















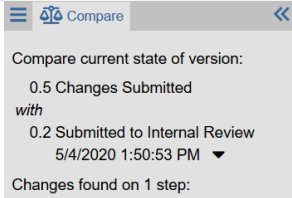
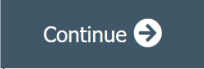



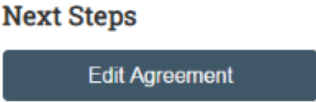

DUA Glossary



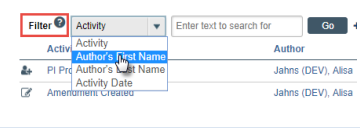
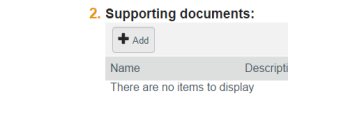

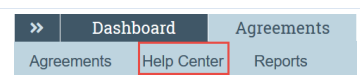
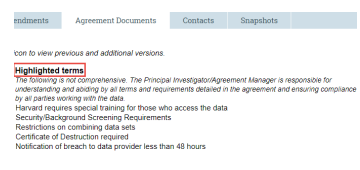
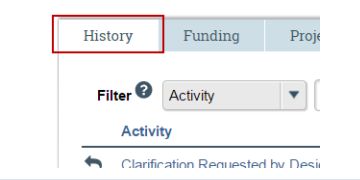
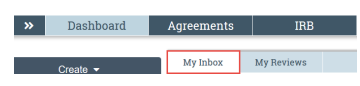
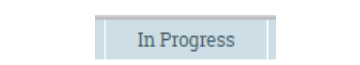
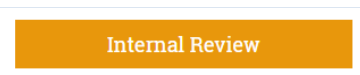

Summary of terms associated with features of the Data Use Agreements (DUA) system. For terms and definitions associated with DUA requirements and negotiations, please consult the appropriate local reviewing office website:

- Harvard T.H. Chan School of Public Health: [Sponsored Programs Administration \(SPA\)](#)
- Harvard Medical and Dental Schools: [Office of Research Administration \(ORA\)](#)
- University Area, all other Harvard schools: [Office for Sponsored Programs \(OSP\)](#)




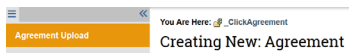
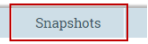





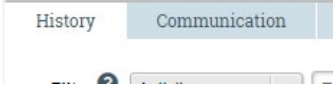
Jump to Letter: [A](#) [B](#) [C](#) [D](#) [E](#) [F](#) [G](#) [H](#) [I](#) [J](#) [K](#) [L](#) [M](#) [N](#) [O](#) [P](#) [Q](#) [R](#) [S](#) [T](#) [U](#) [V](#) [W](#) [X](#) [Y](#) [Z](#)

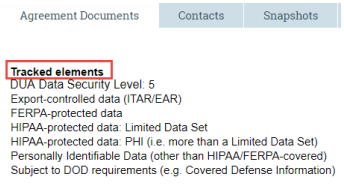

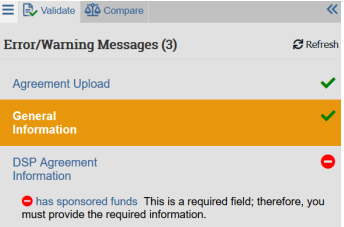
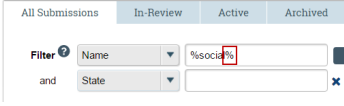



Term	Description	In the system									
A Active	This tab on the Agreements page displays links to all active agreements.										
Active (state)	State indicating that review of the initial agreement has been completed, the final document has been signed by both parties, and the agreement is active/work under the agreement is underway.										
Activity	A link that when clicked will cause an action to occur on a submission. Actions can include: record a decision, change a state, grant someone access to the agreement, or send a notification. Activities are visible for completion based on the state of the submission and the logged in person's permissions in the system.	<ul style="list-style-type: none">  Assign Office  Assign Owner  Email Agreement 									
Amendment Closed	This line item on the Initial/Main Agreement workspace indicates that an amendment was created (which shows on the history as "Amendment Created") and review of that amendment is now complete. The state in the parenthesis indicates how the review was completed. Approval means that the amendment was accepted, and all approved elements are updated on the Initial/Main Agreement workspace, while Discarded means that the draft was not reviewed and did not update the active agreement record.	<ul style="list-style-type: none">  Amendment Closed (approved) Amendment: DUA18-0017AM13  Amendment Created Amendment: DUA18-0017AM13  CITI Training for PI.doc 									
Ancillary Review	Review by a person, group, committee or office other than the Agreement reviewing office. Ancillary review may occur during the review process. However, documentation of a completed ancillary review may be necessary as part of a complete submission and it may be required for before the DUA review is completed.	<p>Ancillary Reviews</p> <table border="1"> <thead> <tr> <th>Review Type</th> <th>Organization</th> <th>Person</th> </tr> </thead> <tbody> <tr> <td>Department</td> <td>Immunology</td> <td>Anne h</td> </tr> <tr> <td>Faculty</td> <td></td> <td>John F</td> </tr> </tbody> </table>	Review Type	Organization	Person	Department	Immunology	Anne h	Faculty		John F
Review Type	Organization	Person									
Department	Immunology	Anne h									
Faculty		John F									
Agreement Documents	A tab in a submission workspace which displays a linked list of all the documents attached within the SmartForm, including signed versions of documents. This tab also displays the highlighted agreement terms, requirements and data security level.	<p>History Communication Agreement Documents Related Projects</p> <p><small>For each document listed below, click the --- icon to download a copy or view the history and...</small></p> <p>Highlighted terms There are no items to display</p> <p>Most recent draft agreement  Agreement_for_DUA.docx(0.02) ...</p>									
Agreement Manager	This is the Harvard Faculty PI associated with the agreement.	<p>Pre-Submission</p> <p>Created by: <u>Rebecca Simms</u> Agreement Manager: <u>Rebecca Simms</u></p>									
Archived	This tab on the submissions page displays links to all submissions in one of the following states: Discarded,										

		Expired, or Terminated.	
	Assign PI Proxies	The Principal Investigator/Agreement Manager can complete this activity to assign members of the team as a system proxy. A Proxy can submit items on behalf of the PI and is a default recipient of notifications. The Agreement Creator is assigned as a proxy by default.	
B	Back	Allows for navigation within a SmartForm. Use of this button returns the user to the previous screen without saving changes on the current screen.	
	Breadcrumb	Links at the upper left of a submission workspace, by clicking the double arrow [>>] that allow navigation between workspaces associated with a specific agreement. Also displays the initial agreement title when within an amendment submission workspace.	
C	Clarifications Requested	This state in the process indicates that review has paused, and the submission is able to be edited. Often it indicates that the reviewer/owner has requested that the team revise an element of the submission. A submission will remain in this state until the Submit Changes activity is completed.	
	Compare	An option on the SmartForm designed to compare versions of the SmartForm when changes are made. Versions which are compared are based on Snapshots. This will indicate when document versions change but will not display changes made within document attachments.	
	Continue	Allows for navigation within a SmartForm. Use of this button checks the page to ensure required items (marked with a red asterisk) have been completed, saves the page, and advances the user to the next page of the SmartForm.	
	Creator	A person identified on the SmartForm who will assist with the submission and review process. This defaults to the person who completed the initial submission and can be changed when the SmartForm is able to be edited or after activation, via Amendment. This individual: is assigned as a PI Proxy by default, will receive all notifications by default, can create and edit submissions when the system allows.	
D	Date Modified	A system date related to activities completed on the submission. This date is not related to the regulatory review of a submission.	
	Discard	Removes the submission from further review. If an amendment submission is discarded it does not affect the status of the main agreement.	
E	Editable State	State in the workflow where review has paused, and the submission may be edited. These states include: Pre-Submission; Unassigned; and Clarifications Requested. After edits are completed, the submission must be submitted (or changes submitted) to move to the next state of review.	
	End State	The last state of review for a submission. These states include: Active (for main agreements), Approved (for	

		amendments), Expired, or Terminated	
	Exit	Allows for navigation within a SmartForm. Click the text to exit the SmartForm screen and return to the submission workspace.	
	External Review	State indicating that the agreement is in review by the contracting party.	
F	Filter	Optional dropdown menu available when a list of items is displayed. Selecting an item from this dropdown menu allows the user to search on content of the selected column in the table.	
	Form	Space in the system which allows for different types of data entry.	
G			
H			
	Help	There are two forms of help: 1. pop-up boxes of additional context-relevant details which can be accessed by clicking on the blue circled question mark and 2. Link to all current reference materials, including the help desk email address which can be accessed by clicking on the “help center” link at the top of submission and personal workspaces.	
	Help Center	Location where guides and links to relevant websites are available for reference.	
	Highlighted Terms	A select list of common terms that are flagged as a reminder of important management requirements associated with the agreement. This is intended as a helpful reference and is not an exhaustive list. The team conducting the research must still read and understand the DUA to ensure compliance with all highlighted and non-highlighted terms.	
	History	This tab in a submission workspace displays all activities which have occurred on the submission. Messages to and from the Team will appear in this space. Visibility into some activities is restricted by role on the agreement and role in the system.	
I	InBox	This personal tab, on the Dashboard, displays links to all submissions which require action to move to the next state of review. The specific action, and person required to complete the action depends on 1. The state of the submission and 2. The role of the person accessing the submission. See also: Personal Page	
	In-Progress	This tab on the Agreements page displays links to all submissions which have been submitted but where review is not yet completed.	
	Internal Review	State indicating that the submission is in review by individuals at Harvard.	
J			
K			
L	Language	State indicating that the draft language is accepted and the	

	Finalized	signing ceremony will begin.	
M	Main Agreement Workspace	After initial activation, the initial agreement workspace now becomes the single place to access all current information about the agreement and create amendments. Once amendments are approved, this workspace updates with all current information/documents associated with the active agreement. Also referred to as the Initial/Main Agreement workspace in some documentation.	<p>Active DUA for my work with.</p> <p>Created by: Yoonsook Park Agreement Manager: Yoonsook PI Owner: Yoonsook MAN Created: 10/3/2018 12:07 PM Received: 10/3/2018 12:13 PM Modified: 10/14/2018 11:45 AM Effective: 10/2/2018 Expires: 9/30/2020</p> <p>Submission ID: DUA18-0050 Submission Type: Initial Agreement Agreement Type: Data Use Agreement Contracting</p> <p>Office: Department Contracting</p> <p>Flow: Pre-Submission → Unassigned → Clarification Requested</p> <p>Next Steps</p>
	Master Agreement	An umbrella agreement that does not authorize any single project to access data and sets up a framework which serve as “ground rules” that are common among a number of agreements. These must be recorded in the Agreements-DUA system if the master agreement includes some restriction on access (not unrestricted) or data are obtained for research purposes. Contact your reviewing office for further information about master agreements.	
N	Name	The text label for a submission. For example; this may be the title of the agreement or the label “Amendment for Data ...”	
	Negotiator	Individual who is also assigned as the owner in the system. See: Owner	
	Notice	Email sent from the system because of activity completion or as a reminder of agreement requirements.	<p>To: Jeremy Christopher Subject: Continuing Review Deadline Reminder Study Link: Gaming and relaxation Study Title: Gaming and relaxation Principal Investigator: Jeremy Christopher</p> <p>Current approval for this study will lapse on 12/16/2014. A status a continuing review/study closure (CR) through ESTR at least 21 da reminder at 60, 30, and 5 days prior to 12/16/2014, even if y</p>
O	Owner	Individual assigned as the reviewer in the Office of Sponsored Programs (OSP), Sponsored Programs Administration Office (SPA) or the Office of Research Administration (ORA) to complete the revision, negotiation, and signature process.	<p>Created by: John Price Agreement Manager: Wendy Chan (PI) Owner: Jessica Manager(MA) Created: 8/24/2018 3:24 PM Received: 8/30/2018 10:32 AM Modified: 10/14/2018 9:52 AM</p>
P	Personal Page	Webpage which displays immediately after successful log in and provides search and access to submission workspaces where action is required. After navigation to a submission, users can return to this page by clicking the “Dashboard” link at the upper left of the screen. See also: In Box	<p>» Dashboard Agreements IRB</p> <p>Create ▾ My Inbox My Reviews</p>
	Pre-Submission	Means a submission has been created, is not yet complete, and has not yet been submitted to the next state of review.	
	Printer Version	A single HTML page which displays all the information in the completed SmartForm, including links to the attached documents.	
Q			
R	Related Projects	For a master agreement: Agreement allowing access to the data under a specific project, which contains specific context (such as Principal Investigator). This can also be referred to as Statement of Work, Task Order, or Project-Specific Data	

		Use Agreement	
	Reports	Pre-Sorted and filtered lists of submission which can be exported to Excel. These lists only display submissions to which the logged in user already has access.	
	Reviewing Office	See: Submitting Office.	
	Routing for Signature	State indicating that the Harvard signatures are being collected for the agreement.	
S	Signing Ceremony	A collection of activities and states where the Owner/Reviewer collects Harvard and Contracting Party signatures.	
	SmartForm	A series of web pages which contain form fields that are organized to display step-by-step context-relevant information, and only show required questions based on user responses.	
	Snapshots	A saved printer version of the SmartForm and all attachments, taken at specific points in time. Allows for historical reference of submission changes.	
	State	Point in time during the review process. An action or activity may be required to move the submission to the next state. A state may indicate if a submission can be edited or if it is only able to be viewed. See also: Status	
	Status	Point in time during the review process. An action or activity may be required to move the submission to the phase of review. Status may also be a reference to approved versus not or not-yet approved. See also: State	
	Submission	Item prepared for review. Types of submission include: Initial and Amendment.	
	Submit	Activity within the system which indicates that the submission is ready for the next stage of review. If submit activity is visible to the logged in user, it means that the submission is awaiting his/her action.	
	Submitting Office	The office of the assigned reviewer/owner. Is defined based on the department selected on the first page of the SmartForm and includes: Office of Sponsored Programs (OSP), Sponsored Programs Administration Office (SPA) or the Office of Research Administration (ORA). These offices complete the revision, negotiation, and signature process. This may also be referred to as the reviewing office.	
	Tab	Sections of a workspace where information is sorted or organized based on the indicated category.	

T	Tracked Elements	A select list of common associated regulations that are flagged as a reminder of important management requirements associated with the agreement. This list includes the Harvard Data Security Level that most closely maps to the security requirements indicated in the DUA. For example, if the DUA requirements are more restrictive than the Level determination otherwise indicates, this value may be higher than the IRB determination.	
U	Unassigned	This tab on the Agreements page displays links to all submissions which have not yet been assigned to a reviewer/owner to begin the review process. This tab is only visible to reviewing office staff.	
V	Validate	An option on the SmartForm designed to check for missing information. Click this tab to display form-required items (marked with a red circle) that have not yet been completed. Click the Validate tab to show errors and click the menu icon to the left of the tab to hide the error check.	
W	Wildcard	% [percent symbol]. Used in search spaces to find known elements at the beginning, middle, or end of a field. For example; a percent symbol at the beginning of some known elements indicates that the user would like search results to display all items where known elements are at the middle or end.	
	Withdraw	Returns a submission to the pre-review state and to the team for further edits. The submit activity may be completed on the submission to reinitiate review.	
	Workflow	Structured states of review which are controlled by the agreement review processes and activities completed within the system.	
	Workspace	A webpage associated with a specific set of information or actions. Types include: Personal Page, All Agreements, Initial/Main Agreement and Amendment Submission.	
X			
Y			
Z			