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| Harvard University |
| ADAMS User Guide for Faculty and Administrators |
| Guidance for all users who will submit to the electronic record system tracking Data Usage Agreements and HRDSP IT security checklist |



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| Last Updated  11/21/2014 |

# What is ADAMS?

The Acquired Data Accountability and Management System (ADAMS) is a web-based tool that houses metadata of each acquired research data set held by researchers at Harvard. ADAMS is used as part of an overall program to:

* Serve as a workflow management tool for Data Use Agreement approvals and IT security worksheets sending automatic emails to approvers and researchers
* Ensure best practices for researchers by documenting security requirements, expiration dates and authorized users.
* Document re-use of data
* Tracks data throughout the research lifecycle through the end of the project.
* Many fields can be customized to match the information needs and internal workflow of each branch

# What can ADAMS do?

# The ADAMS system is home to many different functions, including creation of a new submission, edit existing submission, and closing a submission. ADAMS was designed to provide everything you will need in order to comply with the Harvard University policies around research data. The process will be different for each role type, but the focus of this guide is on the applicant role type.

## Before You Begin

There are many different requirements for documentation when using research data at Harvard. The minimum that should be included in an ADAMS submission are the draft of the Data Use Agreement (or other data use contract) and the data security worksheet for the assigned level of your data. (Depending on the nature of research being performed, there may be additional forms required for compliance.) Please contact one of your branch approvers if you have any questions about which documents to include in your submission. You may also contact [adamshelp@harvard.edu](mailto:adamshelp@harvard.edu).

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| --- | --- |
| Harvard Affiliation | Contact Information |
| FAS Economics | [insert contact information] |
| GSE | [insert contact information] |
| HBS | [insert contact information] |
| HSPH | [insert contact information] |
| HCP | [hcpcomplianceoffice@hcp.med.harvard.edu](mailto:hcpcomplianceoffice@hcp.med.harvard.edu) |
| GSE | [insert contact information] |

## Overall ADAMS Workflow

The overall workflow of an ADAMS is demonstrated below and should be considered a high-level representation of the typical workflow for a record submission.

**Workflow for data that are levels 3-5 that are not Human Subject Data, and/or have a data use contract. Record to be completed by researcher or proxy.**

**Information for data with Human Subject levels 3-5 will be imported from ESTR, contracts and worksheets will be uploaded by researcher or proxy.**

# How to Access ADAMS

All users already affiliated with Harvard University will login using their Harvard University ID through the PIN System. Affiliates conducting research at Harvard without a direct appointment may request access through their direct contact within a branch.

## Users of ADAMS

* In order to access the application, a user must have a Harvard University ID.
* Direct web browser to <https://adams.harvard.edu>
* Select link **Click Here to Login using Harvard PIN.**
* Enter your login credentials through the PIN System.

\*It is important to note that since the login information is managed through the Harvard PIN system, users will be unable to manage user information through the ADAMS system.

### Who to contact for access to ADAMS:

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| --- | --- |
| Harvard Affiliation | Contact Information |
| FAS Economics | [insert contact information] |
| GSE | [insert contact information] |
| HBS | [insert contact information] |
| HSPH | [insert contact information] |
| HCP | [hcpcomplianceoffice@hcp.med.harvard.edu](mailto:hcpcomplianceoffice@hcp.med.harvard.edu) |
| GSE | [insert contact information] |

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# Role types

There are multiple role types within the ADAMS system and a user’s role type will determine what screens and options the user has within the system. Below is a brief description of the different role types and the functionality they should expect within the system for that role type.

## Applicant

An applicant would be anyone that would be creating a record in the ADAMS application. There are three role types available for applicants, which will be assigned by an administrator.

* Author: This is the best role for an individual, for example a researcher or staff person supporting only one researcher. Users in this role will only be permitted to see their own content along with the ability to search for content that has been made available to view for all users.
* Administrator: This is the role for a staff member who needs to support multiple researchers, or anyone that needs to temporarily have access to support multiple researchers in the case of staff absence. Users in this administrator role will be permitted to view, create, edit, and submit records on behalf of all DUA Authors in your group. Those who should be given the DUA Administrator role will be determined at the branch level.
* Read-Only: As a read only user you will have the access to view the instructional content, download forms/templates, link to outside sites, search functions, and the ability to review .

## Local Approver

A local approver would be someone at the branch level that would review the ADAMS submissions. Each branch has the option to assign up to three different local approver roles, described below.

* Local IT: School or department Information Security Officer who can review for HRDSP IT worksheets, security requirements on DUAs, and to help researchers secure research data.
* Research: School or department research approvers who may review for topics like allocation of funds for data purchase, contracts, or other research related matters.
* Administration: School or department approvers who may review for resource allocation, physical space needs, or other matters that would require administrative assistance.

## University Approver

## University Approvers include Institutional Signatories who are those charged with negotiating and/or signing contracts on behalf of the President and Fellows of Harvard and the Harvard Information Security Officers who validate the technical controls for sensitive information held by or on behalf of Harvard University.

* Sponsored Programs: Will review DUAs or other contracts to ensure researcher’s publication rights and IP are protected, agreements are signed by the appropriate signatory, and OTD and OGC are consulted as necessary or dictated by the terms of the contract.
* Harvard University Information Technology (HUIT): Will review information security terms in DUAs, HRDSP worksheets for FAS and any HRDSP worksheets for levels 4 and 5.

## System Administrator

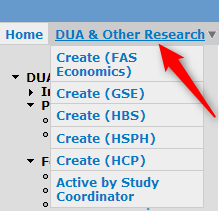
The System administrators will have unrestricted access to all records in ADAMS. Due to the nature of this access, it will be available to a very limited number of users. If you believe you should be registered in this role, contact the Research Data Officer with in the Office of the Vice Provost for Research.

# Getting Started in ADAMS

## There are two ways you may be prompted to enter a record in ADAMS. Directly accessing the system to enter a record or receiving an email that ESTR has imported information and has started a record for you.

**Starting a New Record in ADAMS**Access the system and sign in at <adams.harvard.edu>.

1. From the homepage, navigate cursor to **DUA & Other Research** Tab, and hover.
2. Dropdown list will appear.



1. Click ‘Create’ for the branch with which you are affiliated when you wish to create a submission.
2. Fill out the required fields (as a minimum) of the form. (Note: The required fields on the ‘face page’ of the record will be the same for all branches.)
3. You may save your progress as you go along, this will not submit the record. If you try to navigate away from the page before saving you will be warned. For security reasons there is a one-hour time out. Please save your information if you think it will be an extended time before you can submit the record.

## Completing a Record that was imported from ESTR

Access the system and sign in at <adams.harvard.edu>.

1. After signing in; either *click the link in the email* (you must be signed in first for the link to work) or click on the search tab and search by   
   *PI Last Name*: Used to search the last name of the principal investigator. Partial values will be accepted by the system and return all results containing that value. (e.g., a search for “Sm” would return Smith, Smart, etc.)
2. Fill out the required fields (as a minimum) of the form. (Note: The required fields on the ‘face page’ of the record will be the same for all branches.) The more information you can provide up front, the better and faster your review will go.
3. You may save your progress as you go along, this will not submit the record. If you try to navigate away from the page before saving you will be warned. For security reasons there is a one-hour time out. Please save your information if you think it will be an extended time before you can submit the record.

## How to Submit a Record

In order to begin the review process, you must submit a record for review. **Saving a record will not begin the review process.** Once you have [located](#_Search_All) and selected the record you are ready to submit, follow these steps:

1. Scroll to the bottom of the face page or select the **Workflow** tab on the record.
2. Fill out the submission information.

*Target state:* Default will be set to ‘Preparation’, which is a record that is still in the process of being created by the PI or PI designee. **To submit the record you will need to select ‘Submitted by PI’ in this field.**

*Schedule:* Default will be set to ‘Immediately’, which means the record will be submitted as soon as you update the workflow. If you would like to schedule the record submission for a future time, select ‘Schedule for state change’ and fill out the scheduling information.

*Workflow Comment:* Used to add information about the record you are submitting. Best used after initial submission, for example if the record was returned for edits you would comment about the changes made when submitting.

1. Click **Update Workflow**.

## How to Edit a Record Submission

In order to make edits to a DUA, you will need to locate the record you wish to change. There are various ways to locate the record you are looking for, which are covered in the [Search](#_Search) section of this guide. **WARNING: Any time you edit a record it will bring it back to the beginning of “submitted by PI” phase. You will need to** [**Submit the Record**](#_How_to_Submit) **again.**

1. Select the record you would like to make changes to.
2. Select the EDIT workflow tab at the top of the study information page.

**Under this tab you will be able to make any edits, including**:

**Making general edits to an existing record, adding an attachment, removing an attachment, or cloning a record for a new submission.**

1. After the **EDIT**workflow tab is selected, any of the fields of the record can be edited.
2. The **Workflow Comment** field at the bottom of the form can be used to further detail the changes, if necessary.
3. To submit the changes select **SAVE**.

**Adding a DUA (attachment) to a Record**

If your record has an associated DUA, it should be added to the record. Each record should only have one DUA, except in the case of renewals and/or extensions. In such case, you will need to [first locate the record](#_Search_All) and then follow the steps below.

1. Open the **edit** tab
2. Scroll to **Attachments** field (towards the bottom of the record)
3. Click **Choose File**, then select file from your personal computer system to upload.
4. Once the file is selected, you must click **Upload** to add it to the record.
5. Select the **File Type**
6. To save the changes, select **SAVE**.

\*If you have multiple attachments, select **Add Another Item** and follow the above steps for each attachment.

**Cloning a Record**

Some research may have multiple DUAs due to the nature of the data in use. Because only one DUA should be attached to a record, it will be necessary to create multiple records in order to supply all the DUA information about the data in use. The cloning feature will allow you to duplicate the study information of the record to save time. How to utilize the cloning feature:

1. Locate and select the record you wish to clone (see [Search](#_Search_All)).
2. In the **View** tab, select **Clone content**.
3. ADAMS will generate a clone of the record. (And indicate record is a clone.)

You will still need to add all the information about the DUA and data set in the cloned record, as well as submit.

## How to Close a Record

All studies must be closed with the IRB as well as closed out on ADAMS. An IRB closure form is available on the IRB website (see sidebar for link). If you are closing a DUA that contains terms of destruction you must also include a populated Certificate of Destruction request form (located on the sidebar of ADAMS).

**IMPORTANT STEPS TO TAKE PRIOR TO CLOSING THE RECORD IN ADAMS**

* For details on the required steps involved with closing a DUA, contact your branch level administrator or consult the [HUIT website about secure destruction](http://security.harvard.edu/book/91-disposition-and-destruction-records).
* Use the File Attachments option to upload your Certificate of Destruction form**. For CMS DUAs please use the CMS closure confirmation once you receive it from the agency.**

Once you have your documents ready:

1. [Search](#_Search_All) and select the record to be closed.
2. Click on the **workflow** tab.
3. Under ‘Target **State’** choose **Closed**option.
4. Fill out **schedule** and **Workflow comments**, as needed
5. Click **Update Workflow.**

**REMEMBER: Each branch has their own Data Retention Implementation Plan (DRIP), which may require additional steps to the ones mentioned in this guide. Contact your branch for their DRIP.**

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# Search All Tab

The search tab is where you will be able to find all you current and past submissions to the ADAMS system, along with the ability to search submissions from others in the ADAMS system (if they selected to share their DUA). Below you will find tips for how to use the ADAMS search features.

###### All in Process

* When you are looking only for materials you submitted (including on the behalf of someone else).
* If the submission you are searching for has not been approved.
* You only desire to search your Branch.

All of the DUA submissions you have in process will be listed on this page. If too many results are displayed, use of the filters could prove helpful.



*PI Last Name*: Used to search the last name of the principal investigator. Partial values will be accepted by the system and return all results containing that value. (e.g., a search for “Sm” would return Smith, Smart, etc.)

*Custodian Last Name*: Used to search the last name of the data custodian. Partial values will be accepted by the system and return all results containing that value. (e.g., a search for “Sm” would return Smith, Smart, etc.)

*Study Coordinator E-mail*: Used to search the email address of the study coordinator. The system will use you partial value inputs to drill down into the users currently listed in the system as a study coordinator.

*Protocol Numbers*: Used to search the case number issued through the IRB. Partial values will be accepted by the system, however it wouldn’t be advised to perform a partial search since there would be many results.

*Search Terms*: Intended to be used if you are not looking for a particular record, rather a record about a particular subject. The system will search all fillable fields within the record.

###### All Approved

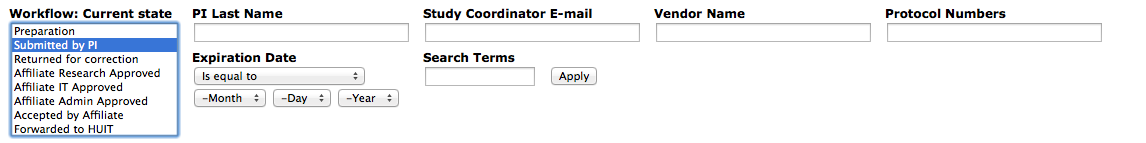
* When you are looking only for materials you submitted (including on the behalf of someone else).
* If the submission you are searching for has gone through the approval process and been submitted as approved.
* When you are looking for past submissions that were previously approved.
* You only desire to search your Branch.

All of the DUA submissions you have had approved will be listed on this page. If too many results are displayed, use of the filters could prove helpful. (See [All in Process](#_All_In_Process) for details on how to use filters.)

###### Reports

* When you desire to perform a search on the entire database, usually in an attempt to:
  + see if someone has data from a certain vendor
  + searching for all of your agreements no matter what state of approval they are in
  + looking to reuse data from a certain provider
  + looking to collaborate with someone
  + looking to see what data was used to answer a specific research question
  + Search for agreements from certain vendors to see if an agreement has previously been reached

All of the DUA submissions, no matter the current state, will be listed on this page. If too many results are displayed, use of the filters could prove helpful.



(In addition to the filters provided for searching the [All in Process](#_All_In_Process) and [All Approved](#_All_Approved), these additional filters are provided to search the entire database.)

***Type*:** Used to limit the search to certain branches within Harvard University. To search more than one branch, hold the control (ctrl) key while making your selections.

***Current State*:** Used to limit results based on the state (open or closed) of the submission. The default value for this field is ‘Open’, so be sure to change if you are looking to search all available submissions.

***Vendor Name*:** Used to search for a specific vendor/provider within the database. This field can be used by branch approvers to investigate if a particular data set has already been purchased and could be available from the vendor under re-use terms. This field will also be particularly useful to Sponsored Programs to determine if a DUA has already been negotiated with a provider or if a data set has already been obtained from a provider.

***Expiration Date*:** Used to limit results based on the DUA expiration date, which can be filtered by many conditions but all require a date to be populated to function. The default value does not use this filter to limit results.