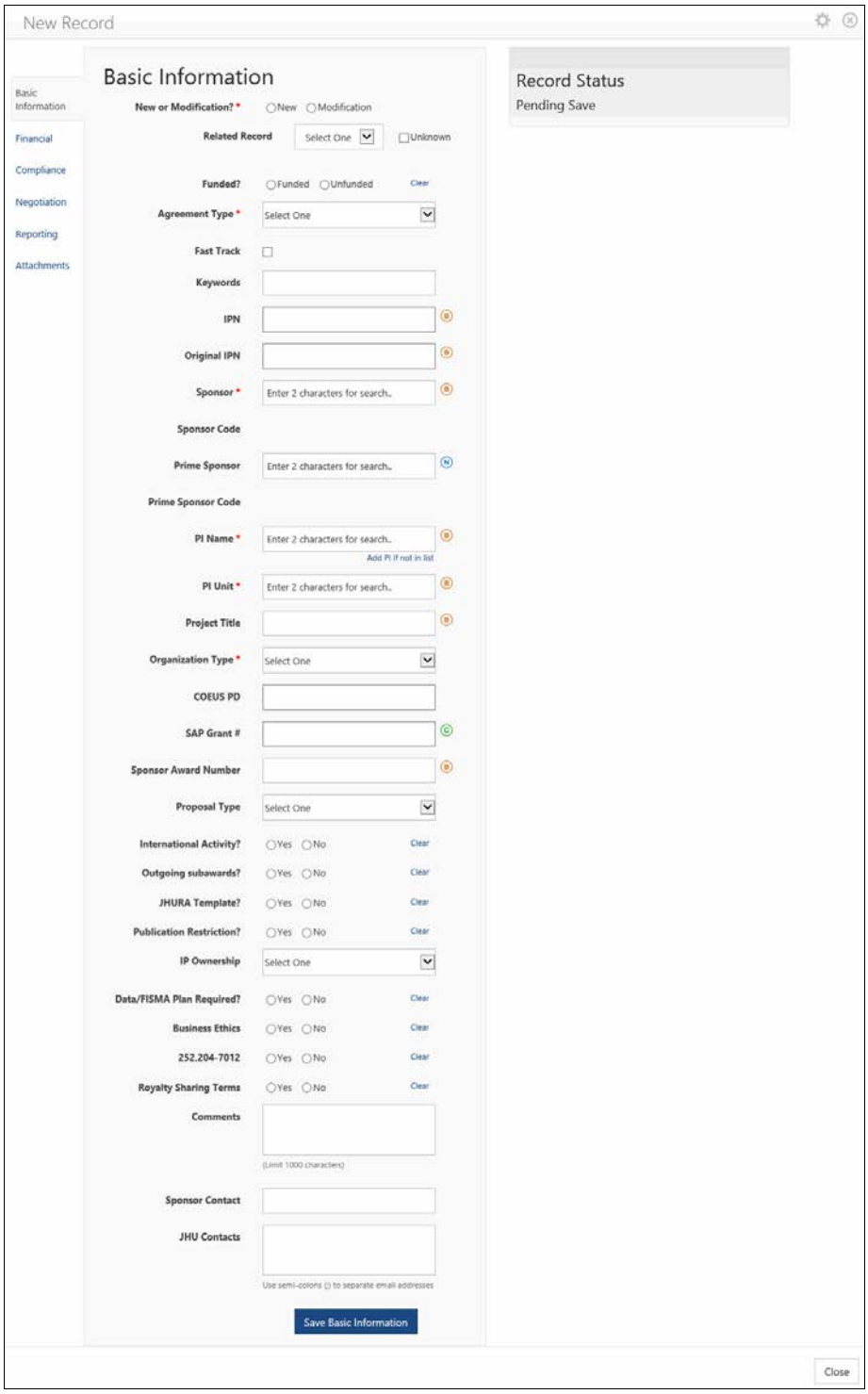


Figure 11: Basic Information Page

Enter the basic information in the provided fields, as described in the following table. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Field	Description	Notes
New or Modification?*	Original agreement or amendment to the original agreement.	Choose **New** or **Modification**. If **Modification**, select **Related Record** from dropdown list.
Related Record	The most recent JAWS record that related to the current record.	Select from dropdown list or check **Unknown**.
Funded?	Funded=there is money attached to the project; Unfunded=there is no money involved.	**Funded** or **Unfunded**, or Clear to remove selection.
Agreement Type*	The category of the award mechanism.	Select from dropdown list.
Fast Track		Check if true.
Keywords	Any words or phrases that are useful in describing the record. For example, NCE, preaward, etc.	Enter up to 200 characters.
IPN	The Institute Proposal Number that corresponds to the Coeus record being used for this action. Typically, anything other than New, Renewal, or Resubmission.	Enter up to eight characters.
Original IPN	The Institute Proposal Number used to workflow a record. It is the number linked to the SAP Grant number.	Enter up to eight characters.
Sponsor*	The organization that funds a research project.	System assisted input.
Sponsor Code	The Coeus code of the organization that funds a research project.	Automatically filled by system.
Prime Sponsor	The organization that funds the Sponsor of the research project.	System assisted input.
Prime Sponsor Code	The Coeus code of the organization that funds the Sponsor of the research project.	Automatically filled by system.
PI Name*	The first and last name of the Principal Investigator.	System assisted input.
PI Unit*	The department/center/institute/school in which the Principal Investigator has chosen to perform the project.	System assisted input.
Project Title	Descriptive name of the project.	Enter up to 200 characters.
Organization Type*	The type of entity that describes the Sponsor.	Select from dropdown list.
COEUS PD	The identifying number of the Coeus Proposal Development record.	Enter up to eight characters.
SAP Grant #	Unique JHU Identifier for award accounts.	Enter up to six characters.
Sponsor Award Number	Unique Sponsor Identifier for the award document.	Enter up to 50 characters.
Proposal Type	The type of proposal listed in the Coeus PD record.	Select from dropdown list.
International Activity?	Any foreign involvement by the personnel listed on the proposal; within the Scope of Work; and by any subrecipients.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• Which country(ies)?		Select from dropdown list.
• Selected country(ies)		The selected countries will be displayed.

Field	Description	Notes
• Was the JHU Export Control Office Notified?	The ECO is notified by Coeus if the certification questions mention international activity. If the agreement involved work with Sanctioned Countries, you should notify the ECO.	Choose **Yes** or **No**, or Clear to remove selection.
Outgoing subawards?	The recipient of a subaward awarded to a foreign or domestic organization (either a non-profit, educational institution, state or local government, or private industry) for the performance of a portion of the work statement covered by a prime agreement that is funded either directly or indirectly with sponsored funds. It does not include agreements with individuals for consulting services or purchase orders for equipment, materials or other services. Also referred to as subawardee, subgrantee or lower-tier institution. Click YES if there are subawards, NO if they are not.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• List subrecipient organization name(s)	The name of the subrecipient organization.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.
JHURA Template?	Click YES if we are writing the agreement using a JHURA agreement template, NO if we are not.	Choose **Yes** or **No**, or Clear to remove selection.
Publication Restriction?	Click YES if there are any terms regarding restrictions on publishing in the agreement, NO if there are not.	Choose **Yes** or **No**, or Clear to remove selection.
IP Ownership	Patents, trademarks, copyrights, and trade secrets. Select the appropriate dropdown that corresponds to the agreement if there are Intellectual Property rights in the agreement, NO if there are not.	Select from dropdown list.
Data/FISMA Plan Required?	Click YES if there is a DATA/Federal Information Security Management Act (FISMA), NO if there is not.	Choose **Yes** or **No**, or Clear to remove selection.
Business Ethics	FAR 52.203-13 Contractor Code of Business Ethics and Conduct; mandates that contractors adopt a code of business ethics and conduct and incorporate an internal control system in their operations.	Choose **Yes** or **No**, or Clear to remove selection.
252.204-7012	Safeguarding Covered Defense Information and Cyber Incident Reporting. (https://www.acq.osd.mil/dpap/dars/dfars/html/current/252204.htm#252.204-7012) Click YES if applicable, NO if not applicable.	Choose **Yes** or **No**, or Clear to remove selection.
Royalty Sharing Terms	Royalties are funds received for the sales or licensing of a product. If the agreement has Royalty Sharing terms, click YES, NO if there are not.	Choose **Yes** or **No**, or Clear to remove selection.
Comments	Add any relevant notes or comments in this field.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.
Sponsor Contact	The name and email address of the Sponsor contact.	Enter email address.
JHU Contacts	The email address(es) of the department contact(s).	Enter email addresses separated by semicolons.

Notes:

- *The fields marked with * are required.*
- *For fields with the description **Enter 2 characters for search**, start typing some characters contained in the desired entry in the text box. After you have entered two characters, a dropdown box will appear with all of the results containing the letter and/or number combination that you have entered. As you enter more characters, results that no longer match will disappear from the list. Click on a result at any time to enter it into the field. (These fields are marked as **System assisted input** in the Notes column of the field description tables.)*
- *Some fields on the Basic Information page are marked with B, C, or N. These symbols are used by JHSPH Finance to identify the fields needed for different types of awards.*
  - C = *Change Award Documentation (CAD) only*
  - N = *New Award Documentation (NAD) only*
  - B = *Both CAD and NAD*
- *JAWS users and administrators have the ability to add PI names to JAWS records that do not contain data from Coeus.*
- *JAWS administrators have the ability to add sponsors to JAWS records that do not contain data from Coeus. The system will automatically assign sponsor codes to any sponsors that are added.*

If data is entered in an input field in an incorrect format, such as letters instead of numbers, that field will be cleared when you move to another field.

Click on **Save Basic Information** to enter the information into JAWS. If any required fields are missing, the information will not be saved, and an error message will appear below those fields. If the information is complete, a confirmation message will briefly appear below the **Save Basic Information** button.

The Record Status is *Pending Save* until this page is successfully saved. After saving, the Record Status changes to *In Progress*.

Note: You cannot add information in any other tab until you have successfully completed the Basic Information tab.

5.4 Financial Tab

Click on the **Financial** tab to display the *Financial* page.

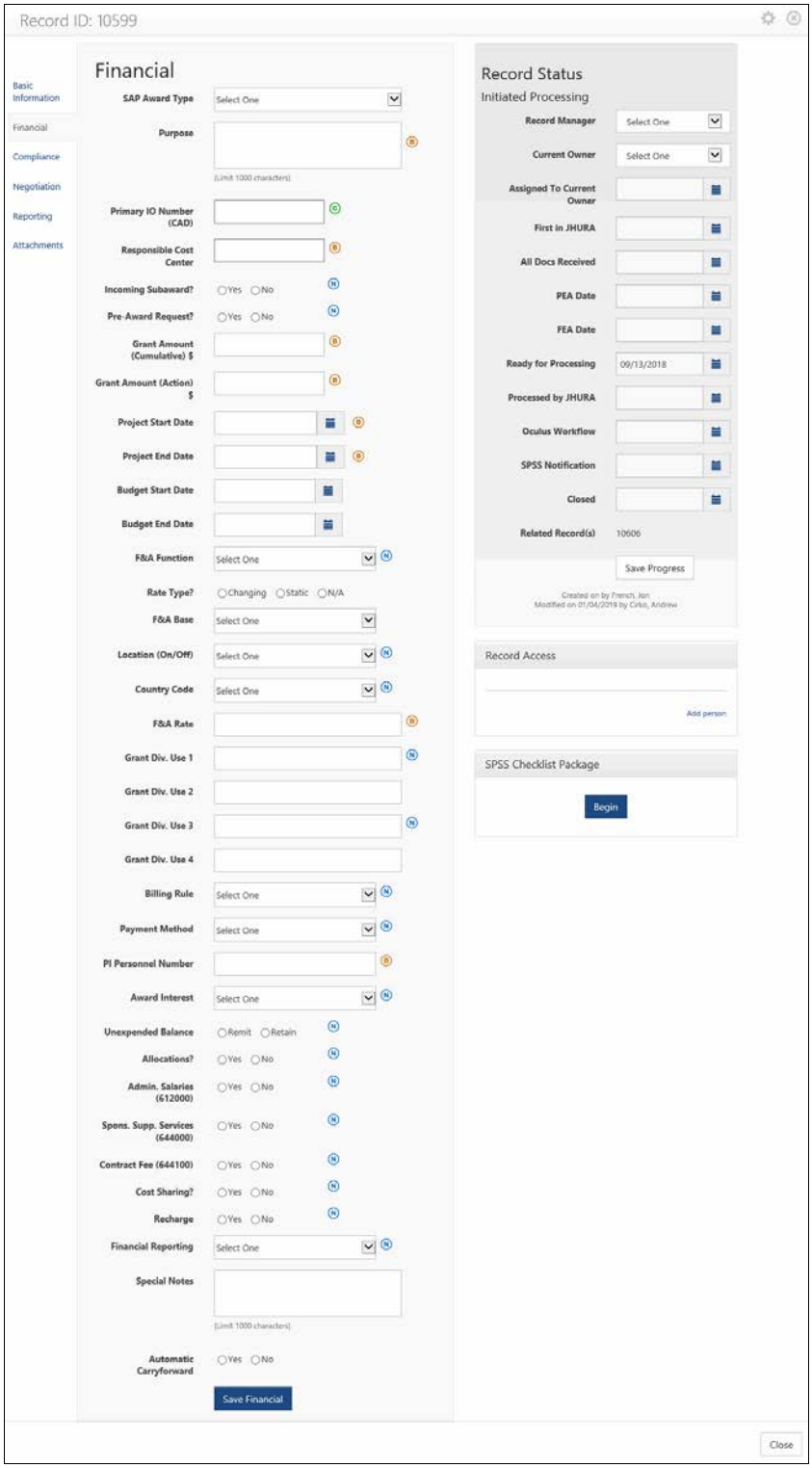


Figure 12: Financial Page

Enter the financial information in the provided fields, as described in the following table. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Field	**Description**	**Notes**
SAP Award Type	The type of award.	Select from dropdown list.
Purpose	A brief description of the action being taken in this record.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.
Primary IO Number (CAD)	The 9-digit SAP Internal Order Number. This only applies to Mod records.	Enter up to eight characters.
Responsible Cost Center	The 10-digit number selected by the department that corresponds to where the funds will be set up in SAP.	Enter up to ten characters.
Incoming Subaward?	If the award is an Incoming Subaward, Click YES. If not, click NO.	Choose **Yes** or **No**.
Pre-Award Request?	If the document to be workflowed is a BSPH Pre-Award Form, click YES. If not, click NO. This will only apply to new records.	Choose **Yes** or **No**.
Grant Amount (Cumulative) $	The total amount of funds issued for the award, includes previous amounts.	Enter up to 20 characters.
Grant Amount (Action) $	The amount of funds being added for this record action.	Enter up to 20 characters.
Project Start Date	The beginning date of the project.	Enter or select date.
Project End Date	The ending date of the project.	Enter or select date.
Budget Start Date	n/a	Enter or select date.
Budget End Date	n/a	Enter or select date.
F&A Function	The Activity Type that determines which F&A Rate to use.	Select from dropdown list.
Rate Type?	n/a	Choose **Changing**, **Static**, or **N/A**
F&A Base	n/a	Select from dropdown list.
Location (On/Off)	The on-campus F&A rate is applied to sponsored projects that require utilization of space owned or leased by the University. The off-campus rate is lower because it includes only the administrative components of the F&A rate. Choose from On Campus, Off Campus, or Split budget (for both).	Select from dropdown list.
Country Code	Choose the country code for where the work will take place.	Select from dropdown list. If **United States**, select state.
F&A Rate	The rate of indirect costs charged to an award based on Activity Type or Sponsor regulations.	Enter a percentage (xx.xx%).
Grant Div. Use 1	n/a	Enter up to 50 characters.
Grant Div. Use 2	n/a	Enter up to 50 characters.

Field	Description	Notes
Grant Div. Use 3	n/a	Enter up to 50 characters.
Grant Div. Use 4	n/a	Enter up to 50 characters.
Billing Rule	n/a	Select from dropdown list.
Payment Method	n/a	Select from dropdown list.
PI Personnel Number	Unique Payroll Identifier for the Principle Investigator.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.
Award Interest	n/a	Select from dropdown list.
Unexpended Balance	n/a	Choose **Remit** or **Retain**.
Allocations?	n/a	Choose **Yes** or **No**. If **Yes**, enter **Allocations List**.
Admin. Salaries (612000)	n/a	Choose **Yes** or **No**.
Spons. Supp. Services (644000)	n/a	Choose **Yes** or **No**.
Contract Fee (644100)	n/a	Choose **Yes** or **No**.
Cost Sharing?	The commitment of the University's resources to a sponsored project. Cost sharing may be included in the proposal only when required by the sponsor in writing, and must be approved by a divisional business office. If applicable click YES, if not, click NO.	Choose **Yes** or **No**. If **Yes**, enter **Cost Sharing $**, **RCC for Cost Sharing**, and **Fund for Cost Sharing**.
Recharge	n/a	Choose **Yes** or **No**. If **Yes**, enter **Recharge Rate**, **Recharge Cost Object**, and **Recharge Fund**.
Financial Reporting	n/a	Select from dropdown list.
Special Notes	Add any relevant notes or comments in this field.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.
Automatic Carryforward	n/a	Choose **Yes** or **No**.

Notes:

- *There are no required fields on the Financial page.*
- *Some fields on the Financial page are marked with* B, C, *or* N. *These symbols are used by JHSPH Finance to identify the fields needed for different types of awards.*
  - C = *Change Award Documentation (CAD) only*
  - N = *New Award Documentation (NAD) only*
  - B = *Both CAD and NAD*

Click on **Save Financial** to enter the information into JAWS. A confirmation message will briefly appear below the **Save Financia**l button.

5.5 Compliance Tab

Click on the **Compliance** tab to display the *Compliance* page.

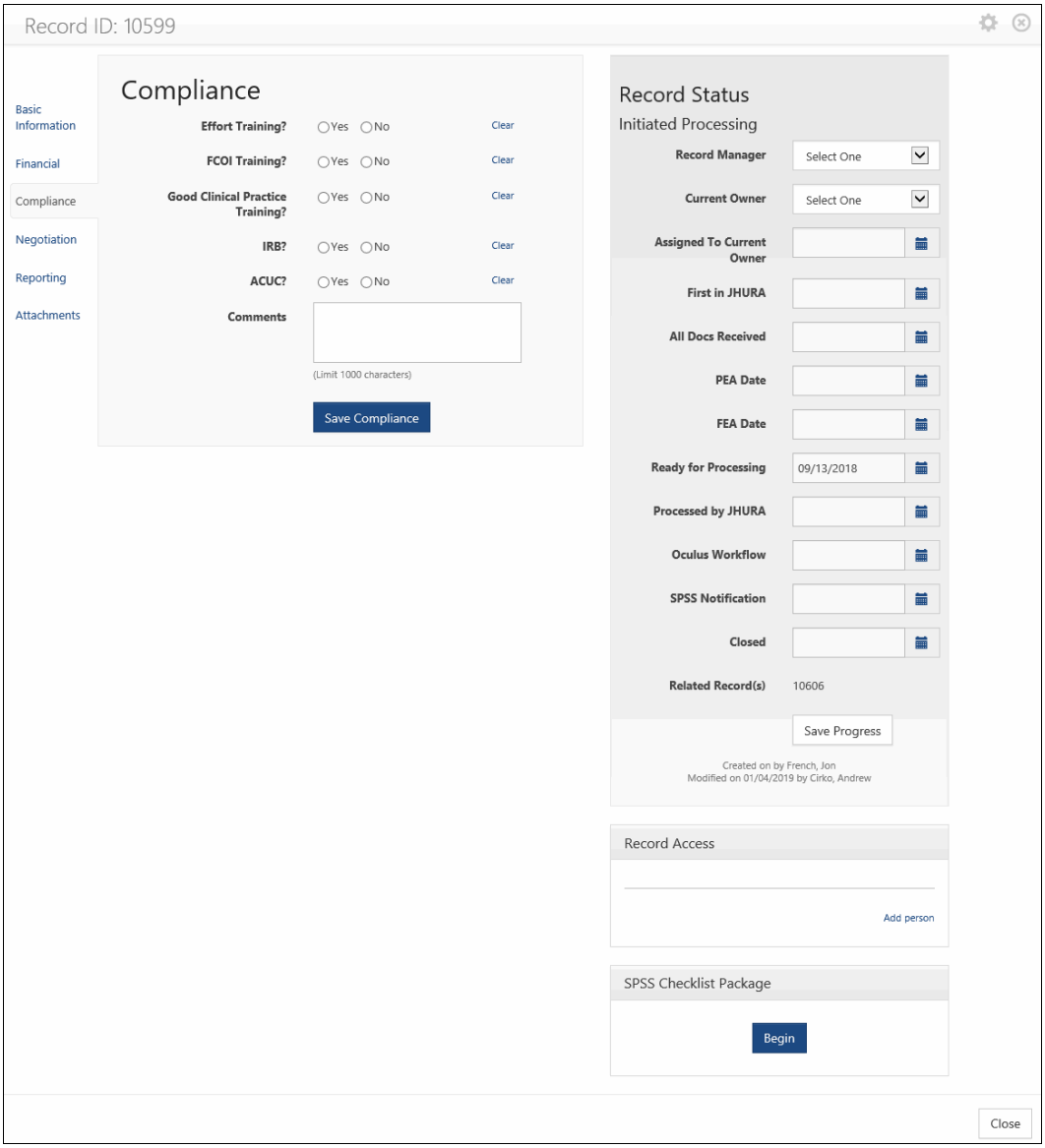


Figure 13: Compliance Page

Clicking on *Yes* for any of the five questions will expand it to reveal additional fields, as shown in the following figure.

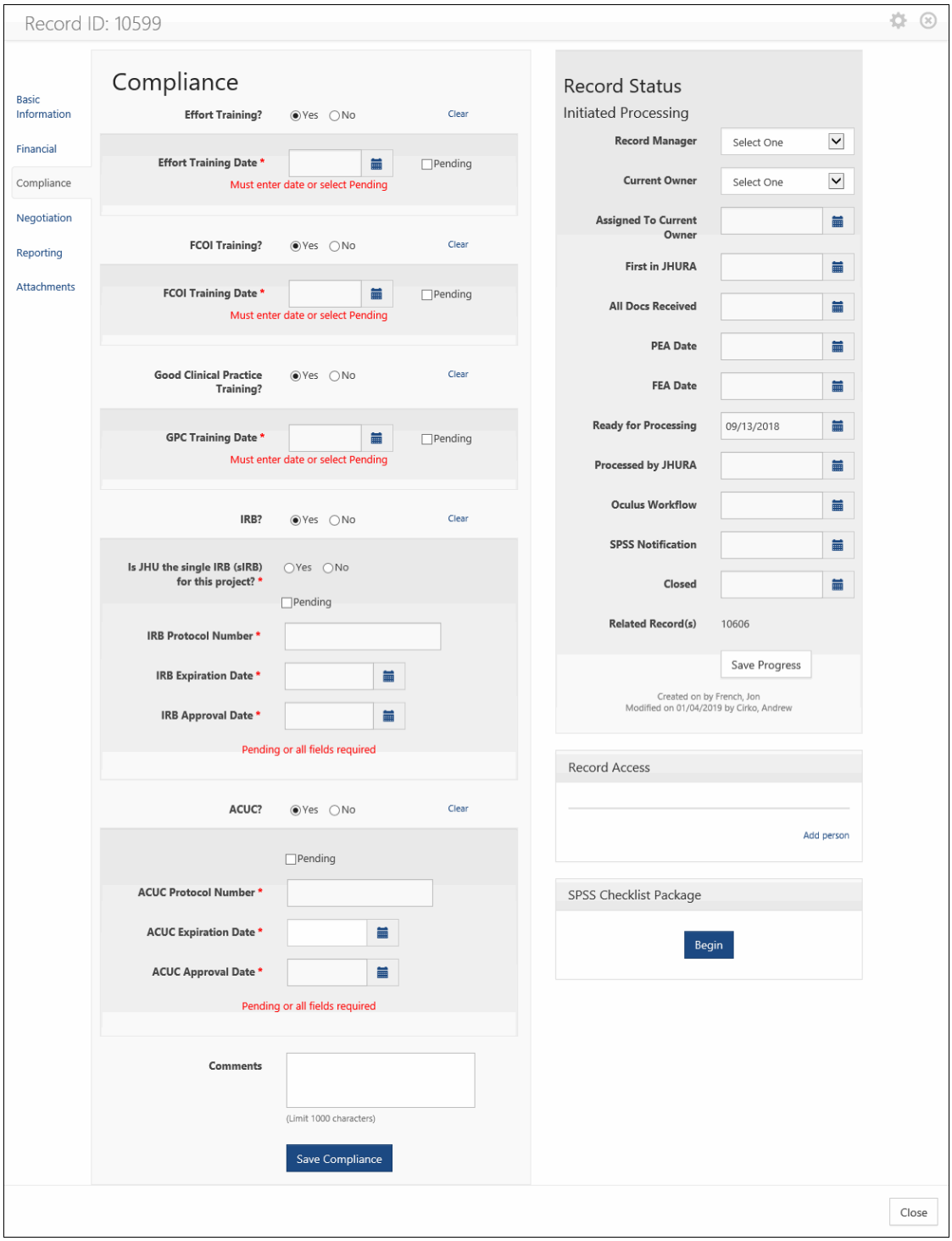


Figure 14: Compliance Page (Expanded)

Enter the compliance information in the provided fields, as described in the following table. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Field	Description	Notes
Effort Training?	Training must be completed prior to Principal and co-Investigators submitting sponsored projects proposals and/or certifying effort, unless the PI and Key Persons are exempt from the Effort Policy . The Effort Reporting System is the web-based interface that JHU uses to certify effort. All personnel who are required to certify their effort must use this system in order to do so, and training can be done through Talent Management and Development's myLearning system. The training dates for all co-PIs should be entered in the Comments section.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• Effort Training Date*	Date training was completed.	Enter or select date.
• Pending	For use if training is in progress.	Check if pending.
FCOI Training?	Institutional policies require that outside activity and financial and fiduciary interests be disclosed. In accordance with federal regulation, all faculty are required to receive training related to conflict of interest whenever the institution's policy changes and every four years thereafter.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• FCOI Training Date*	Date training was completed.	Enter or select date.
• Pending	For use if training is in progress.	Check if pending.
Good Clinical Practice Training?	The NIH has issued a policy requiring all NIH-funded investigators and their research staff who are involved in the conduct of clinical trials, as defined by the NIH, to complete Good Clinical Practice ("GCP") training. In order to comply with the NIH GCP training requirement, JHU investigators and their research staff who may be subject to this NIH requirement should complete the CITI GCP training module, which is available through myLearning, or may demonstrate compliance through providing a certificate of other acceptable GCP training to ORA and/or the JHM IRB.	Choose **Yes** or **No**, or Clear to remove selection.
If Yes,		If Yes,
• GCP Training Date*	Date training was completed.	Enter or select date.
• Pending	For use if training is in progress.	Check if pending.

Field	Description	Notes
IRB?	The term "human subjects research" is broadly defined to include any activity about or involving living humans that seeks to test a hypothesis, answer a scientific question, or otherwise contribute to generalizable knowledge. An IRB application must be submitted and approved before the research activity begins.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• Is JHU the single IRB (sIRB) for this project? *	"sIRB" refers to the use of one IRB as sole reviewer for a U.S. based, multi-site study. Institutions participating in multi-site studies must agree on a sIRB and then enter into a reliance agreement with the sIRB's institution deferring IRB review responsibilities to the sIRB.	Choose **Yes** or **No**, or Clear to remove selection.
• Pending	For use if protocol application is in progress.	Check if pending.
• IRB Protocol Number*	Protocol identifier.	Enter up to ten characters.
• IRB Expiration Date*	Date Protocol expires.	Enter or select date.
• IRB Approval Date*	Date Protocol was approved.	Enter or select date.
ACUC?	The JHU ACUC program is designed to assure that it is in compliance with the Animal Welfare Act regulations and Public Health Service (PHS) Policy. An IACUC application must be submitted and approved before the research activity begins.	Choose **Yes** or **No**, or Clear to remove selection.
If **Yes**,		If **Yes**,
• Pending	For use if protocol application is in progress.	Check if pending.
• ACUC Protocol Number*	Protocol identifier.	Enter up to 10 characters.
• ACUC Expiration Date*	Date Protocol expires.	Enter or select date.
• ACUC Approval Date*	Date Protocol was approved.	Enter or select date.
Comments	Any additional co-PI Effort Training dates should be entered here.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.

*Note: All fields marked with * are required except when Pending is selected for a group of fields.*

Click on **Save Compliance** to enter the information into JAWS. If any required fields are missing, the information will not be saved, and an error message will appear below those fields. If the information is complete, a confirmation message will briefly appear below the **Save Compliance** button.

5.6 Negotiation Tab

Click on the **Negotiation** tab to display the *Negotiation* page.

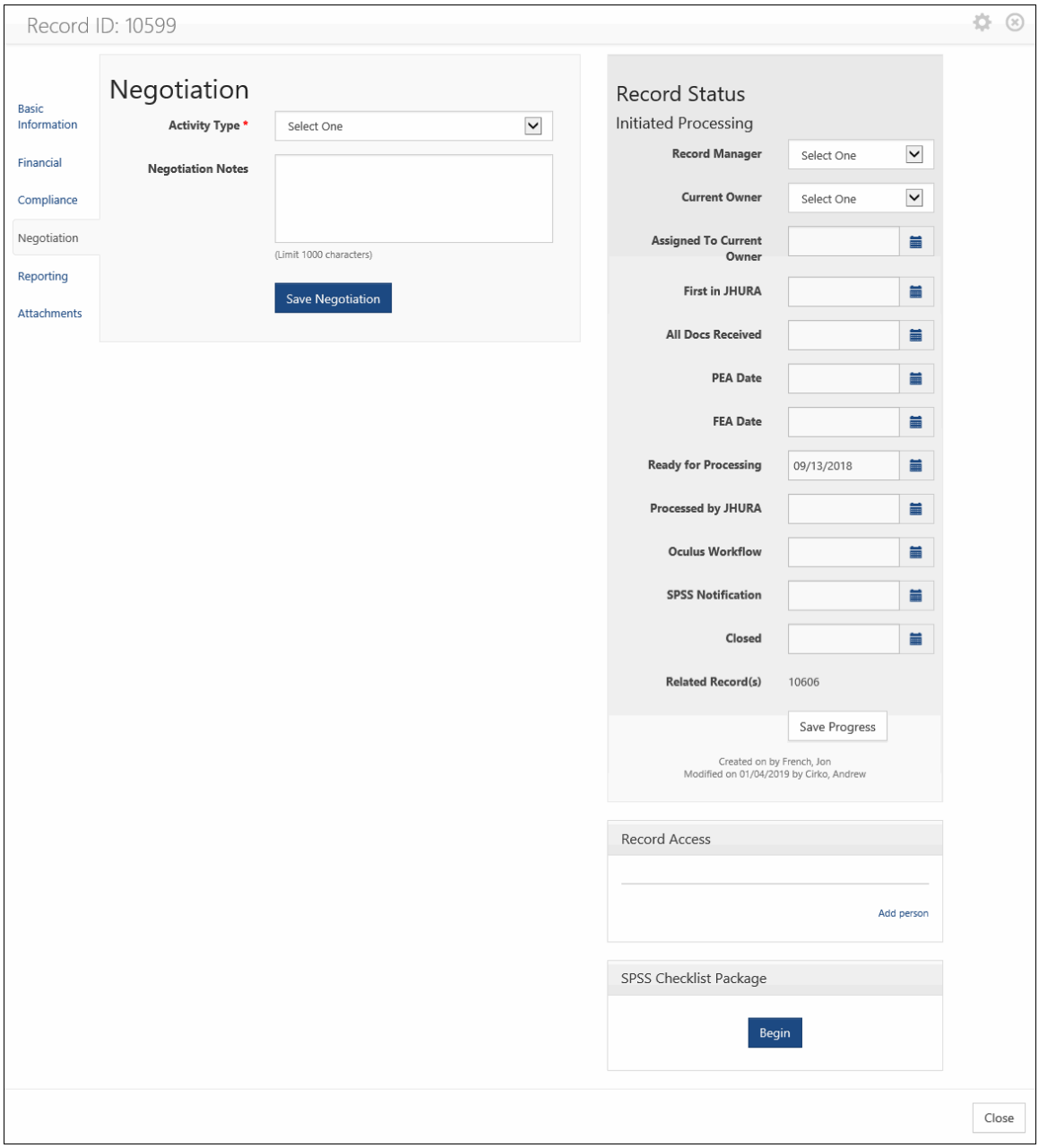


Figure 15: Negotiation Page

The fields are listed and described in the table below. Refer to Appendix B, *JAWS Field Responsibilities* and Appendix D, *Guidelines for JAWS Negotiation Notes* for additional information.

Field	Description	Notes
Activity Type*	The type of action being taken in the record.	Select from dropdown list.
Negotiation Notes	A detailed description that corresponds to the Activity Type above.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.

Note: The Activity Type field is required.

Select an *Activity Type*, enter supporting text in the *Negotiation Notes* field, and click on **Save Negotiation**. The information will appear on the page as shown below.

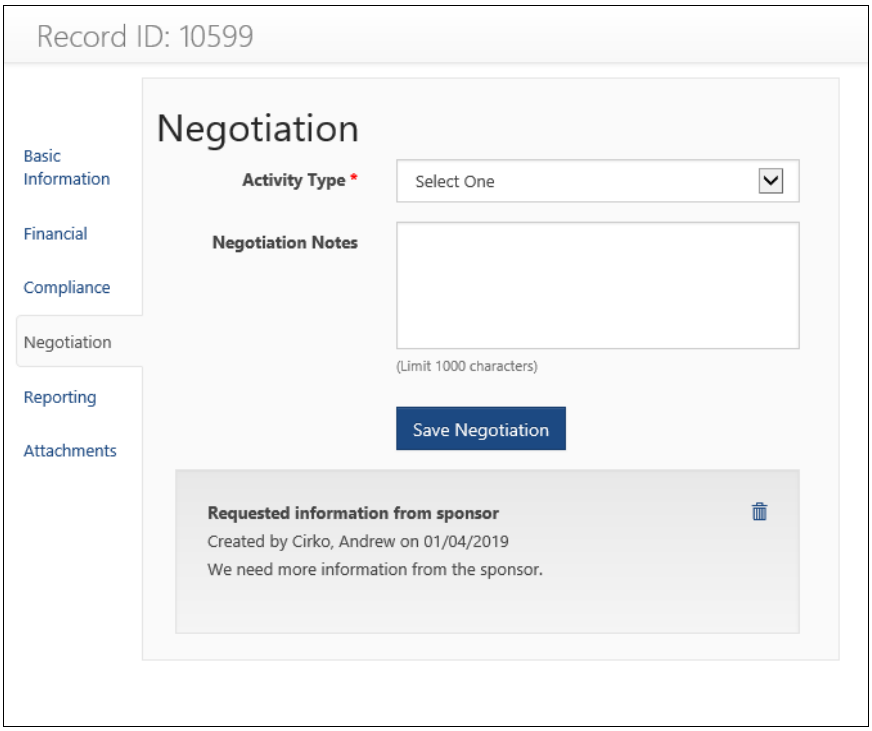


Figure 16: Negotiation Added

A negotiation note can be saved for each Activity Type. As negotiation notes are added, they are displayed from newest to oldest.

5.7 Reporting Tab

Click on the **Reporting** tab to display the *Reporting* page.

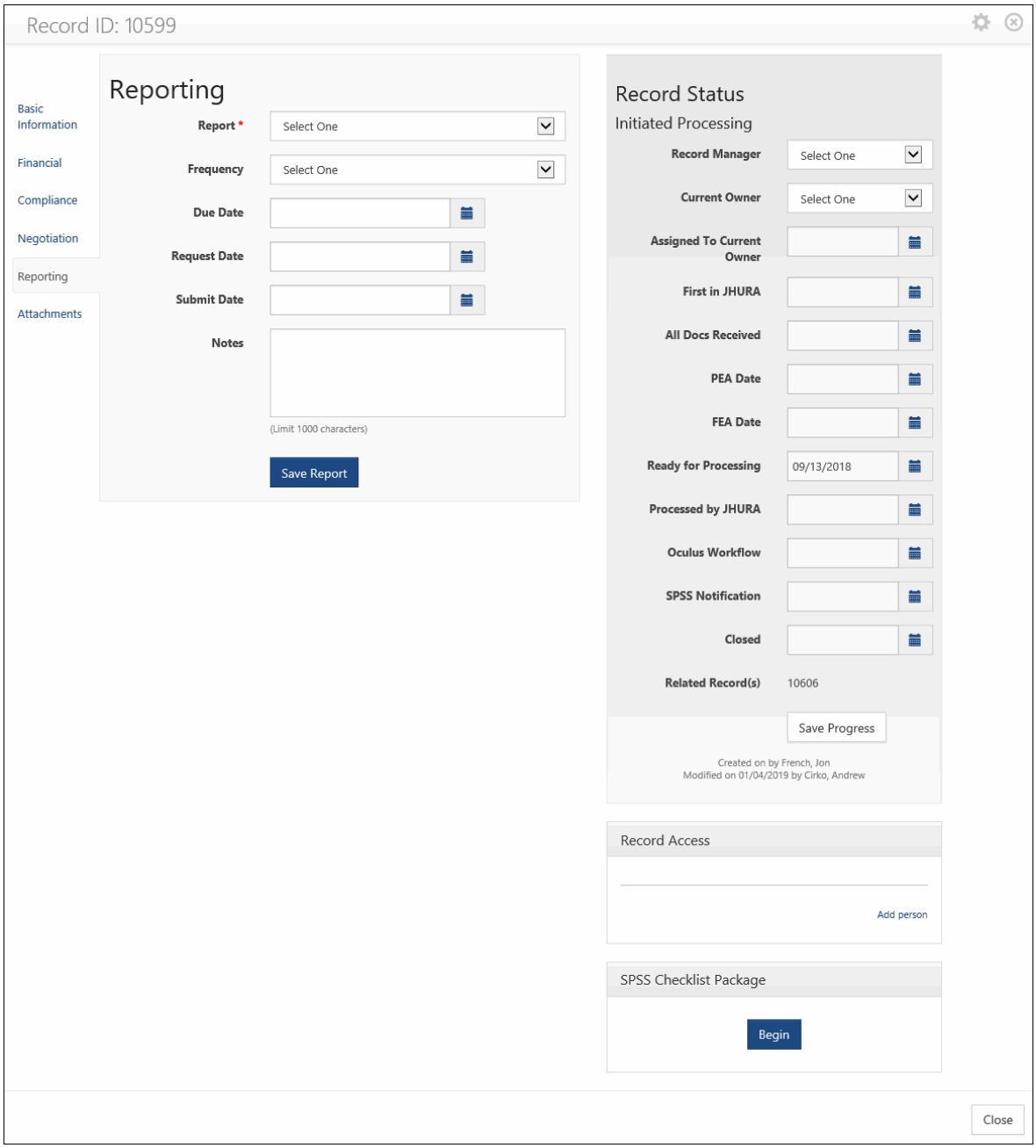


Figure 17: Reporting Page

Enter the reporting information in the provided fields, as described in the table below. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Field	Description	Notes
Report*	Type of Closeout report.	Select from dropdown list.
Frequency	How often the report is being requested.	Select from dropdown list.
Due Date	The date the report is due back to the Sponsor.	Enter or select date.
Request Date	The date JHURA requested information from another department.	Enter or select date.
Submit Date	The date JHURA submitted the report to the Sponsor.	Enter or select date.
Notes	Add any relevant notes or comments in this field.	Enter up to 1000 characters. A count of the entered characters will be displayed below the field.

*Note: The fields marked with * are required.*

Click on **Save Report** to enter the information into JAWS. If any required fields are missing, the information will not be saved and an error message will appear below those fields. If the information is complete, a confirmation message will briefly appear below the **Save Report** button.

Note: Multiple reports can be saved.

The following example shows the Reporting page with information for a report entered.

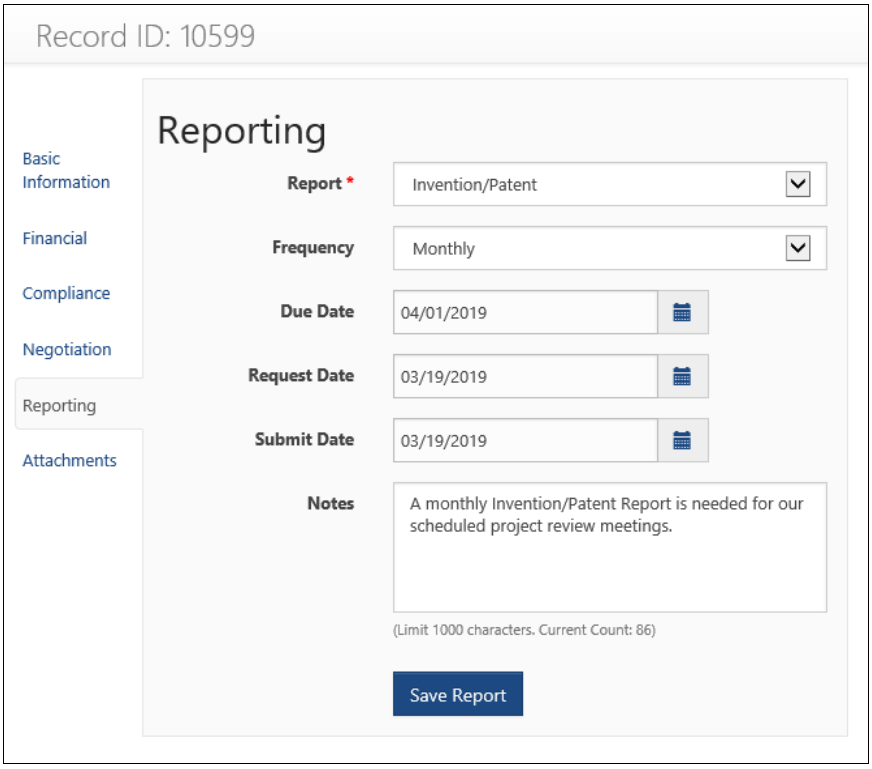


Figure 18: Report Information Entered

Click on **Save Report**. The report information is displayed below the input fields.

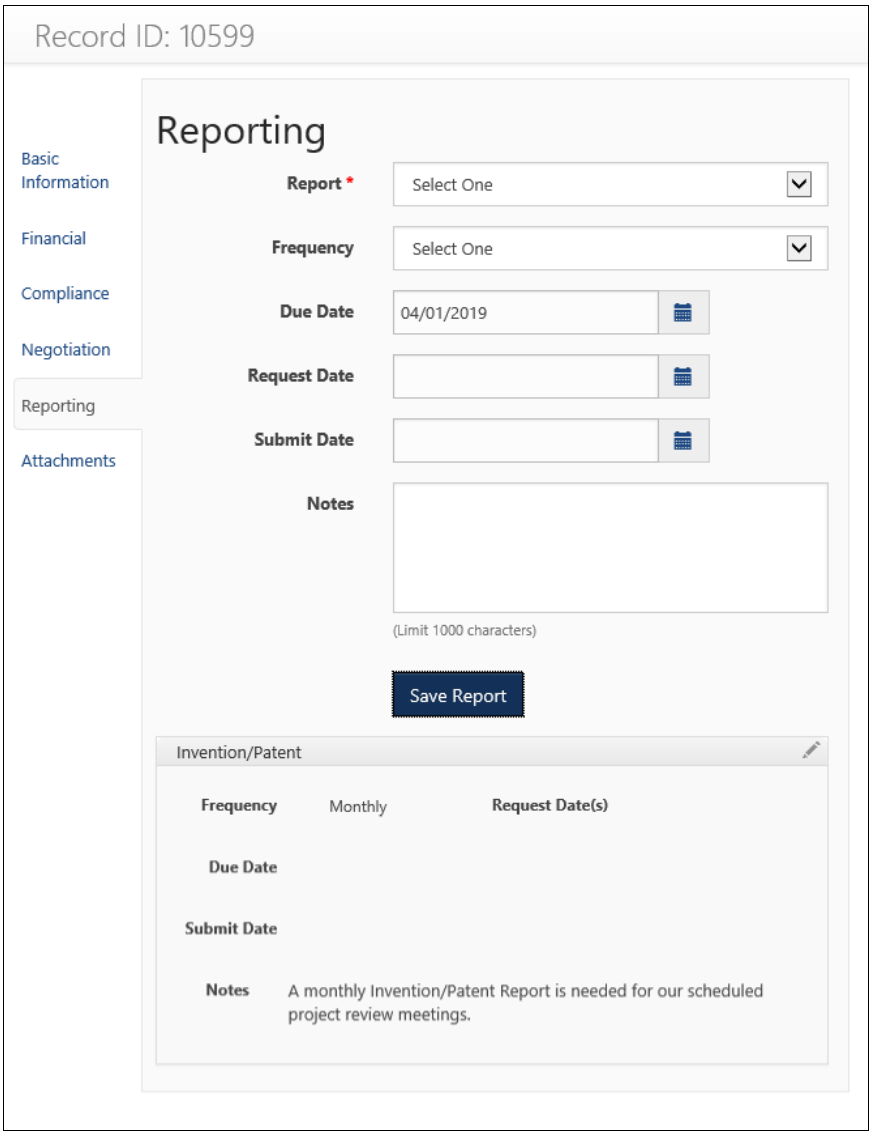


Figure 19: Saved Report

To edit a saved report, click on the in the upper right corner of the report. As shown in the following figure, fields are provided to modify the information that was entered when creating the report except for the type of report. Also, attachments can be added to a report when it is being edited.

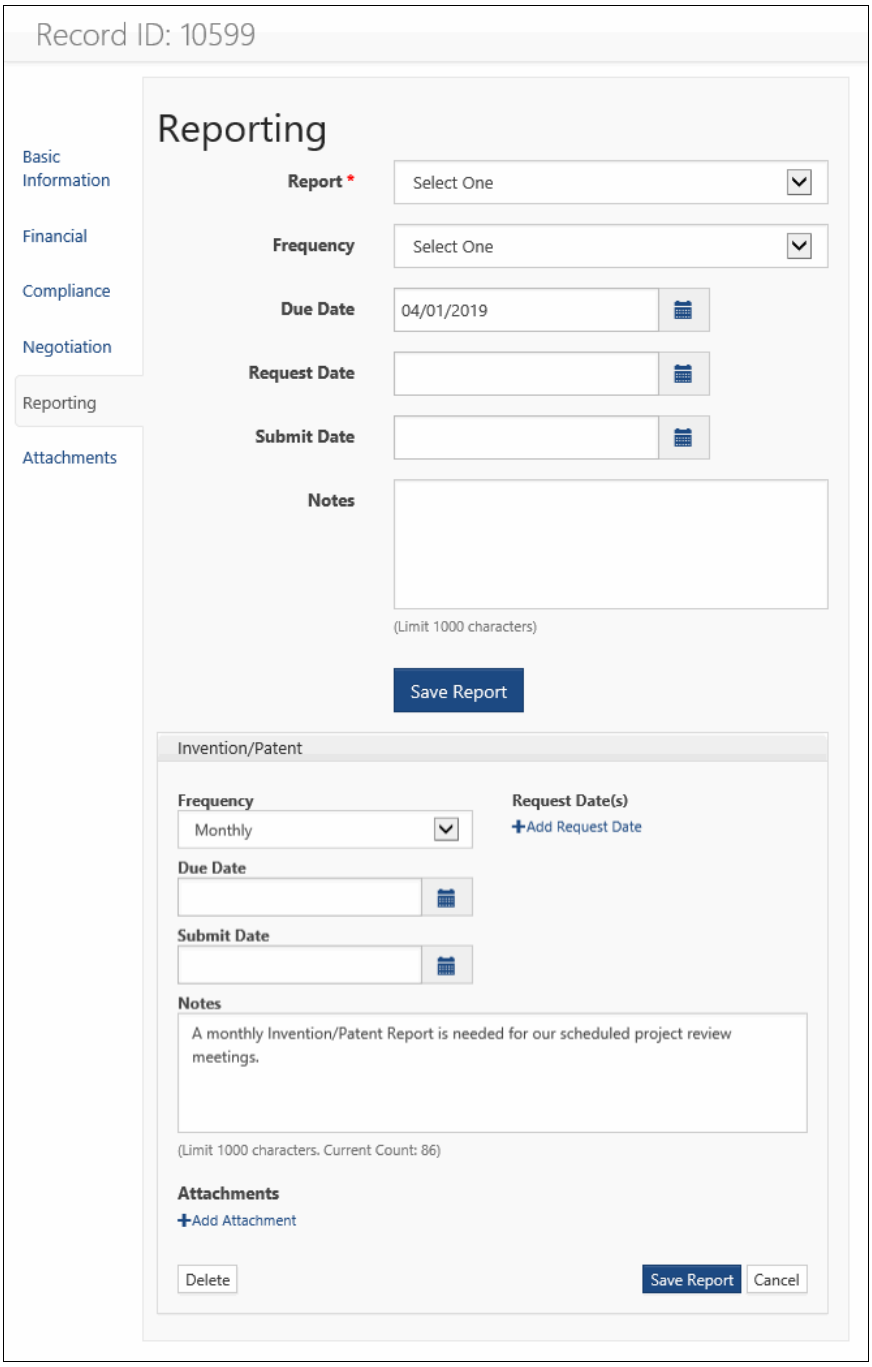


Figure 20: Edit Report

5.8 Attachments Tab

Click on the **Attachments** tab to display the *Attachments* page.

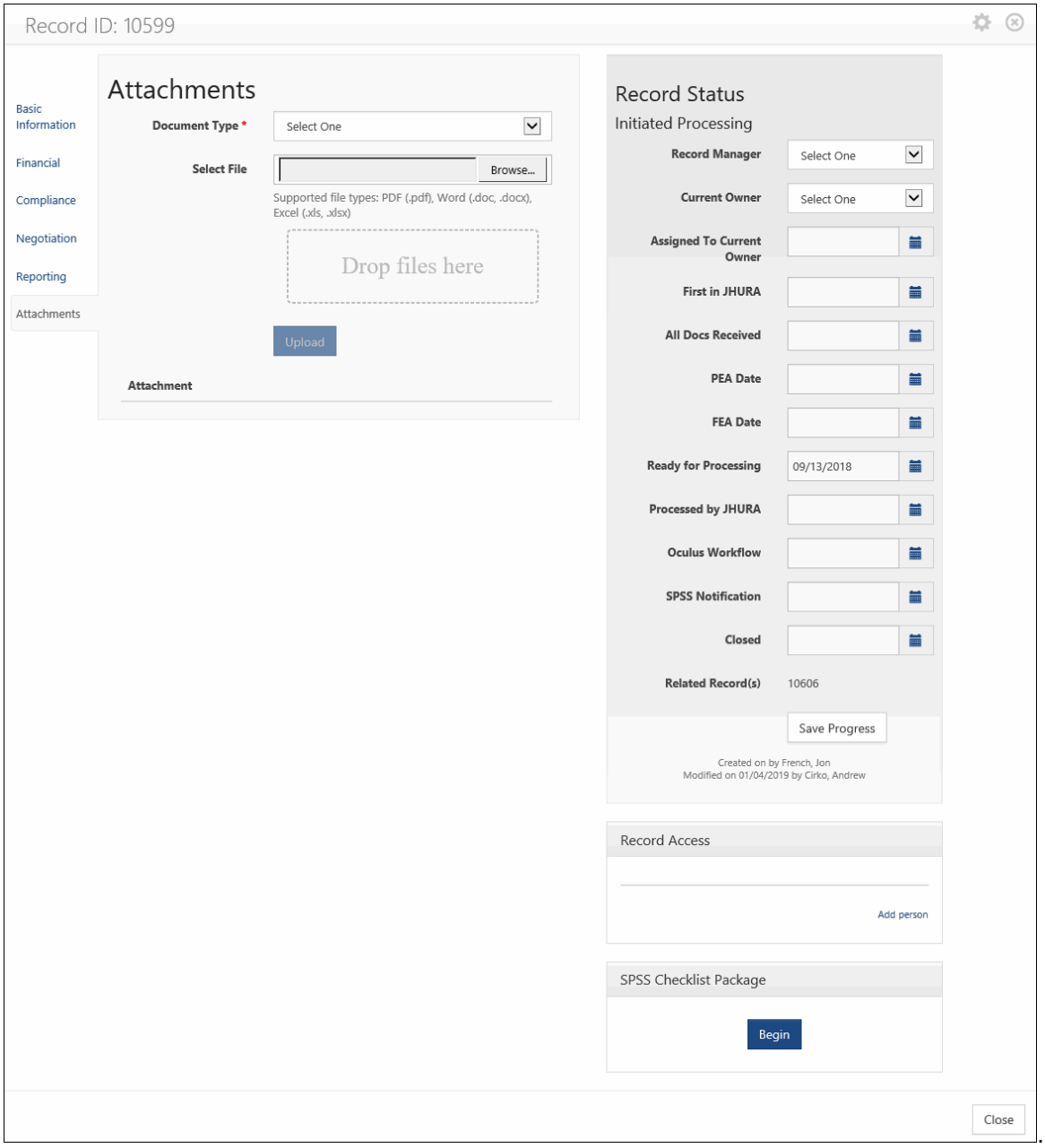


Figure 21: Attachments Page

The fields are listed and described in the table below. Refer to Appendix B, *JAWS Field Responsibilities* for additional information.

Field	Description	Notes
Document Type*	The type of document being uploaded to the record.	Select from dropdown list.
Select File	The file attachment being uploaded to the record.	Browse for file on computer.

Note: The Document Type field is required.

The following formats are acceptable for attachments:

- PDF (.pdf)
- Word (.doc, .docx)
- Excel (.xls, .xlsx)

To enter an attachment, select the *Document Type* from the dropdown list and click on **Browse…** The *Choose File to Upload* window will appear. Find the file on your computer and double-click on it to select it and close the window and return to the *Attachments* page. Click on **Upload** to upload the document to JAWS and associate it with this record.

As the files are uploaded, they are listed in the section below the **Upload** button.

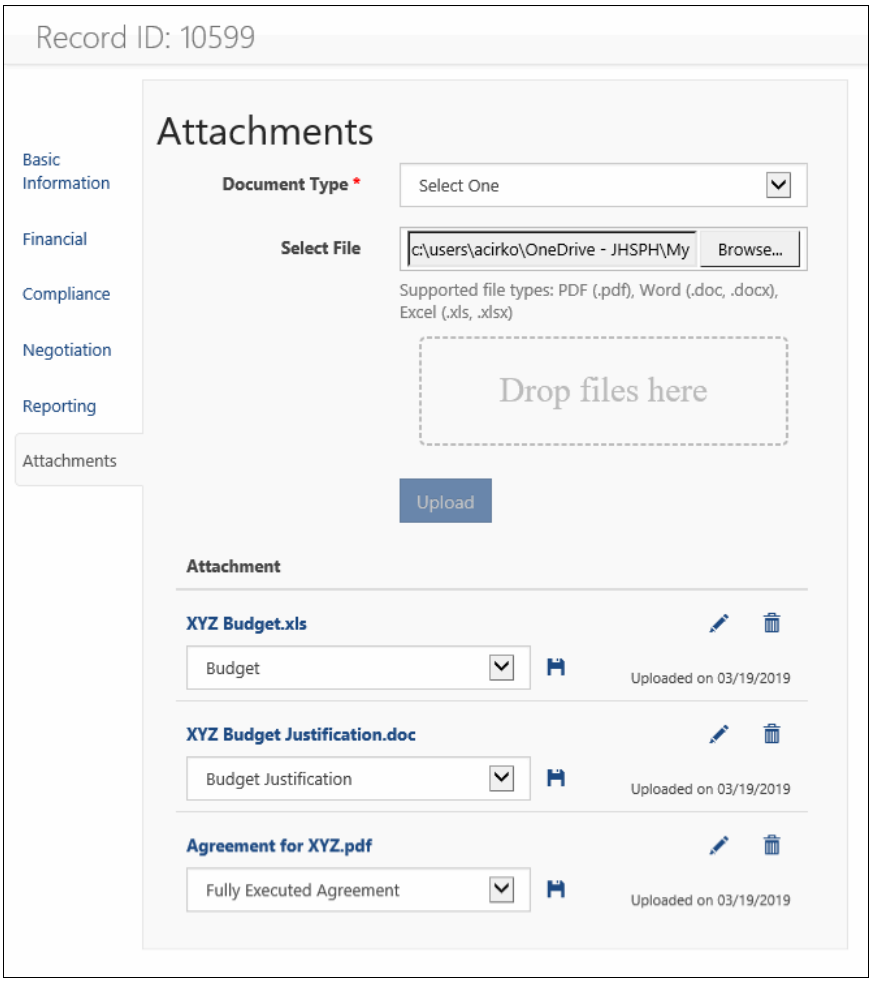


Figure 22: List of Attachments

6 GENERATING THE SPSS CHECKLIST PACKAGE

When a date is entered in the *Ready for Processing* field in the *Record Status* panel (the gray section on the right side), the *SPSS Checklist Package* area appears on the right side, directly below the *Record Access* panel.

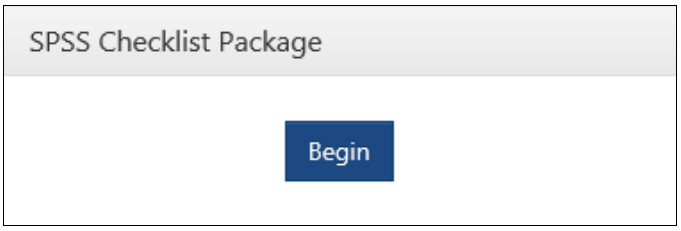


Figure 23: Begin SPSS Checklist Package Generation Process

It includes a **Begin** button and the name of the previously generated SPSS Checklist, if any. To generate the SPSS Package, click on **Begin**. The attachments that you previously uploaded in the Attachments tab will be listed.

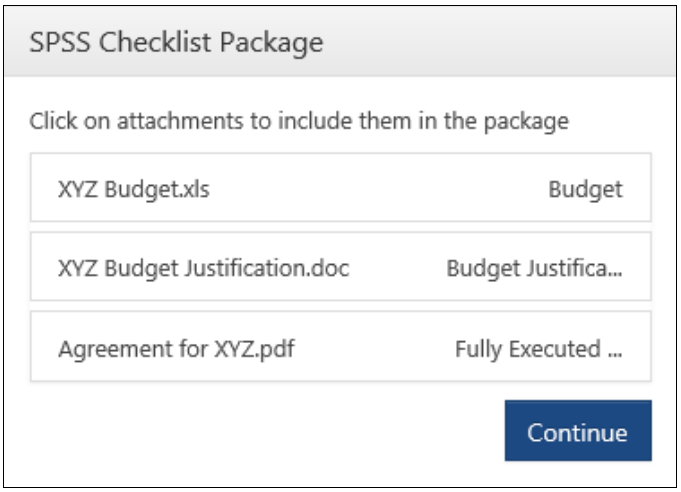


Figure 24: Including Attachments in Package

Click on attachments in the list to select them for inclusion in the package. When you click on a document, it turns blue.

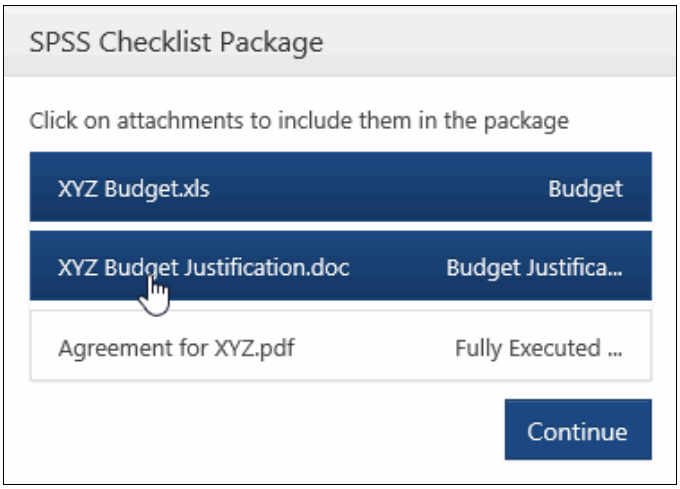


Figure 25: Clicking on Attachments

After selecting the attachments for the package, click on **Continue**. You are now given the opportunity to rearrange the documents in the order that you would like them to appear in the package.

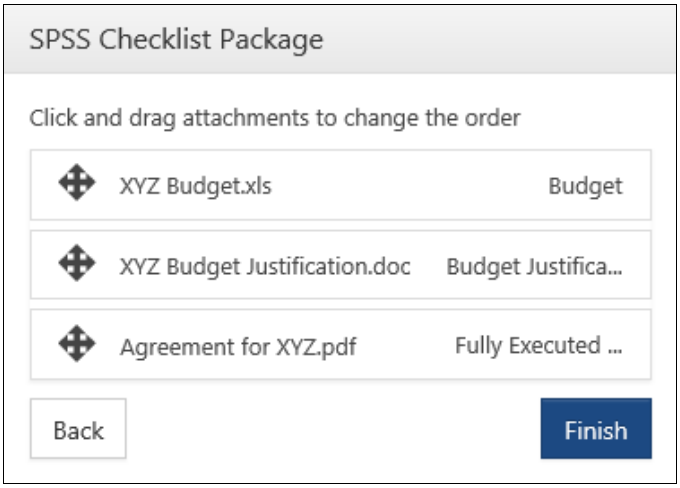


Figure 26: Changing the Order of Attachments

To move an attachment up or down in the list, click on it, hold the mouse bottom down, and drag it to the desired place in the list. When you are satisfied with the order, click on **Finish** to generate the SPSS Package.

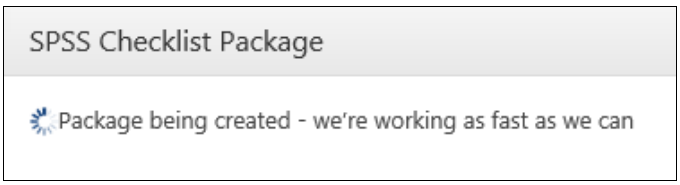


Figure 27: SPSS Checklist Package Generating

After the package has been generated, the SPSS Checklist Package area of the page will display the file name and the package creator's name. The filename is always in the form **SPSSChecklist_*<creation date>*.pdf**, as shown below.

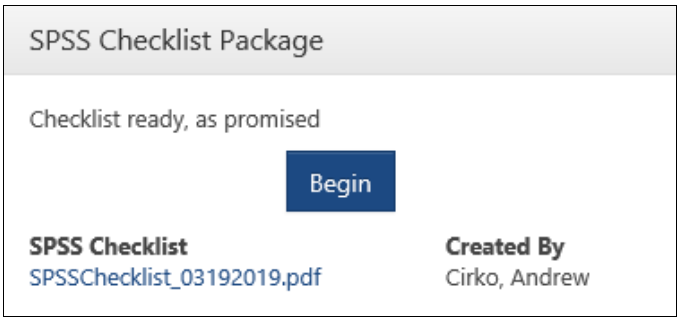


Figure 28: SPSS Checklist Package Created

The filename is a clickable link that can be used to open or save the package file.

Note: Only one checklist package can be saved in an agreement at a time. If you generate a new package, you will be given the opportunity to overwrite the old one.

The SPSS Checklist Package file contains the *Sponsored Projects Shared Services Award Documentation Checklist* form and the files that you selected for the package from the list of attachments. The Checklist form, shown below, is generated by JAWS from the data entered for the agreement.

Sponsored Projects Shared Services Award Documentation Checklist			
Purpose:			SAP Award Type:
Grant No:	Coeus IP:		RCC:
Sponsor:			Sponsor No:
Award ID:			
PI Name:		Personnel No:	
Incoming Subaward:	If yes, provide prime sponsor:		
Preaward Request:			
Grant Action Amt:		Project Dates:	
Grant Cum. Amt:		Budget Dates:	
Project Title:			
F&A Function:	Location:		Country Code:
Country Name:			
F&A Rate:			
Billing Rule:		Payment Method:	
Allocations:			
Grant Div Use 1:		Grant Div Use 2:	
Grant Div Use 3:		Grant Div Use 4:	
Award Interest:			
Unexpended Bal:		Admin Salaries (612000):	
Spon. Supp. Services (644000):		BSPH Contract Fee (644100):	
Cost Sharing:	CS $:	CS Fund:	CS RCC:
Recharge:	Rate:	Fund:	Cost Object:
Financial Reporting:			
Special Notes:			
JHURA Verification			
IRB:	Protocol No:		Exp Date:
IACUC:	Protocol No:		Exp Date:
Name:		Date:	

Figure 29: SPSS Award Documentation Checklist

To continue processing the agreement record, update the *Processed by JHURA* date in the *Record Status* panel. The Record Status will change to *Workflowed by JHURA*. Next, change the owner to Finance for all BSPH records - this will generate and send an email to that office, informing them that the record and SPSS Checklist Package are ready. SPH Finance will login, update the *Financial* page, and then create an updated package.

All other records should be changed to Owner SPSS.

7 RECORD STATUS AND RECORD ACCESS PANELS

The right portion of the JAWS record pages contains the *Record Status* panel and the *Record Access* panel.

7.1 Record Status Panel

The *Record Status* panel displays the following information about the record:

- Record status.
- Record Manager, the person who is responsible for the overall record.
- Current Owner, the person who is currently working the file.
- Dates on which key events were completed.
- Creation and modification history of the record (see Section 8).

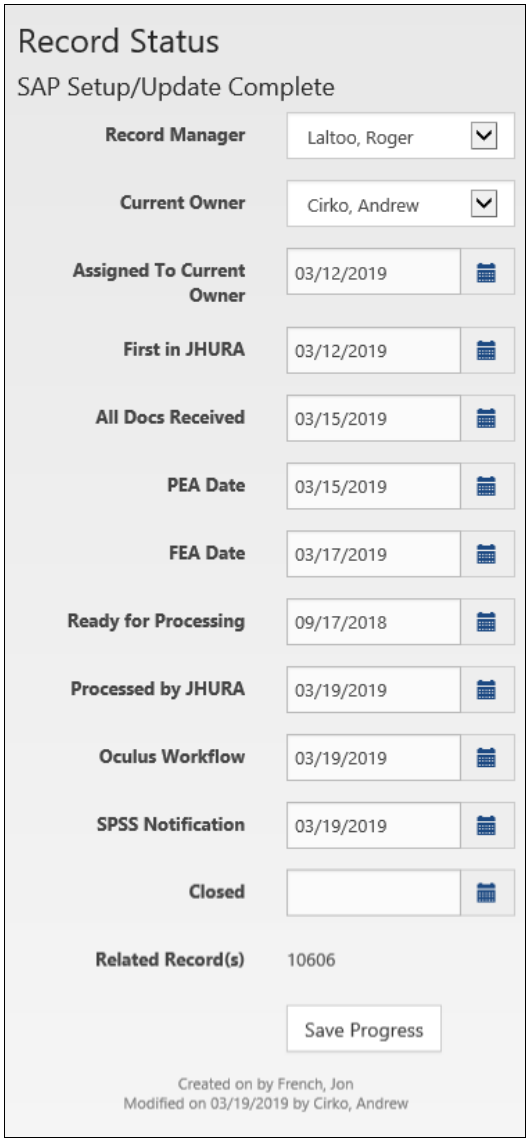


Figure 30: Record Status Panel

Select or enter a date to update the progress of the record and click on **Save Progress** to save the change.

The following table contains the JAWS events as listed in the *Record Status* panel, the corresponding *Record Status* for each, and whether or not the addition of a date to the *Record Status* panel causes JAWS to send an email about the record.

Event	Record Status	Email Sent
Working on record not saved	Pending Save	No
Record Saved	In Progress	No
Assign Owner	Owner Assigned	**Yes**
On hold *	On Hold	No
Remove from hold *	*Previous Status*	No
Withdrawn **	Withdrawn	No
First in JHURA	Initiated	No
All Docs Received	Review and Negotiation	No
PEA date	PEA	No
FEA date	Fully Executed	**Yes**
Ready for Processing	Initiated Processing	No
Processed by JHURA	Workflowed by JHURA	No
Oculus Workflow	At SPSS	No
SPSS Notification	SAP Setup/Update Complete	No
Closed	Closed	No

* Refer to Appendix F, *JAWS Notes and Hold Guide*.

** Refer to Appendix E, *JAWS Record Withdrawal and Deletion*.

7.2 Record Access Panel

The *Record Access* panel displays the names of all people who have been added to the access list for the JAWS record.

Note: Although the Principal Investigator (PI) and all members of the PI Unit have access to the record, they are not listed in the Record Access panel.

Figure 31: Record Access Panel

To add a person to the access list, click on the **Add person** link and enter the person's last name, first name, and JHED ID in the *Add Person* window.

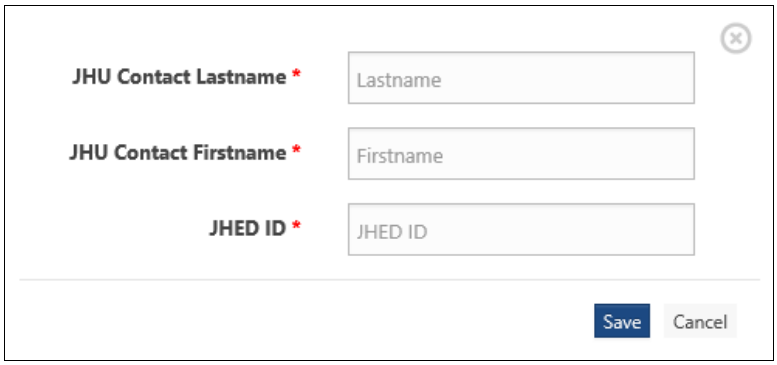


Figure 32: Add Person

Note: Before entering a JHED ID, verify that it is the correct one for the person you wish to add. The system will check for the existence of the JHED ID, but it will not verify that the JHED ID corresponds to the name that you enter.

Click on **Save** to grant access to the person and add them to the *Record Access* panel.

8 ACTIONS MENU

The *Actions* menu is accessed by clicking on the ⚙ in the upper right corner of any record page.

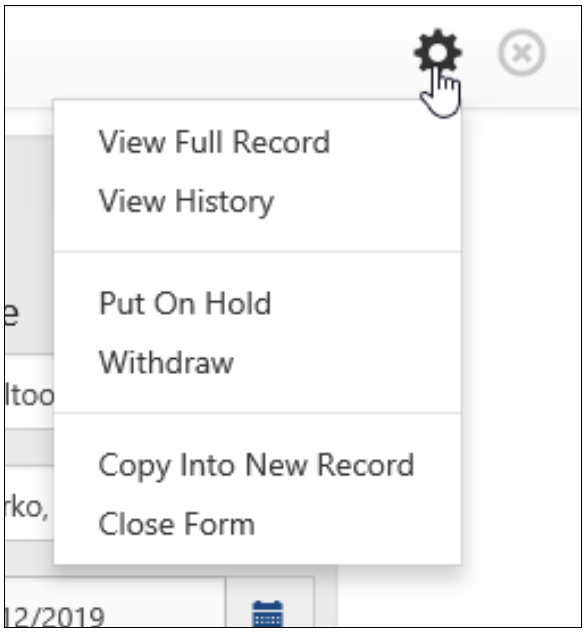


Figure 33: Actions Menu

The *Actions* menu contains the following options:

Option	Description
View Full Record	Displays the complete record for the agreement.
View History	Displays the creation and modification history for the agreement.
Put On Hold/Remove From Hold	Changes the status of the agreement to *On Hold* or removes the *On Hold* status (menu option displayed depends on agreement status).
Withdraw	Withdraws the record from processing and prevents any further modification.
Copy Into New Record	Copies the contents of the record's Basic Information tab to a new record.
Close Form	Closes the record.

Note: JAWS administrators also have a Delete option, which is used to delete a record from the system.

9 EMAILS SENT BY JAWS

Six different email messages are generated and sent by the JHURA Agreement Workflow System (JAWS).

1. **The following email is sent when Owner has been assigned, and each time an owner is changed:**

   To: [*Current Owner*]

   Subject: The Agreement with [*Sponsor*] for [*PI Name*] has been assigned # [*Record #*] - [*Record Status*]

   The following agreement has been assigned to [*Current Owner*]:

   Record ID.: [*Record #*]
   PI: [*PI Name*]
   SAP Grant #: [*SAP Grant #*]
   Responsible Cost Center: [*Responsible Cost Center*]
   Department: [*PI Unit*]
   Sponsor: [*Sponsor*]
   Type: [*Agreement Type*]
   PD: [*COEUS PD*]
   IP: [*Subsequent IPN*]
   Original IP: [*Original IPN*]

2. **The following email is sent when the Processed by JHURA date is entered:**

   To: [*JHU Contacts*]

   Subject: Agreement # [R*ecord #*] for [*PI Name*] has been fully executed and sent to Finance (JHSPH) or SPSS (non-JHSPH) for processing.

   The following agreement has been sent for processing:
   Record ID.: [*Record #*]
   PI: [*PI Name*]
   SAP Grant #: [*SAP Grant #*]
   Responsible Cost Center: [*Responsible Cost Center*]
   Department: [*PI Unit*]
   Sponsor: [*Sponsor*]
   Type: [*Agreement Type*]
   PD: [*COEUS PD*]
   IP: [*Subsequent IPN*]
   Original IP: [*Original IPN*]

3. **The following email is sent when *Yes* is selected for *Outgoing Subawards?* On Basic Information tab:**

   To: mharr154@jhu.edu

   Subject: The Agreement with [*Sponsor*] for [*PI Unit*] for Record No. [*Record #*] shall have an outgoing subaward.

   Record ID.: [*Record #*]
   Subrecipient(s): [Information from optional text box to be added]
   Sponsor: [*Sponsor*]
   PI: [*PI Name*]
   Department: [*PI Unit*]

Responsible Cost Center: [*Responsible Cost Center*]
PD: [*COEUS PD*]
IP: [*IPN*]
Original IP: [*Original IPN*]
SAP Grant #: [*SAP Grant #*]
Type: [*Agreement Type*]

4. **The following email is sent when *Fast Track* is selected in Basic Information tab and/or when *Prepared for JHURA signature* is selected in Negotiation tab:**

   To: [*Current Owner*]

   Subject: Signature Ready

   The following agreement has been assigned to [*Current Owner*]:

   Record ID.: [*Record #*]
   PI: [*PI Name*]
   Department: [*PI Unit*]
   Sponsor: [*Sponsor*]
   Type: [*Agreement Type*]

5. **The following email is sent when Record Manager has been assigned, and each time a Record Manager is changed:**

   To: [*Current Owner*]

   Subject: The Agreement with [*title*] for [*PI Name*] has been assigned # [*Record #*] - ([*Record Status*])

   You are currently now the Record Manager of:

   Record ID.: [*Record #*]
   PI: [*PI Name*]
   SAP Grant #: [*SAP Grant #*]
   Responsible Cost Center: [*Responsible Cost Center*]
   Department: [*PI Unit*]
   Sponsor: [*Sponsor*]
   Type: [*Agreement Type*]
   PD: [*COEUS PD*]
   IP: [*Subsequent IPN*]
   Original IP: [*Original IPN*]

6. **The following is sent if a record has been on hold for the specified number of business days:**

   To: [*Current Owner*]

   Subject: JAWS Record [*Record #*] On Hold Reminder

   This record has been on hold since [*On Hold date*].

   Please take appropriate action, if any.

10 JHURA JAWS SURVEY

When a date is entered and saved in the *Processed by JHURA* field in the *Record Status* panel, email messages will be sent to the PI and JHU Contacts asking them to complete a JHURA survey, accessible through a link in the email. The purpose of this brief survey is to receive feedback on the user's satisfaction with JHURA's service.

Individuals will only receive a survey request if they have not received one for any JAWS record in the last 90 days.

APPENDIX A JAWS WORKFLOW

1. Agreement comes into JHURA.
    a. Sponsored Projects Specialist (SPS) clicks on **New Record**.
    b. SPS fills in First in JHURA date and completes *Basic Information* tab and clicks on **Save**.
    c. SPS uploads the agreement and any other documentation to *Attachments*.
    d. SPS selects *Current Owner (CO)* and fills in *Assigned to Current Owner* date and clicks on **Save Progress**.
2. Initial Agreement Review.
    a. CO performs initial review, collects any additional information and uploads to Attachments.
    b. When all documentation is received, CO fills in *All Docs Received* date and clicks on **Save Progress**.
3. Agreement Review/Negotiation.
    a. CO completes *Basic Information* tab and clicks on **Save**.
    b. CO adds negotiations to *Negotiation* tab as necessary.
        i. Select activity type and include additional notes as necessary. Will automatically date stamp.
        ii. Can put on/off hold if delay outside JHURA.
        iii. If further internal JHURA review is needed, attach current version as draft in *Attachments* tab, select activity type *Prepared for internal JHURA review* in Negotiation, and change Owner to other JHURA reviewer. That reviewer will provide feedback, upload current draft, if changed, and assign the record back to previous CO.
    c. Once finalized, CO uploads finalized/signature-ready .pdf Agreement to Attachments tab.
4. Partially Executed Agreement (PEA)
    a. CO assigns owner to and clicks on **Save Progress**.
    b. Signatory signs signature-ready Agreement that was uploaded to *Attachments*, and uploads PEA into *Attachments*. Signatory fills in *PEA Date*, changes owner back to CO and clicks on **Save Progress**.
5. Fully Executed Agreement (FEA)
    a. CO processes award for sponsor signature (if necessary).
    b. CO uploads FEA to *Attachments*.
        i. If funded, CO changes owner to SPS for processing, fills in *Ready for Processing* date and clicks on **Save Progress**.
        ii. If unfunded, CO completes any additional fields, fills in *FEA date,* date and clicks on **Save Progress**. Record is now complete.
6. Ready for Processing/Oculus Workflow (Funded Agreements Only)
    a. Packet is now available for creation.
    b. SPS completes record per School guidelines.

c. SPS clicks on **Begin** packet. Select all appropriate attachments for Oculus packet. Put them in the correct order and click on **Finish**.

   i. For JHSPH, SPS changes CO to Finance and clicks on **Save Progress**. Finance completes *Financial* tab and creates packet. When packet is uploaded to Oculus, Finance fills in *Oculus Workflow* date and clicks on **Save Progress**.

   ii. For all other schools, SPS completes appropriate fields, creates packet, uploads to Oculus, fills in *Oculus Workflow* date and clicks on **Save Progress**.

7. SPSS Notification (Funded Agreements Only)

   a. When notification of account setup/update received from SPSS, SPS fills in *SPSS Notification* date and clicks on **Save Progress**. Record is now complete.

APPENDIX B JAWS FIELD RESPONSIBILITIES

All Awards

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
BASIC INFORMATION				
New or Modification?	X			
Related Record	X			
Funded?	X			
Agreement Type	X			
Fast Track	X			
Keywords	X* (if the award relates to COVID Research, enter COVID as a keyword)			
IPN	X			
Original IPN	X			
Sponsor	X			
Prime Sponsor	X			
PI Name	X			
PI Unit	X			
Project Title	X			
Organization Type	X			
Coeus PD	X			
SAP Grant #	X			
Sponsor Award Number	X			
Proposal Type	X			
International Activity?		X		
Outgoing Subawards?	X			
JHURA Template?				X
Publication Restriction?			X	X
IP Ownership			X	X
Data/FISMA Plan Required?			X	X
Business Ethics				X
252.204-7012				X
Royalty Sharing Terms			X	X
Comments			X	X
Sponsor Contact	X			
JHU Contacts	X			
RECORD STATUS				
Record Manager	X			
Current Owner		X	X	X
Assigned to Current Owner	X	X	X	X
First in JHURA	X			

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
All Docs Received			X	X
PEA Date			X	X
FEA Date			X	X
Ready for Processing			X	X
Processed by JHURA		X		
Oculus Workflow		X		
SPSS Notification	X			
Closed	X			
FINANCIAL				
SAP Award Type				
Purpose		X* (if the award relates to COVID Research, enter COVID as a keyword)		
Primary IO Number (CAD)				
Responsible Cost Center		X		
Incoming Subaward?				
Pre-Award Request?				
Grant Amount (Cumulative) $				
Grants Amount (Action) $				
Project Start Date				
Project End Date				
Budget Start Date				
Budget End Date				
F&A Function		X		
Rate Type?				
F&A Base				
Location (On/Off)		X		
Country Code				
F&A Rate				
Grant Div. Use 1				
Grant Div. Use 2				
Grant Div. Use 3				
Grant Div. Use 4				
Billing Rule				
Payment Method				
PI Personnel Number				
Award Interest				
Unexpended Balance				
Allocations?				
Admin. Salaries (612000)				

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
Spons. Sup. Services (6444000)				
Contract Fee (644100)				
Cost Sharing?				
Recharge				
Financial Reporting				
Special Notes				
Automatic Carryforward				
COMPLIANCE				
Effort Training?		X		
FCOI Training?		X		
GCP Training?		X		
IRB?		X		
IACUC?		X		
Comments		X		
ATTACHMENTS				
Budget		X		
Budget Justification		X		
Draft Agreement			X	X
Finance Spreadsheet				
Fully Executed Agreement				
Intake Form	X			
Master Agreement		X		
MTA Request Form				X
Negotiation Correspondence			X	X
Notice of Award				
Original Agreement	X			
Partially Executed Agreement			X	X
PreAward Request Form	X			
Proposal Summary Sheet		X		
Related Agreement		X		
Report				
Scope of Work		X		
Signature Ready Agreement			X	X
Supporting Documentation	X	X	X	X
Other	X	X	X	X

Federal Notice of Awards

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
BASIC INFORMATION				
New or Modification?	X			
Related Record	X			
Funded?	X			
Agreement Type	X			
Fast Track	X			
Keywords		X* (if the award relates to COVID Research, enter COVID as a keyword)		
IPN	X			
Original IPN	X			
Sponsor	X			
Prime Sponsor	X			
PI Name	X			
PI Unit	X			
Project Title	X			
Organization Type	X			
Coeus PD	X			
SAP Grant #	X			
Sponsor Award Number	X			
Proposal Type	X			
International Activity?		X		
Outgoing Subawards?	X			
JHURA Template?				
Publication Restriction?				
IP Ownership				
Data/FISMA Plan Required?				
Business Ethics				
252.204-7012				
Royalty Sharing Terms				
Comments				
Sponsor Contact				
JHU Contacts	X			
RECORD STATUS				
Record Manager	X			
Current Owner	X	X		
Assigned to Current Owner	X	X		
First in JHURA	X			
All Docs Received		X		
PEA Date		X		

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
FEA Date		X		
Ready for Processing		X		
Processed by JHURA		X		
Oculus Workflow		X		
SPSS Notification	X			
Closed	X			
FINANCIAL				
SAP Award Type				
Purpose		X* (if the award relates to COVID Research, enter COVID as a keyword)		
Primary IO Number (CAD)				
Responsible Cost Center		X		
Incoming Subaward?				
Pre-Award Request?				
Grant Amount (Cumulative) $				
Grants Amount (Action) $				
Project Start Date				
Project End Date				
Budget Start Date				
Budget End Date				
F&A Function		X		
Rate Type?				
F&A Base				
Location (On/Off)		X		
Country Code				
F&A Rate				
Grant Div. Use 1				
Grant Div. Use 2				
Grant Div. Use 3				
Grant Div. Use 4				
Billing Rule				
Payment Method				
PI Personnel Number				
Award Interest				
Unexpended Balance				
Allocations?				
Admin. Salaries (612000)				
Spons. Sup. Services (6444000)				

	Specialist	Sr. Specialist	Grants Associate	Contracts Associate
Contract Fee (644100)				
Cost Sharing?				
Recharge				
Financial Reporting				
Special Notes				
Automatic Carryforward				
COMPLIANCE				
Effort Training?		X		
FCOI Training?		X		
GCP Training?		X		
IRB?		X		
IACUC?		X		
Comments		X		
ATTACHMENTS				
Budget		X		
Budget Justification		X		
Draft Agreement				
Finance Spreadsheet				
Fully Executed Agreement				
Intake Form	X			
Master Agreement				
MTA Request Form				
Negotiation Correspondence				
Notice of Award	X			

Checklist - Workflow Docs

Attachment Type	New	Mod
Budget	Y	Only if the original budget changed or is not included in the award document. Does not apply to NCEs.
Budget Justification	Y	N
Draft Agreement	N	N
Finance Spreadsheet	N	N
Fully Executed Agreement	Y	Y
Intake Form	N	N
Master Agreement	Yes if the award document is a new Task Order.	N
MTA Request Form	N	N
Negotiation Correspondence	N	N
Notice of Award	Yes if Notice of Award, takes the place of an FEA.	N
Original Agreement	N	N
Partially Executed Agreement	N	N
PreAward Request Form	N	N
Proposal Summary Sheet	Y	Y
Related Agreement	N	N
Report	N	N
Scope of Work	Y	Only if the original SOW changed. Does not apply to NCEs.
Signature Ready Agreement	N	N
Supporting Documentation	If applicable. Includes cost sharing approval, IRB/IACUC approvals, etc.	If applicable. Includes cost sharing approval, IRB/IACUC approvals, etc.
Other	N	N
Budget	Y	Only if the original budget changed or is not included in the award document. Does not apply to NCEs.

APPENDIX C JAWS AGREEMENT TYPE GUIDE

	Agreement Type	Possible Titles/Keywords	What It Is	Funded/ Non-Funded	Assign to: GA/CA
1	Allocation Agreement	Allocation Agreement	An agreement to share or allocate IP rights between parties.	Non-funded	CA
2	CDA/NDA	Confidential Disclosure Agreement/Non-Disclosure Agreement, MEDE Consortium Non-Disclosure Agreement, Confidentiality Agreement, Propriety Information Agreement	Agreement that ensures that discussions (between JHU and Entity) are kept confidential while interested parties determine if they should pursue future sponsored activity.	Non-funded	CA
3	Cooperative Agreement	Title of document will say 'cooperative agreement'	Like a grant, but where the Government expects to be much more involved in project planning and implementation. This participation is referred to as “substantial involvement”. Primary purpose is to transfer funds or something of value to a recipient to accomplish a public purpose.	Funded	GA
4	CRADA	Cooperative Research And Development Agreement	A contract between a federal agency and a nonfederal entity. CRADAs are intended to allow the federal government and non-Federal partners to optimize their resources, share technical expertise in a protected environment, share intellectual property emerging from the effort, and speed the commercialization of federally developed technology.	Funded	CA
5	Data Use Agreement	Data Transfer Agreement, Use of Data Agreement, Data Exchange Agreement	Agreement type for the transfer or use of data where the data is nonpublic or is otherwise subject to some restrictions on its use.	Non-funded	CA
6	Equipment Loan Agreement (Bailment)	Leasing Agreement (for an ITEM, piece of equipment, etc.), Bailment Agreement	Agreement where one party agrees to take physical possession of another's property for stated purpose, but does not take ownership of it/will return it.	Funded	CA
7	Grant	Title of document will say 'grant' - or there will be few legal provisions at all, but reporting requirements and a specific use intended. If no reporting requirements and no restrictions, review or question as it may be a 'gift'	Transfer money to recipient to accomplish public purpose. Lots of Foundations, etc.	Funded	GA

	Agreement Type	Possible Titles/Keywords	What It Is	Funded/ Non-Funded	Assign to: GA/CA
8	Incoming Professional Services Agreement	Professional PRACTICE Services Agreement, Consulting Agreement, Purchase Order, Service Rate Agreement, Consultant Agreement, Program Participation Agreement (CSOS, Education), Fee-For-Service Agreement (CRRE, Education), Student Design Support Agreement (Mechanical Engineering), Family Spirit Program Agreement (International Health). Listed in Coeus as "Other Sponsored"	JHU providing a service/consulting to sponsor. Other Sponsored Activity. Analyzing someone else's data, trainings etc.	Funded	CA
9	Incoming Subcontract	Could look like a regular Incoming Professional Services Agreement or Standard Research Agreement, but if there's a PRIME SPONSOR (i.e., some other organization is funding the sponsor funds that are flowing down to JHU) listed (on the intake form, in Coeus, or referenced in the agreement document), it's a subcontract or subgrant. Check Coeus if unsure as to Grant or Contract	Prime Sponsor > Prime Sponsor awards Sponsor > Sponsor awards JHU	Funded	CA
10	Incoming Subgrant	Subgrant, Research Subaward Agreement	An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of an award received by the pass-through entity by a prime sponsor. (See above.)	Funded	GA
11	Letter of Authorization	LOA, Letter of Agreement	Letter authorizing spending for a specific period of time prior to issuance of an agreement.	Funded	CA/GA
12	License Agreement	License Agreement	Likely should be handled by JHTV. Grants the licensee the right to produce and sell goods, apply a brand name or trademark, or use patented technology/copyright/other intellectual property owned by the licensor.	Funded	CA/Email first

	Agreement Type	Possible Titles/Keywords	What It Is	Funded/ Non-Funded	Assign to: GA/CA
13	Master Agreement	Master Services Agreement, Master Collaboration Agreement, Indefinite Delivery/Indefinite Quantity, Master Contract,	Activity is anticipated to be multiple projects under one umbrella agreement. Useful when working frequently with the same funder on similar technical services or consulting projects. Eliminates need to negotiate individual agreements.	Could be either - Check Coeus, if "Negotiation Only" record, Non-funded.	CA
14	Material Transfer Agreement	Material Transfer Agreement, UBMTA, UBMTA Implementing Letter	One party transferring material to another. JHURA ONLY DOES JHSPH MTAS. WSE and other schools should be done through JHTV.	Non-funded	CA
15	Membership Agreement	Consortium Agreement	The parties involved in the agreement agree to join together in a cooperative effort to support an initiative.	Non-funded	CA
16	Memorandum of Understanding	Memorandum of Understanding, Memorandum of Agreement, Letter Agreement	A formal agreement between two or more parties to establish relationship/partnership.	Could be either	CA
17	Notice of Award	NGA, NoGA, Notice of Award, Notice of Grant Award	Federal transfer of money to recipient to accomplish public purpose. NIH, NSF, NASA	Funded	Sr. Specialist
18	Pre-Teaming Agreement	Title of document will say 'pre-teaming' - typically for CCP, IH, and Jhpiego only	JHU and other institution may collaborate on a proposal and wish to document exclusivity in the event such collaboration goes forward. Not frequently used by most academic areas, as a teaming agreement usually is sufficient.	Non-funded	CA
19	Program Income Agreement	Conference sponsorship agreement	Allows JHU to keep funds received from sow to use for other agreed upon not for profit purposes	Funded	CA
20	Publication Authorship Agreement	Copyright Agreement, Publication Agreement	When a faculty is going to publish or assign rights to another entity	Non-funded typically	CA
21	Secondment Agreement/ IPA	Intergovernmental Personnel Act (IPA) Assignment	Where an employee is assigned on a temporary basis to work for another organization (listed in JAWS as the "sponsor").	Looks funded, but is considered Non-Funded (routed to finance, but not in Coeus)	CA

	Agreement Type	Possible Titles/Keywords	What It Is	Funded/ Non-Funded	Assign to: GA/CA
22	Service Center Agreement	Biostats: Master Consulting Services Agreement, Master Consulting Services Agreement Task Order.	Service centers provide consulting (they look like agreements for services and JHURA signs but they're run through internal funding mechanism within Dept. and are NOT routed through Coeus, so are considered "non-funded").	Non-Funded (all funds for Service Centers are run THROUGH the department itself, NOT in Coeus)	CA
23	Standard Research Agreement	Research Agreement, Agreement, Research Collaboration Agreement (listed in Coeus as Organized Research AND Contract)	Most commonly used agreement for research projects.	Funded	CA
24	Student Placement Agreement	Practicum, Inter-Entity Rotation Agreement, Center for Biomedical Engineering and Design (CBID) Mentor Support Agreement, Internship Agreement, Clinical Rotation Agreement	Agreement between JHU and place where student will be going to do work.	Non-Funded	CA
25	Task Order Agreement	Task Order, Purchase Order, Letter Agreement, Work Order - should refer to the Master Agreement somewhere (Typically "Task Order" in Coeus)	Activity placed under and governed by Master Agreement. Each project is a "Task" under a separate Task Order, separate Coeus #.	Funded	CA
26	Teaming Agreement	Collaboration Agreement	JHU and other institution collaborating on preparation and submission of a proposal, with one institution as prime recipient (team lead) and other institution as subrecipient (team member).	Non-Funded	CA
	Modifications/ Amendments	Amendment, Modification, Change Order, No Cost Extension, Revision.	Change being made to existing award	Could be either - Check Coeus	CA/GA (Depends upon original agreement)

Reminder: Check Coeus to confirm!

Note: Pre-Awards go in as "New" and then the subsequent agreement should go in as "Mod" and link those two records.

At this time, there are three Allocation Agreements, one Program Income Agreements, one Publication Authorship Agreements, and only three Bailment Agreements in JAWS. Ask if you think you have one of these.

APPENDIX D GUIDELINES FOR NEGOTIATION NOTES

When Do I Enter a Negotiation Note in JAWS?

Any action taken related to a JAWS record and/or its corresponding agreement requires a note recorded in the Negotiation Tab of the JAWS record. Anyone using the JAWS system should, upon reading each note, be able to comprehend a record's status and the reason for that status.

It should be clear from the latest JAWS note the most recent action taken, who took that action, and what is needed as a next step regarding the agreement.

Negotiation Note Best Practices

Good negotiation notes provide detailed information on the activity type/action taken in the comment box; great and detailed negotiation notes are helpful guides for the next reviewer.

a. Be clear, concise, accurate. Don't give added information that the next reviewer doesn't need to know or has no control over.
b. Make clear what action you have taken, what actions are currently needed, and who is responsible for them. i.e. "I redlined the agreement. Please review (the full agreement or section(s) xx) and add your comments, then pass the record back to me."
c. If you are reassigning the record to a colleague, address that person, i.e. "Dear Alex" so that the negotiation notes reflect to whom you are passing the record.
d. Be specific. If you only need review of a specific section in the agreement, note the section(s) and page number(s). This is helpful for the reviewer and can save time.
e. Re-read your note before you save it to make sure it makes sense to others and fix typos.
f. Ask yourself, 'if I received this JAWS record, would I know what needs to happen next?'

Be sure to click "save negotiation." Check your note saved.

If you made a mistake or want to fix a note, you can delete your note (click on trash can icon) and re-do it. Do not delete notes made by others.

If reassigning the record after you make your negotiation note, remember to 1) change "Current Owner" under record status on right column, 2) scroll down and 3) click "Save Progress."

Each negotiation note should describe the reasoning for the action taken. It is good practice to check previous notes before making your note to see what information is already provided.

Keep in mind that many different people have access to the notes, including the PI and departmental administrators; therefore, notes should be clear enough for them to understand and written in a professional tone.

How Often Should I Follow Up?

If a record is in your queue, you will need to add a negotiation note at a minimum, every 7 business days with an update. This may require reaching out to the party from whom you've requested a certain action, such as review or signature.

APPENDIX E JAWS RECORD WITHDRAWAL AND DELETION

Please note that the following rules will apply to Withdrawal and Deletion of JAWS records:

1. Withdrawal: A record may be withdrawn from JAWS by the assigned Record Manager (or his or her supervisor or designee) if it is determined that the record that was created appropriately, but it is no longer being pursued. Withdrawn records remain searchable within JAWS with a "Withdrawn" status.

2. Deletion: Records may be deleted only by JHURA Leadership, and only those records that have been determined to be in one or more of the following categories shall be deleted:

(a) unnecessary duplicate records (e.g., created by mistake) with no Negotiation Notes by a JHURA staff member following creation of the record;

(b) unnecessary duplicate records (e.g., created by mistake) with Negotiation Notes by a JHURA staff member indicating that the record should be withdrawn; or

(c) a record containing only documents that should not be submitted to JAWS under existing procedures. Examples include:

- proposal documents that should be uploaded into Coeus;
- placeholder documents for an agreement, such as an FDP Attachment 3B; and
- duplicate entries of the same agreement due to an intake form sent by both the department and an intake email sent by the Grants/Contracts Associate.

NOTE: No record shall be deleted from the system without consultation with the assigned Record Manager, as deleted records are no longer searchable within JAWS following deletion.

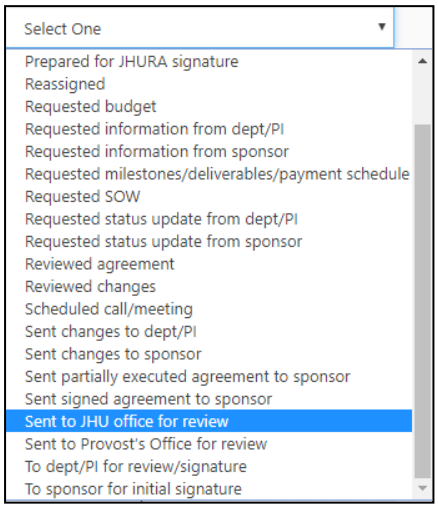
APPENDIX F JAWS NOTES AND HOLDS GUIDE

Initiated Records

1. Anytime a record is reassigned, there should be a note indicating from whom, to whom, and why.
2. Barring any unusual circumstances, no records should be on hold in the initial stages. Only note any insufficiencies in a negotiation note in the record (i.e. IRB, missing Coeus records, effort) explaining the issues and pass the record on to the GA or CA.
3. While the contract is being negotiated, Specialists should continue to check the status of any issues that they noted and are within the Specialist's tasks. When a task is completed, note the file of what was done and any information that was updated in data fields in JAWS. When a supporting document is added note the record specifying what was done.

Review and Negotiation

1. Review any notes from the Specialist, and determine whether the file can be negotiated and proceed, or if a firm hold needs to be placed until issues are resolved. If possible, continue review of any remaining portions of the record and agreement to move things along as much as possible.
2. When drafts or questions are being sent, put a negotiation note in the record indicating the draft version or file name if multiple documents. Put the record **ON HOLD** when the draft has left your desk. You can indicate a summary in the field that pops up in JAWS of the reason to put the record on hold.
   a. When a draft is sent to the Sponsor, select "Sent changes to Sponsor.
   b. When a draft is sent to another office such as General Counsel, Export Controls, Finance or Risk Management, select "Sent changes to JHU office for review"
   c. When a draft is sent to the Provost's office, select "Sent to Provost's office for review."



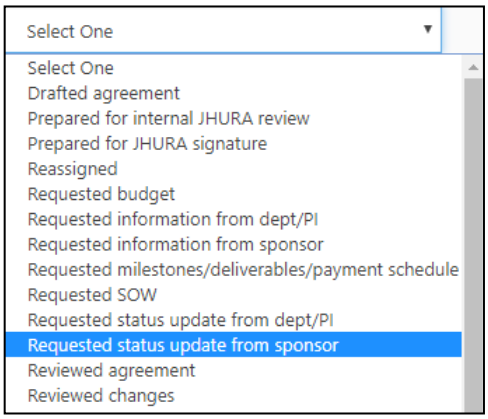
3. Put a negotiation note in each time a status update is requested while the record is on hold.
   a. Select "Requested status updates from dept/PI" when inquiring about agreements with other internal offices.
   b. Select "Requested status updates from Sponsor" when inquiring about agreements that are with the Sponsor.
4. When a draft or response is received from the sponsor or JHU office, put a note in JAWS indicating the result and take the record **OFF HOLD**. Emails received after 5pm are deemed off hold as of the following business day.

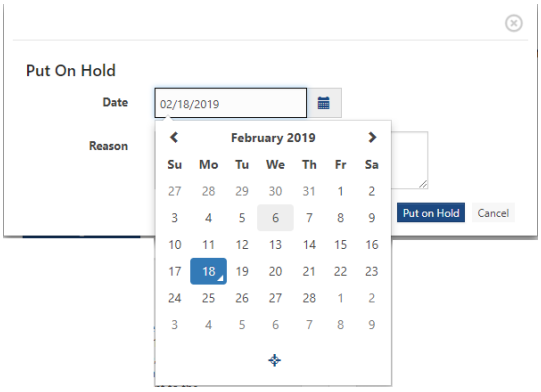
Partially / Fully Executed Workflowed

1. Do not reassign a record currently ON HOLD. Before passing a record, remove the hold, and note the file. The current record owner should put a hold on.
2. Once an agreement has left the associate assigned, Specialists can put records on hold before workflowing outside of JHURA.

General Considerations Regarding Holds

1. When a record is on hold, it is viewed as not being able to be actively worked by the current owner. View it as the hard file has been physically handed off and is not currently on the desk of the current record owner. This does not mean that the record is out of sight, out of mind. It is expected that records will be followed up weekly and each record should have a weekly note as to the status update and processing of the agreement.
2. NO INDEFINITE HOLDS
   a. If it looks like a record will be on hold for three months or longer without confidence of a definite end and outcome of the agreement (i.e. no certainty of the contract being fully signed, or there might be more information forthcoming that might require additional negotiation), then an email should be sent to the department that the record will be withdrawn, and when the project is ready to be pursued again or if JHURA can easily create a new record copying the old one and use that one to proceed. An example of a hold that has a certain outcome would be if the Executive Director of the county or state department could not process the agreement until the council convenes and the next meeting is scheduled and likely to occur.



   b. If a partially executed record has been followed up without response from the Sponsor, or any progress being made then at the two month mark the Specialist should reassign the record back to the Associate (taking it off hold before reassigning), and noting the file. The CA or GA can then decide the next step for the record (whether to withdraw, or pursue other contacts with the Sponsor).
3. Records should be actively worked as much as possible. Even if on hold, if there is any task that can be done then an effort should be made to do it.

4. Retroactive dates. Note that if you are out of the office when a response comes back, you can backdate a hold when you return (see the lightly highlighted selection prior to the darker shaded date):