PHYSICS AND ASTRONOMY
POLICY AND PROCEDURE GUIDE

William Deysher
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1 HUMAN RESOURCES

1.1 USEFUL WEBSITES
KSAS Human Resources
JHU Human Resources
JHU International Services - 667-208-7001
JHU HR/Payroll Shared Services - 443-997-5828
JHU Tax Office
Student Employment

1.2 DEPARTMENT CONTACT
Jess Dawson
Human Resources Generalist
Telephone: 410-516-5828
Office 366G

1.3 BENEFITS INFORMATION
Website: https://benefits.jhu.edu/
Telephone: 410-516-2000
Email: benefits@jhu.edu
- Health, Dental, Vision and Life insurance
- Short term and Long Term disability
- Parental Leave
- Wellness
- Retirement
- Tuition
- Life Events

1.4 OFFICE OF INTERNATIONAL SERVICES
Website: https://ois.jhu.edu/
Telephone: 667-208-7001
Email: ois@jhu.edu
The Homewood office is open Monday, Tuesday, Thursday and Friday, 8:30 a.m. to 4:30 p.m. (closed 12:00 noon to 1:00 p.m. during summer) and Wednesday, 1:30 p.m. to 4:30 p.m. Harbor East and Peabody locations are open during walk-in advising times only.

1.5 EMPLOYEE SELF SERVICE (ESS)
Employee Self-Service (ESS) can be found by logging into your My JH page, under the HR tab
ESS is where you can find and update the following information:

- Address change
- Direct Deposit
- Federal and state withholding
- Pay Statements

1.6 **JHU Employee Policy Manual**
JHU Employee Policy Manual website: [https://hrnt.jhu.edu/pol-man/](https://hrnt.jhu.edu/pol-man/)

A JHU login will be required to view the policy manual

1.7 **JHU Parking Office**
Website: [http://www.parking.jhu.edu](http://www.parking.jhu.edu)
Telephone: 410.516.PARK (7275)
Email: parking@jhu.edu

The Parking office is located in the South Garage below Mason Hall

1.8 **Faculty and Staff Assistance Program (FASAP)**
Website: [http://hopkinsworklife.org/employee_assistance/fasap/index.html](http://hopkinsworklife.org/employee_assistance/fasap/index.html)

FASAP provides private and confidential services including: assessment and diagnosis, brief treatment, training, education and outreach, and referral and crisis intervention.

1.9 **mySupport Program**
mySupport offers several types of assistance at your fingertips, ranging from immediate care for critical situations to a helping hand with all the things you juggle in your life. This free benefit is confidential and available to you and your household family members 24/7 by calling 443-997-7000. mySupport offers emotional support, daily life assistance and legal and financial support.

1.10 **JHU Recreation Center**
Website: [https://studentaffairs.jhu.edu/recreation/](https://studentaffairs.jhu.edu/recreation/)

Welcome Desk
Telephone: 410-516-4434

Equipment Room
Tel: 410-516-4453

Recreation Office
Tel: 410-516-5229
1.11 JHU TAX OFFICE

Website: [http://finance.jhu.edu/depts/tax/about_tax.html](http://finance.jhu.edu/depts/tax/about_tax.html)
Telephone: 443-997-8688
Email: Tax@jhu.edu

The JHU Tax Office will assist with questions regarding:
- W-2s
- Tax Treaties
- Resident/Non-resident Aliens

Location:
4th Floor - North Building
3910 Keswick Road
Baltimore, MD 21211

1.12 KRIEGER SCHOOL OF ARTS AND SCIENCES FACULTY APPOINTMENTS

Appointments are required in KSAS for all faculty and research positions. An appointment is a contract of employment between the University and the appointee; it is therefore a legally binding document. The Academic Council governs the policies and procedures for making faculty and other academic/research appointments for KSAS. All appointments, regardless of title, must be made by the Dean. Procedures for tenured and tenure track faculty are described in detail under Appointment and Promotion Procedures on the Academic Council site.

Additional information can be found on the KASPER under Faculty Appointments.

Leave of Absence (LOA)

Tenure Track Faculty, Research Faculty, and Teaching Faculty: Policy

**Please note: Requests for a Leave of Absence must first have the approval of the Department Chair before submitting a request to the Dean.**

1.13 KRIEGER SCHOOL OF ARTS AND SCIENCES BOARDS, COMMITTEES, & COUNCILS

The Krieger School of Arts and Sciences has several committees, councils, and groups that handle specific components of the University. They are:

- Academic Council
- Committee on the Status of Women
- Conflict Review Committee
- Homewood Council on Inclusive Excellence
- Homewood Faculty Assembly
Homewood Graduate Board
Homewood Institutional Review Board

The link to the Kasper site for Boards, Committees, & Councils can be found here:
http://sites.krieger.jhu.edu/kasper/committees/

1.14 INTERNATIONAL VISITING RESEARCHERS
The department is required to practice the following procedures to bring an international visiting researcher to campus. These collaborative visits are for a few days to a few weeks.

As long as the individual is not physically in an experimental lab, we can allow a B visa for visitors. However, the B visa will not permit
- an appointment
- an office assignment
- issuing keys
- issuing a JHED ID nor a J Card
- an expense reimbursement
- a salary or honorarium

If the visitor will be working or collaborating in an experimental lab, an appointment and J visa are required regardless of the length of the stay

A J visa, depending on the country of origin, may take 6 weeks to 6 months to secure.

Interview visits, seminar/colloquia/conference attendance may be reimbursed for expenses.

1.15 SPACE TELESCOPE SCIENCE INSTITUTE (STSCI) NON-SALARIED RESEARCH APPOINTMENT AND RENEWALS
The following information is required to be gathered 90 days prior to the appointment date.

New Researchers:
- Current CV
- A summary (Notice of Intent - NOI) of their intended NSF/NASA proposal submissions through JHU/CAS for this coming year.
- A meeting with the CAS Director is not required for newbies.

Researcher with an active grant:
- Current CV
- Current and pending CAS grants
- Progress report on active grants (What is being studied? What have you found? Who is supported? How long will grant be active?)
- In the email requesting this information, the appointee should be reminded they should schedule a meeting with the CAS Director, Dr. Stephan McCandliss. He should be copied on all report submissions.

Researcher without active grant:
- Current CV
- Current and pending CAS grants (If applicable)
- A summary (Notice of Intent - NOI) of their intended NSF/NASA proposal submissions through JHU/CAS for this coming year.
- In the email requesting this information, the appointee should be reminded they should schedule a meeting with the CAS Director, Dr. Stephan McCandliss. He should be copied on all report submissions.

1.16 **High School Worker**
As a high school worker, there are several items you will need to take care of in order to be paid from the University.

1. **Registration.** Please be sure to follow the instructions from Wanda Roberts to register for the Research Practicum. You should do this when you arrive on Monday.

2. **Confirmation of Campus Employment (CCE).** The form is attached and signed by Norma with a 06/18/2018 start date. Please visit the Student Employment website [www.jhu.edu/stujob](http://www.jhu.edu/stujob) and make an appointment to complete your I-9/EVerification before **Thursday, June 21st**. You will bring this form with you to your appointment. You will be given a green Confirmation of Valid I-9 form that must be returned to Norma in Bloomberg 366. Paychecks cannot be issued unless we have received this form.

3. For payroll purposes, a social security number (SSN) is required. Please contact Tom at 410-516-8429, or visit him in person, Bloomberg room 357. Please do not give this via email.

4. **Timesheets** – sample attached. When filling out your time sheets, please make sure to:
   a. PRINT your name. We have received several time sheets that are signed but there is no name at the top.
   b. The **workweek is one week** and always begins on a Monday and ends on a Sunday. The “pay period beginning date” will always be a Monday and “pay period ending date” will always be a Sunday. Please put in the correct dates that correspond to the dates you will indicate below.
   c. When entering dates, please put the month/date/year. For example, October 13, 2016 would be 10/13/16.
   d. Please put in the corresponding date next to the day of the week and the number of hours worked each day. Please put the total hours worked for the week under total hours.
   e. Please sign and date the form and have your supervisor sign and date the form.
   f. Please make sure to write in a legible manner.
   g. Please submit your completed time sheet to Elena Goffredi room 366 Bloomberg.

5. **Bloomberg Key Control Form.** Please print the form, sign and date it, and bring it Brian Shriver in Bloomberg 366. We ask for a $5 deposit for each key. The deposit will be refunded to you when you return the keys at your departure.

6. Once we have your SSN, Norma will create a JHED ID (JHU identification #) for you. She will send you instructions with your JHED about how to set up your password. Once you have a password, you will go to the Messaging link and you should see “Request Office 365” to request your email.

7. **Tax and direct deposit information.** Go to your myjhu page, log in with your JHED, find the HR tab and choose ESS (Employee Self Service). You will then log into the ESS site, choose payroll information, and enter your bank and tax status information. **Please note: you will not be able to do this until AFTER you are entered into the payroll system and have a JHED ID.**

1.17 **Postdoctoral Fellow Policy**
The Johns Hopkins University Postdoctoral Fellow (PDF) Policy may be found on [the university's policy website](http://theuniversityspolicywebsite). The policy ensures that all PDFs are eligible for health insurance, new child accommodations, vacation, and sick and safe
leave. The policy also specifies the minimum salaries for PDFs and the conditions for part-time appointments.

The policy is effective January 1, 2019. Because many provisions in the policy are based on the timing of the academic year, PDFs will be granted one-half of the full year’s entitlement of paid vacation and sick and safe leave until June 30. Beginning July 1, PDFs will be required to record sick and safe leave in accordance with the policy.

1.18 LinkedIn Learning

Whether you’re interested in learning new skills so you can better perform your current work or you want to grow into a new position or career path, your JHU benefits can help. The university offers a host of resources, such as online and in-person classes, books, videos, podcasts, and more. We can also help managers and supervisors with performance management, employee engagement, and organization development to optimize team effectiveness.

Now, we are excited to expand our learning options by offering all JHU faculty and staff free access to thousands of online courses through LinkedIn Learning. This platform (formerly called Lynda.com) offers courses taught by real-world professionals on leadership, management, data science, software development and many other topics.

LinkedIn Learning also offers Learning Paths that help you advance your career in new directions. For example, “Become a Senior Manager” features 10 courses designed to help you make the transition to senior leadership and acquire the skills you need to make decisions that drive value in your department.

Remember, as stated in the JHU HR Personnel Policies manual, all faculty, managers, and supervisors should ensure that each staff member reporting to them has a minimum of three full days of training per year in areas of knowledge and skill relevant to their job duties and professional aspirations. Make time for the courses, workshops, and other resources that JHU provides to help you achieve your goals.

Access to LinkedIn Learning is available in the my.JHU.edu portal under the Education icon on the left-side menu bar. You can also access it directly through this link: https://linkedinlearning.jh.edu/

1.19 Relationship Policy

Johns Hopkins University has finalized a Personal Relationships Policy that takes effect July 1, 2019. Please take the time to familiarize yourself with the full policy—including the statement that explains the rationale and goals—on the university’s Policy and Document Library.

This new policy provides guidance on how to avoid conflicts of interest and potential negative impacts on both the integrity of student/teacher relationships and the workplace climate. It was created with thoughtful input from many members of our university community.
1.20 **SALARY OVERPAYMENTS**

**Helpful Websites**
- Payroll Shared Services: [https://ssc.jhmi.edu/hr_payroll/salary_overpayment.html](https://ssc.jhmi.edu/hr_payroll/salary_overpayment.html)
- Analysis Overpayment Report: [https://ssc.jhmi.edu/hr_payroll/DataFiles_HR_Payroll/fin_overpymt_rpt.pdf](https://ssc.jhmi.edu/hr_payroll/DataFiles_HR_Payroll/fin_overpymt_rpt.pdf)
- Overpayment Process Overview: [https://ssc.jhmi.edu/hr_payroll/DataFiles_Payroll/Overpayment_Process.pdf](https://ssc.jhmi.edu/hr_payroll/DataFiles_Payroll/Overpayment_Process.pdf)

**Background**

- Overpayments occur for various reasons such as an employee’s pay is reduced retroactively, an employee is placed on Leave of Absence without pay retroactively, or an employee is terminated retroactively.
- Overpayments can be avoided by timely or advanced (future dated) processing ISR’s
- Overpayments are recorded as salary and repayments are recorded as salary reductions to offset the overpayments. The amount is charged to default/control salary account (account ending in 99) if the amount was charged to a grant.
- All salary overpayment discussions are with the Department HR Generalist. This person coordinates communications with the Employee, the Dean’s Office, and Payroll Shared Services.

**Identifying an Overpayment Advance**

**Identifying Overpayments with an Analysis Report**

- To monitor overpayments, use the Analysis report called “Payroll Overpayment Report” under Human Resources-PayrollAdmin.
- Two selections are required:
  - Organization Unit: 10001373 Physics & Astronomy
  - Personnel Area: UN09 School of Arts and Sciences
- The report will identify the amount overpaid to the employee or fellowship recipient and will indicate if the repayment is in progress for those repaying through payroll deduction
- For overpayments without any repayment activity, the department needs to contact the employee to determine how the amount will be repaid.

**Identifying Overpayments on Employee’s Paystub**

- In SAP ECC use T-code PUOC_10_CE- Off-cycle Workbench to view employee’s paystub
• Salary is credited back to the date on the ISR initiated to reduce the salary.
• An “Overpayment Advance” is created to offset the credits on the paycheck and appears as a loan or “advance” to the employee. This is done so the employee’s pay is not reduced until an employee’s repayment agreement has been made.

Identifying Overpayment Advance in PA20

An Overpayment Advance can also be identified in PA20- Additional Payments Overview
Where is the Overpayment Advance being charged?

- The account the Overpayment Advance is being charged can be viewed in PA20-Additional Payments. Click on the box at the top and the Cost Assignment details will display. There is also a note section that will detail any notes written by Payroll Shared Services regarding the overpayment.
- If the employee was overpaid on sponsored funding, the Overpayment Advance is charged to Control Salary (1154700099). If the employee was overpaid on non-sponsored funds, the Overpayment Advance will be charged to that same non-sponsored internal order.
- The Overpayment Advance will remain until repaid in full. As repayments are made, the account the Overpayment Advance is charged will be credited.
Overpayment Advance Repayment

- Department HR Generalist discusses overpayment with employee and the options they have to repay.
- Current/Active Employees:
  - Payroll deductions-
    - Easiest and recommended method, will adjust taxes and payroll deductions automatically.
    - The repayment amount equals the Overpayment Advance
    - Complete Overpayment Agreement form- [https://ssc.jhmi.edu/hr_payroll/DataFiles_Payroll/Overpayment_Agreement.pdf](https://ssc.jhmi.edu/hr_payroll/DataFiles_Payroll/Overpayment_Agreement.pdf)
    - Repayment pay period should be same or similar pay period in which overpayment happened. Ex: If an employee was overpaid in 2 pays, the repayment needs to be done within 2 pays.
  - Personal Check or Money Order made payable to Johns Hopkins University
    - More cumbersome
    - Payment amount does not equal the Overpayment Advance. According to the timing in the calendar year of the overpayment, the amount to repay could be more or less than the Overpayment Advance due to taxes and retirement contributions.
    - Departmental HR will need to verify with Payroll Shared Services the exact amount to repay via check.

- Terminated Employees:
  - Personal Check or Money Order made payable to Johns Hopkins University
    - Only method for a terminated employee
    - Payment amount does not equal the Overpayment Advance. According to the timing in the calendar year of the overpayment, the amount to repay could be more or less than the Overpayment Advance due to taxes and retirement contributions.
    - Departmental HR will need to verify with Payroll Shared Services the exact amount to repay via check.

- It is highly advised to have an Overpayment Advance repaid by the calendar’s year end to ensure a correct W-2. Any tax implications need to be discussed with a personal Tax Consultant. We can not advise on any tax issues.
- Once a repayment plan has been discussed, the HR Generalist notifies the Dean’s office (TBD) of the overpayment and the repayment plan.
- The Department HR Generalist sends the completed Overpayment Agreement to Payroll Shared Services for processing.
- If a personal check is collected, the HR Generalist forward the check to the Dean’s office to be deposited.
  - The Dean’s office will forward to Payroll Shared Services who will deposit the check and make the adjustment to the employee’s payroll record.
Identifying Re-occurring repayment on Employee’s Paystub

<table>
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<tr>
<th>Type of Pay</th>
<th>PP End Date</th>
<th>Hours</th>
<th>Current</th>
<th>Ytd</th>
<th>Deductions</th>
<th>Current</th>
<th>Ytd</th>
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<tr>
<td>Supplement, proj-misc</td>
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<td>1,995.98</td>
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<tr>
<td><strong>NON CASH EARNINGS</strong></td>
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<td>1,041.67</td>
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<td>FSA Set EE Uniform P</td>
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<td>53.50</td>
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<td>7.60</td>
<td>82.60</td>
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</tbody>
</table>

- When an employee repays with payroll deductions and completes the Overpayment Agreement, the payment will appear on the right side of the paystub as a pre-tax deduction.
- When the Overpayment Advance is paid in full, the YTD Overpayment Repayment will equal the YTD Overpayment advance.
- The repayment will continue until the Overpayment Advance is paid in full.
Identify re-occurring repayment in PA20

<table>
<thead>
<tr>
<th>Wage t.</th>
<th>Wage Type Long Text</th>
<th>From</th>
<th>To</th>
<th>Amount</th>
<th>Cr.</th>
</tr>
</thead>
<tbody>
<tr>
<td>3055</td>
<td>Supplement, proj-misc</td>
<td>04/01/2019</td>
<td>05/15/2019</td>
<td>1,666.66</td>
<td>US</td>
</tr>
<tr>
<td>616P</td>
<td>Overpayment Repayment (T)</td>
<td>04/01/2019</td>
<td>12/31/9999</td>
<td>750.00</td>
<td>US</td>
</tr>
<tr>
<td>6762</td>
<td>Voluntary Benefits</td>
<td>01/01/2018</td>
<td>12/31/9999</td>
<td>7.50</td>
<td>US</td>
</tr>
<tr>
<td>616P</td>
<td>Overpayment Repayment (T)</td>
<td>05/01/2015</td>
<td>05/31/2015</td>
<td>1,125.27</td>
<td>US</td>
</tr>
<tr>
<td>3055</td>
<td>Supplement, proj-misc</td>
<td>07/01/2014</td>
<td>06/30/2015</td>
<td>750.00</td>
<td>US</td>
</tr>
</tbody>
</table>

- An overpayment Repayment can also be identified in PA20 under Recurring Repayment/Deductions Overview. Note the start date and end date. The end date will be 12/31/9999 because the deduction will continue until it meets the Overpayment Advance total.

Identifying a repayment made by personal check

- Use T-code PUOC_10_CE- Off-cycle Workbench to view
- When a repayment is done by personal check, it will appear on the employee’s paystub a little differently.
- The adjustment will not appear on a regular paystub, it will be a separate adjustment transaction and labeled with a “M” for manual adjustment:

<table>
<thead>
<tr>
<th>Date</th>
<th>Code</th>
<th>Payroll results adjustment</th>
<th>Amount</th>
<th>Date Range</th>
<th>Cr.</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/31/2019</td>
<td>D</td>
<td></td>
<td>4,288.36</td>
<td>07/16/2019 - 07/31/2019</td>
<td>00790</td>
</tr>
<tr>
<td>07/15/2019</td>
<td>M</td>
<td>Payroll results adjustment</td>
<td>0.00</td>
<td>07/15/2019</td>
<td>00722 C</td>
</tr>
<tr>
<td>07/15/2019</td>
<td>M</td>
<td>Payroll results adjustment</td>
<td>0.00</td>
<td>07/15/2019</td>
<td>00771 C</td>
</tr>
<tr>
<td>12/31/2018</td>
<td>M</td>
<td>Payroll results adjustment</td>
<td>0.00</td>
<td>12/31/2018</td>
<td>00770 C</td>
</tr>
<tr>
<td>07/15/2019</td>
<td>D</td>
<td></td>
<td>4,288.37</td>
<td>07/01/2019 - 07/15/2019</td>
<td>00769</td>
</tr>
</tbody>
</table>

- The payment is recorded as “Payment by Employee” and the taxes are manually adjusted.
1.21 MOVING EXPENSES (RELOCATION)

JHU/A&S Dean’s Office Reimbursable Moving Expenses:

Taxable to Employee (reimbursed as a salary supplement):

- Packing, crating, and shipping furniture and other household and laboratory items.
- Shipping automobiles and pets.
- Transportation costs (including airfare) and lodging for the employee and his/her family while traveling to the new location (final trip only). Note: the standard IRS mileage rate for moving is 16 cents per mile (effective 01/01/2021).
- Meals while traveling (house-hunting or final move).
- House-hunting trips prior to the actual move (transportation and lodging costs).

JHU/A&S Dean’s Office NON-Reimbursable Moving Expenses:

- Costs associated with selling the old residence (or ending a lease), or buying (or leasing) a new home.
- Services or furnishing for new residence.
2 Faculty

2.1 Meet your Administrative Staff

Coming Soon

2.2 Required Training

The following courses are required of all Faculty. Each of the courses are taken on-line and do not require in-person attendance. Additional information for each can be found below under the individual headings.

https://my.jh.edu/
- Under Education, go to My Learning
  - Conflict of Interest and Commitment
  - eDisclose training for Faculty and Administrators (KSAS and WSE only)
  - Title IX and Harassment Prevention Training
  - ERS Effort Reporting System- Certifiers

2.3 Faculty Appointments

Appointments are required in KSAS for all faculty and research positions. An appointment is a contract of employment between the University and the appointee; it is therefore a legally binding document.

The Academic Council governs the policies and procedures for making faculty and other academic/research appointments for KSAS. All appointments, regardless of title, must be made by the Dean. Procedures for tenured and tenure track faculty are described in detail under Appointment and Promotion Procedures on the Academic Council site.

Your appointment requires you to adhere to all applicable University and Krieger School of Arts and Sciences policies and procedures. Your attention is particularly directed to the following:

- University Intellectual Property Policy
- JHU Policy on Conflict of Interest and Conflict of Commitment
  
  Required Training:
  https://my.jh.edu/
  - Under Education, go to My Learning
  - Conflict of Interest and Commitment

- WSE/KSAS Policy on Conflict of Commitment and Conflict of Interest
  
  Required Training:
  https://my.jh.edu/
  - Under Education, go to My Learning
  - eDisclose training for Faculty and Administrators (KSAS and WSE only)

- Johns Hopkins University Policies
2.4 **EFFORT REPORTING AND TRAINING**

The University's Effort Reporting System (ERS) provides the principal internal controls for certifying that the salaries and wages charged to or contributed to sponsored projects are reasonable and consistent with the portion of total professional activity committed to the projects.

Appropriately certified effort reports provide auditable documentation to demonstrate to the University's research funders that the sponsor did in fact receive the level of effort described and expected through the proposal process, the award process, and all post award communications with the sponsor.

Before a Principle Investigator submits their first proposal, they must have completed the institution’s effort training. 

**Required Training:**

https://my.jh.edu/

- Under Education, go to My Learning
- ERS Effort Reporting System- Certifiers

2.5 **TITLE IX TRAINING**

This course engages employees and raises their awareness about Title IX, Campus SaVE, the Violence Against Women Act, and their role as responsible employees. In addition, this course provides important information on how to recognize, prevent, and respond to workplace harassment and discrimination based on "protected characteristics." The course also helps supervisors address inappropriate behavior before it creates a "hostile work environment" by giving supervisors the skills necessary to reduce potential legal risks by recognizing and addressing abusive behavior and other misconduct, including macroaggressions and unconscious bias that may lead to workplace bullying or hostility, reducing productivity and creativity. Intersections invites supervisors to consider the nature of harassment and discrimination, and provides practical tips on creating a safe, inclusive environment for work, including safe and positive options for bystander intervention. (approx. 1.5-2 hours)

**Required Training:**

https://my.jh.edu/

- Under Education, go to My Learning
- Title IX and Harassment Prevention Training

2.6 **RESOURCES FOR FACULTY MENTORING AND DEVELOPMENT**

The purpose of faculty mentoring is to support, facilitate, and enhance the development of faculty throughout the early and middle career stages. Johns Hopkins University is committed to the provision of mentoring to all junior faculty, and the development of divisional action plans that embrace core principles and encourage divisional experimentation. For additional information, please visit the Faculty Mentoring website.

2.7 **NATIONAL CENTER FOR FACULTY DEVELOPMENT AND DIVERSITY (NCFDD)**

Johns Hopkins University is an institutional member of the National Center for Faculty Development and Diversity (NCFDD). The independent center provides professional development, training, and mentorship opportunities.
As an institutional member, graduate students, post-doctoral associates, and faculty members from all ranks can enroll in a free individual membership to get access to the center’s online resources. All faculty members at Johns Hopkins are able to sign-up for an account to access the center’s online resources, including: webinars, multi-week courses, discussion forums, accountability matches, and career center, among others.

Resources focus on increasing productivity, time management, maintaining work-life balance, resolving conflict, personal organizations, and cultivating mentors, sponsors, and collaborators.

How to Activate Your Institutionally Sponsored Membership:
- Go to the National Center for Faculty Development and Diversity website
- Select the “Become a Member” tab
- Select Johns Hopkins University

2.8 FACULTY DIVERSITY INITIATIVES
The Faculty Diversity Initiative (FDI) is a cornerstone of Johns Hopkins’ diversity and inclusion efforts. It recognizes the fact that changes in the composition of our faculty in turn impact the student body, campus climate, research, and pipeline of graduate students.

2.9 LEAVE OF ABSENCE (LOA)
**Please note: Requests for a Leave of Absence must first have the approval of the Department Chair before submitting a request to the Dean.**

The Homewood Schools policy for Tenure Track Faculty, Research Faculty, and Teaching Faculty can be found here.

2.10 FACULTY RESEARCH BUDGET
The dean and department chair establish these accounts for individual faculty need at the time of new faculty negotiations. They can be a fixed annual allocation or a one-time amount. The amount that will be put into the FRB on an annual basis is referenced in the faculty offer of appointment letter.

All University policies must be followed when making purchases or applying charges to this account.

Please see KSAS Office of Finance and Administration for additional information.

2.11 FACULTY BANKING
Adequate salary support from grants tends to be cyclic. The KSAS Banking system allows tenure track faculty members to bank funds indefinitely with only a 5% administrative fee charged with each banking transaction. The administrative fee is to defray costs associated with tracking the myriad accounts involved over the long term.

Banking can only be done for 50% of the academic base salary (ABS), preserving the remaining 50% for teaching responsibilities. There is no limit on the duration of time the faculty member can bank funds. If the faculty member should leave the university, the remaining banked funds are returned to the school.
Banking requests need to be completed by May for the current fiscal year. For example, the banking request submitted by May 2021, will cover funds from July 1, 2020- June 30, 2021.

**Departmental Banking Workflow**

- Workflow saved on the shared drive at: S:\Shared\Proposal Preparation\DEPARTMENT\Department procedures
- GCA/Sr. GCA works with the PI to determine how much banking is needed
- GCA/Sr. GCA sends the final banking spreadsheet to their Manager for review
- Department Manager sends the banking spreadsheet to the Sr. Financial Manager for final review
- Sr. Financial Manager sends approval to the Manager
- GCA/Sr. GCA sends final documents to the Dean’s office and copies their manager, the Sr. Financial Analyst and the Sr. Financial Manager
- KSAS Business Office sends a Journal transfer number to the GCA/Sr. GCA
- The GCA/Sr. GCA saves a copy in the PI’s folder under the banking sub folder

**2.12 KRIEGER SCHOOL BONUS INCENTIVE PROGRAM**

In recognition and acknowledgement of faculty contributions to the success and strength of the Krieger School of Arts and Sciences (KSAS), the KSAS Dean’s Office is instituting a program through which qualifying faculty members will be paid a bonus of up to one month’s salary, above and beyond the full time equivalent, from their banked funds. Because extramural funding received through both direct costs and indirect costs (facilities and administrative costs), enables the school to carry out important research and supports labs, postdocs, and students, this bonus will be available to principal investigators who have met the following criteria. Note the amount of bonus to be paid is dependent upon the PI’s level of expenditure in the previous fiscal year and is determined on a tiered basis. In addition, the final determination of eligibility and amount of the bonus is at the discretion of the Dean.
1. Served as Principal Investigator on grant(s) and contract(s) awarded to Johns Hopkins University, Krieger School of Arts and Sciences.

2. Only Principal Investigators who have expended five hundred thousand dollars ($500,000) or more in modified total direct costs in the previous fiscal year are eligible for up to one month’s salary through this Bonus Incentive program. Principal Investigators who have expended between four hundred thousand and four hundred ninety nine thousand nine hundred ninety nine dollars ($400,000 and $499,999) are eligible for up to one-half month’s salary through this program.

3. Only grant(s) or contract(s) that receive the fully funded federally negotiated on-campus indirect cost rate of the university and are expended in the previous fiscal year are eligible to count as research expenditures under this program.

4. Research expenditures will be from sources external to the university and will not include gifts, endowment funds, internal funding, or cost-sharing from any source.

5. Principal Investigators must have sufficient banked funds to cover the amount of the bonus.

The KSAS Dean’s Office is pleased to be able to offer this incentive, allowing for payment above and beyond the full time equivalent that would otherwise be unallowable, as acknowledgement of those faculty members who contribute so much to the livelihood and vibrancy of KSAS. Payment will be made in the month following the close of the fiscal year during which expenditures were made. The Dean’s office will compile a report of expenditures for the end of a fiscal year, and payment will be made at the beginning of the next fiscal year.

Please see your Grants and Contracts Analyst for any additional information.

2.13 ANNUAL DEPARTMENTAL FACULTY COMMITTEE ASSIGNMENTS-ACADEMIC YEAR 2019-2020

CHAIR
T. Heckman

VICE CHAIRS
P. Armitage (Research)
J. Krolik (Academics)

EXECUTIVE COMMITTEE
T. Heckman (Chair)
P. Armitage
J. Krolik
D. Reich
A. Riess
M. Swartz

CONVENORS
D. Reich (CMP)
A. Riess (ASTRO)
M. Swartz (HEP)
CAS DIRECTOR
S. McCandliss

MARYLAND SPACE GRANT DIRECTOR
R. Henry

TIPAC DIRECTOR
D. Kaplan (F19)
M. Robbins (S20)

ADMISSIONS
C. Norman (Chair)
D. Kaplan
Y. Li
B. Menard
F. Serra
S. Rajendran
K. Alatalo (STScI)

ALUMNI AFFAIRS
T. Heckman
P. Feldman

APO SCHEDULING
K. Schlaufman

ARCHIVE
S. McCandliss (Chair)
W. Blair
C. Broholm
P. Feldman

BEARDEN
T. Heckman
D. Kaplan
D. Reich

BRICKWEDDE
M. Kamionkowski (Chair)
B. Menard
O. Tchernyshyov (F19)
C. Chien (S20)

CAS OVERSIGHT
T. Heckman
CHEMICAL HYGIENE OFFICER
C.L. Chien (S20)
T. McQueen (F19)

COLLOQUIUM COMMITTEE
D. Neufeld (Chair)
I. Bah
B. Camley (F19)
Y. Li (S20)

COMPUTER COMMITTEE
E. Berti (Chair)
C. Bennett
C. Broholm
A. Gritsan
K. Schlaufman
A. Szalay

DAVIS FELLOWSHIP
N. Zakamska (Chair)
T. Heckman
R. Wyse

DIVERSITY & INCLUSION
T. Heckman (Chair)
I. Bah
E. Berti
F. Serra

FACULTY MEETING SECRETARY/MINUTES
S. McCandliss

FIRST YEAR ADVISORS
P. Maksimovic (Physics- F19)
M. Swartz (Physics- S20)
R. Wyse (Astro)

GRADUATE PROGRAM COMMITTEE
N. Zakamska (Chair)
J. Krolik
P. Maksimovic
M. Robbins (S20)
F. Serra
M. Swartz
R. Wyse

**IDG**
C. Broholm (Chair)
A. Gritsan (HEP)
S. McCandliss (Astro)

**IDIES**
A. Szalay

**JOINT JHU/STSCI COLLOQUIUM**
E. Vishniac (Co-Chair)
K. Schlaufman
G. Addison

**MACHINE SHOP**
T. Marriage

**NEWSLETTER**
T. Heckman
C. Bennett (Astro)
A. Gritsan (HEP)
T. McQueen (CMP)

**NON-ACADEMIC CAREERS ADVISOR**
K. Schlaufman

**OUTREACH/PHYSICS FAIR**
D. Reich (Chair)
I. Bah
L. Bianchi
W. Blair
B. Blumenfeld

**POSTDOC MENTORSHIP**
M. Kamionkowski (Chair)
C. Broholm
T. Marriage
M. Peeples (STScI)

**PRIZE COMMITTEE**
A. Riess (Astro)
M. Kamionkowski (HEP)
D. Reich (CMP)
PROMOTIONS AND APPOINTMENTS
B. Menard (Chair)
L. Bianchi
W. Blair
B. Blumenfeld

RADIATION OFFICER
T. Marriage

RECRUITMENT
T. Marriage (Chair)
I. Bah
B. Camley
J. Kaplan
Y. Li
M. Robbins (S20)
D. Sing
R. Allen (STScI)

RESEARCH EXAM
J. Kaplan (Chair)
E. Berti
B. Camley
J. Krolik
F. Serra
D. Sing
S. Rajendran

RESNICK
T. Heckman
R. Lehney
D. Neufeld

SAFETY
P. Armitage (Chair)
C.L. Chein (S20)
T. Marriage
T. McQueen (F19)
S. Wonnell

SCHEDULING/TEACHNG ASSIGNMENTS
D. Neufeld (Chair)
C.L. Chien (S20)
A. Gritsan
J. Krolik
Teaching Buyouts/Teaching Loads

Under normal circumstances, every faculty member is expected to carry a full teaching load, appropriately defined, each semester that he/she is in residence. This is crucial not only to meet the need for instruction of our undergraduate and graduate students but also to preserve the integrity of the academic enterprise in the Krieger School. Due to variations in the nature of instruction in the different disciplines, the administrative complexity of the research activity expected of faculty members, and peer competitiveness, the definition of a full teaching load inevitably will vary somewhat by department. On the other hand, equity among our faculty is also an important consideration, one that would argue against too much variation in formal teaching loads across the Krieger School. Our approach to balancing these priorities is to engage in a process that includes consultation with each department about its current classroom teaching policies, a survey of teaching loads in departments at peer institutions, and careful
comparisons of teaching practices in the departments in the school. The established teaching load determined for each department is sent to the appropriate chair.

It is to be stressed that course buyouts may be granted only for particular reasons and on a temporary basis (usually no more than one academic year), and are, **under no circumstances**, to become routine. The chair has the discretion to grant or deny any such request and must take into consideration not only the desires of the faculty member but the needs of the department for instruction by full time faculty. Any request to buyout of teaching also requires the approval of the dean.

**Application**
The course buyout rate will be based on a formula, which assigns 45% of a faculty member’s academic base salary (ABS) and associated fringe benefits to his or her classroom teaching. This is to consider formally that portion of a faculty member’s effort that is devoted to university and departmental service (5%).

**Example:**
Teaching load: 4 courses/year  
ABS plus Fringe: $50,000  
Buyout: 1 course  
(45% x $50,000)/4 = $5,625

Some faculty members may wish to combine a full or partial buyout of teaching with salary banking. In a given semester, a full-time faculty member may use external research funds to pay no more than a total of 50% of his/her ABS. Faculty who wish to use external support for a higher fraction of ABS may instead request a period of unpaid leave.

If a faculty member buys-out of teaching and or goes on sabbatical and expects a vendor or outside entity to fund that activity, supporting documentation from the department ensuring that the buy-out or sabbatical is approved by the department and/ or school must be provided to JHURA along with the proposal to the outside entity.
3 FINANCE

3.1 USEFUL WEBSITES
University Finance  
Krieger Arts and Science Finance  
JHU Purchasing  
JHU Accounts Payable

3.2 POINTS OF CONTACT
Staff contacts (Coming Soon)

3.3 TRANSACTION TASK GRID

<table>
<thead>
<tr>
<th>Task</th>
<th>Point of Contact</th>
<th>Alternate Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shipments/Mailings</td>
<td>Grants and Contracts Analyst/Specialist</td>
<td>Sr. Grants and Contracts Analyst</td>
</tr>
<tr>
<td>Account Balances/Account Reconciliation</td>
<td>Sr. Grants and Contracts Analyst</td>
<td>Grants and Contracts Manager</td>
</tr>
<tr>
<td>Faculty Banking</td>
<td>Sr. Grants and Contracts Analyst</td>
<td>Grants and Contracts Manager</td>
</tr>
<tr>
<td>Travel/Non-Travel Expense Reimbursement</td>
<td>Grants and Contracts Analyst/Specialist</td>
<td>Sr. Grants and Contracts Analyst</td>
</tr>
<tr>
<td>Deposits-Cash or Check</td>
<td>Sr. Financial Analyst</td>
<td>Sr. Financial Manager</td>
</tr>
</tbody>
</table>

3.4 WHAT IS SAP?
SAP (Systems, Applications, and Products in Data Processing) is the University’s financial system. All financial and payroll related expenses and reporting are processed through SAP. Financial and Administrative staff have access to complete and/or approve transactions in SAP.

3.5 SAP SECURITY AND WORKFLOW
Workflow in SAP makes transaction approval easier and more automated. Each transaction type has its own workflow process for approval. The department maintains proper SAP workflow by ensuring the Approver has the correct roles and access to transactions. A more in depth explanation on SAP’s security and workflow can be found on the SAP @ Johns Hopkins Security and Workflow website.

1. Shopping Carts
   a. Routed to Shopping Cart Approver assigned to the cost center
      i. The shopping cart will route to all Approvers assigned to the cost centers being charged in the shopping cart. The first person to open it must approve it to route to the following approvers.
ii. any increase in the dollar value of a shopping cart, either by a cost object approver or Procurement, will require new approvals.

Example #1 – If the requestor submits a shopping cart for $50 and a cost object approver increases the shopping cart value to $500, then the shopping cart will be rerouted through cost object approvals.

Example #2 – If the requestor submits a shopping cart for $50 and is approved by cost object approver, but Procurement validates pricing with vendor to determine actual cost is $500, then Procurement will increase the price and the shopping cart will be rerouted to the cost object approver(s).

*The majority of university cost objects are set up for a single level of approval.

b. ZSR:
   i. Complete ZSR-Workflow Responsibility Assignments
      1. Add workflow 9000011- Shopping Cart Approver
      2. Rule # will auto populate
      3. Cost Center of PI the Sr. GCA or GCA will be approving
      4. Level – select level 1
   ii. In addition, add another shopping cart workflow line adding the cost center 1154700000. Service Centers and other discretionary accounts are under the 1154700000 cost center.
   iii. **IMPORTANT** - No one who initiates a transaction can also be assigned to the same cost center as they initiate. It will auto approve. This includes the cost center 1154700000.
      1. Workaround for shopping carts created under the cost center 1154700000 for those unable to be assigned to this cost center- A Manager forwards the transaction to the designated Approver.

   c. Transaction processing
   i. The Initiator cannot be the same person as the Approver.
   ii. Once the Initiator completes the transaction, they send an email to the Approver with a document # to approve.
   iii. Approver responds to the Initiator when the transaction has been approved.

2. Travel and Business Expenses Reimbursements
   a. Routed to Travel Approver assigned to the cost center.
      i. If Cost Centers from other departments are charged, it will route to each Approver once the other has approved.
   b. ZSR
      i. Complete ZSR-Workflow Responsibility Assignments
         1. Add workflow 9000013- Primary Travel Approver- Cost Center
         2. Rule # will auto populate
         3. Cost Center of PI the Sr. GCA or GCA will be approving
ii. In addition, add another Travel Approver workflow line adding the cost center 1154700000. Service Centers and other discretionary accounts are under the 1154700000 cost center.

iii. Does not have the same restrictions as the Shopping Cart.

c. Transaction processing
   i. The Initiator cannot be the same person as the Approver.
   ii. Once the Initiator completes the transaction, they send an email to the Approver with a document # to approve.
   iii. Approver responds to the Initiator when the transaction has been approved.

d. First one gets it rule:
   i. Once the request is opened it will disappear from the SAP inboxes of the other Approvers. Once this Approver goes in and approves the request the departmental approval process will be complete.
   ii. If the incorrect person opened the transaction, it must be forwarded to the correct Approver.

3. Online Payments (Check requests)
   a. Routed to the Approvers in the Initiator’s Home Cost Center
   b. Home Cost Center can be determined using: ZZWF_USERAGENTS
   c. ZSR
      i. If home cost center is incorrect, complete ZSR-Maintain Home Cost Center
      ii. PHA Home Cost Center- 1154700000
   d. Transaction processing
      i. The Initiator cannot be the same person as the Approver.
      ii. Once the Initiator completes the transaction, they send an email to the Approver with a document # to approve.
      iii. Approver responds to the Initiator when the transaction has been approved.
   e. First one gets it rule:
      i. Once the request is opened it will disappear from the SAP inboxes of the other Approvers. Once this Approver goes in and approves the request the departmental approval process will be complete.
      ii. If the incorrect person opened the transaction, it must be forwarded to the correct Approver.

4. Non-Payroll Cost Transfers
   a. Routed to the Approvers in the Initiator’s Home Cost Center
   b. Home Cost Center can be determined using: ZZWF_USERAGENTS
   c. ZSR
      i. If home cost center is incorrect, complete ZSR-Maintain Home Cost Center
      ii. PHA Home Cost Center- 1154700000
   d. Transaction processing
      i. The Initiator cannot be the same person as the Approver.
      ii. Once the Initiator completes the transaction, they send an email to the Approver with a document # to approve.
      iii. Approver responds to the Initiator when the transaction has been approved.
   e. First one gets it rule:
i. Once the request is opened it will disappear from the SAP inboxes of the other Approvers. Once this Approver goes in and approves the request the departmental approval process will be complete.

ii. If the incorrect person opened the transaction, it must be forwarded to the correct Approver.

5. E-Forms
   a. Approvers are Managers only
   b. ZSR
      i. Complete ZSR-Workflow Responsibility Assignments
         1. Add workflow 90009- Payroll Cost Transfer Dept Approver
         2. Rule # will auto populate
         3. Cost Center- 115470*
      c. Transaction processing
         i. Once the E-Form Initiator completes the transaction, they send an email to the Manager with the name of the employee to approve.
         ii. Manager responds to Initiator when transaction has been approved.
   d. First one gets it rule:
      i. Once the request is opened it will disappear from the SAP inboxes of the other Approvers. Once this Approver goes in and approves the request the departmental approval process will be complete.
      ii. If the incorrect person opened the transaction, it must be forwarded to the correct Approver.

6. ISRs
   a. Approvers are assigned at the time the ISR is created.
   b. ISRs cannot be forwarded to another Approver. It must be rejected back to the initiate to correct.

7. ZSRs
   a. Does not require a Department Approver.
   b. Once ZSR is complete, send an email to appropriate Dean’s Office Approver for approval.
   c. Dean’s office Approvers
      i. Financial Workflow and Financial Roles- Jerry Hicks
      ii. HR Roles- John Kunz
   d. ZSRs are uploaded overnight and take effect the following day.

3.6 Monthly Account Reconciliation
Monthly reconciliation is a critical control for fiscal management to ensure revenue and expenditure transactions are correct, allowable, and applied to the appropriate accounts. The department uses an electronic reconciliation procedure to ensure all accounts are reconciled each month. Please see the department’s detailed Account Reconciliation Guide (Coming Soon) for additional information.

3.7 Transaction Naming Convention
All transactions processed in the department are electronically saved using the department’s naming convention. This eases in the reconciliation process as well as ensures consistency in processing transactions.
### Document types:

<table>
<thead>
<tr>
<th>DE (deposit)</th>
<th>JT (journal transfer)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NET (non-employee travel)</td>
<td>OL (on-line payment requests)</td>
</tr>
<tr>
<td>PC (P-card)</td>
<td>PE (petty cash)</td>
</tr>
<tr>
<td>PO (purchase order)</td>
<td>SC (service center)</td>
</tr>
<tr>
<td>TR (travel reimbursement)</td>
<td>NT (non-travel reimbursement)</td>
</tr>
</tbody>
</table>

### Filenames (use underscore to ensure readability)

**Generic:** IO_DocType_TransDate*(4-digit year, 2-digit month, 2-digit day) Doc#_Vendor/TravelerName_Amount  
**Deposit:** IO_DE_DepositDate_Amount  
**Journal Transfer:** IO_JT_TransDate_Trans#  
**P-Card**: IO_PC_CardholderLN_TransDate_Vendor_Amount  
**Purchase Order:** IO_PO_TransDate_2XXXXXXX_Vendor_Amount  
**Service Centers:** IO_SC_Vendor_TransDate_Amount  
**Travel Reimbursement:** IO_TR_TransDate_Trip#_TravName_Amount  
**Non-travel Reimbursement:** IO_NT_TransDate_Trip#_Name_Amount  
**Monthly Statements:** IO #_Month_DetailStatement (or SummaryStatement)

*Transaction date means date initiated in SAP for JT, OL, PE, PO, SC, TR, NT document types.  
**For P-Cards, transaction date means date on the invoice or receipt.

### 3.8 Deposits

All deposits, whether cash or check, need to be given to the department’s Sr. Financial Analyst for deposit. Cash or checks are not to be held in office or desk drawer.

All deposits need to include the following:
- 2 copies of the completed KSAS deposit form.
- 2 black and white copies of the check. No color copies. No copies of cash.
- 2 copies of all back-up documentation.
- Paperclip together, no staples.

Once the deposit is received by the Business Office, the receipt copied is stamped and signed. You receive this in return for your records.

### 3.9 Procurement Card Procedures

Procurement Cards are one of the University’s two recommend methods for making small dollar purchases for urgently needed supplies and services. The maximum single transaction limit for Procurement Card purchases is $3,000 and cardholders may charge up to $10,000 in a single month.

For an overview of the Procurement Card Program, visit [Procurement Card Program](#).
3.9.1 Procurement Card Users
Procurement cards (P-cards) are generally reserved to be used by the department’s Administrative and Financial staff. In most cases, the purchasing can be completed by these individuals. If you are not a staff member and you wish to have a procurement card, please discuss your situation with the department’s Sr. Financial Manager.

3.9.2 New Procurement Card
In order for a Procurement Card to be issued, online training must be completed. Once completed, a screen print of the completed assessment needs to be emailed (as a .pdf) to the Sr. Financial Analyst. The Sr. Financial Analyst will complete all forms and submit the request to the Procurement Card Administrator. The cardholder will be notified directly when the procurement card has been issued.

The following training needs to be completed through the *MyLearning* portal:
- Procurement Card Policy
- Purchasing Policies and Procedures

3.9.3 Approver Access
Not all cardholders require approver access (see approver matrix below). In order to gain approver access, online training must be completed. When training is completed, a screen print of the completed assessment needs to be emailed (as a .pdf) to the Sr. Financial Analyst. The Sr. Financial Analyst will forward documentation to the Procurement Card Administrator. When access has been granted, the cardholder will be notified directly.

For Approver access, the following online training needs to be completed in addition to the classes above, through the *MyLearning* portal:
- Finance Overview including Chart of Accounts
- Procurement Card Approver

3.9.4 Department Review/Allocate and Approver Matrix

<table>
<thead>
<tr>
<th>Cardholder</th>
<th>Review and Allocate</th>
<th>Approver</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants &amp; Contracts Specialist/Financial Specialist</td>
<td>Cardholder</td>
<td>GCA/Sr. GCA responsible for the account being charged OR Manager</td>
</tr>
<tr>
<td>Grants &amp; Contracts Analyst</td>
<td>Cardholder</td>
<td>Sr. GCA responsible for the account being charged or Grants and Contracts Manager</td>
</tr>
<tr>
<td>Sr. Grants &amp; Contracts Analyst</td>
<td>Cardholder</td>
<td>Grants and Contracts Manager or Sr. Financial Manager</td>
</tr>
<tr>
<td>Technical Staff and Engineers</td>
<td>Dedicated GCA or GCA Specialist</td>
<td>GCA/Sr. GCA responsible for account being charged</td>
</tr>
<tr>
<td>Grants and Contracts Manager</td>
<td>Cardholder</td>
<td>Sr. Financial Manager or Department Administrator</td>
</tr>
<tr>
<td>Sr. Financial Manager</td>
<td>Cardholder</td>
<td>Department Administrator</td>
</tr>
</tbody>
</table>
3.9.5 Department Monthly Reconciliation Process
Statements are issued monthly to the cardholder, if there is transaction activity during the statement period. See the Statement & Closing Calendar for transaction date ranges. Procurement Cards must be reviewed, allocated, and approved by the due date listed on the Closing calendar.

A copy of each receipt along with the statement must be saved in the cardholder’s procurement folder on the department’s shared drive (S:\Shared\_P-Card). The statement and receipts are placed in the folder dated the same as the statement date. Do not use the date the transactions will post to the general ledger and not the due date. Once the statement is reconciled and approved, the month’s folder is marked with an “R”.

Ex: 2018-01-July-R

The naming convention used to save Pcard receipts: IO_PC_CarholderLN_TransDate_Vendor_Amount

The name convention used to save the statements: MonthYear_Statement_LastName

3.9.6 Default Charges
Each procurement card is set up to default to a department general funds budget. Transactions cannot be defaulted to a sponsored account.

It is imperative the transactions are allocated and approved timely each month. However, on occasion, receipts are not received timely and the transaction posts to the default account. If this occurs, the transaction must be transferred to the appropriate account within 90 days of the transaction. Default charges are posted to the g/l 632002. When the transaction is transferred, the transaction needs to credit g/l 632002 and debit the correct g/l in the appropriate account.

3.9.7 Sales Tax
Johns Hopkins University is exempt from paying sales tax in most states. A list of those states can be found on the Tax Office website.

If sales tax has been charged on a purchase, we must make every attempt to have the vendor remove it and credit back the amount. All correspondence with the vendor regarding the removal of sales tax needs to be saved as a .pdf in the cardholder’s statement folder along with the receipt. The cardholder must attempt to make contact with the vendor at least two times to have the tax removed.

3.10 Equipment and Equipment Purchasing
Equipment is defined as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of $5000 or more per unit. Machinery, furniture, office machines, vehicles (cars, trucks, etc.), scientific instruments or other apparatus that may be used repeatedly without material impairment of its condition, and is not highly perishable.

Your GCS/GCA will determine the best method of making the purchase, i.e. procurement card or SAP Shopping Cart. The purchase may require a sole source justification, quotes from vendors, or additional information. The GCS/GCA will stay in constant contact with you to ensure all documentation is received and the purchase is delivered timely.
For more information regarding Fixed Assets, visit Fixed Assets and Project Accounting.

### 3.11 Non-Reimbursable Expenses
KSAS Finance has posted a list of non-reimbursable expenses as well as the Accounts Payable Travel Guide. These lists are not all-inclusive. Any questions regarding the validity of an expense reimbursement should be discussed with the Department Sr. Financial Manager before proceeding.

### 3.12 Faculty Banking
Adequate salary support from grants tends to be cyclic. The KSAS Banking system allows tenure track faculty members to bank funds indefinitely with only a 5% administrative fee charged with each banking transaction. The administrative fee is to defray costs associated with tracking the myriad accounts involved over the long term.

Banking can only be done for 50% of the academic base salary (ABS), preserving the remaining 50% for teaching responsibilities. There is no limit on the duration of time the faculty member can bank funds. If the faculty member should leave the university, the remaining banked funds are returned to the school.

Banking requests need to be completed by May for the current fiscal year. For example, the banking request submitted by May 2019, will cover funds from July 1, 2018- June 30, 2019.

### 3.13 Travel Reimbursements
See Reimbursements for Travel Expenses in the Travel Section of this Guide

### 3.14 Faculty Research Budget
The dean and department chair establish these accounts for individual faculty need at the time of new faculty negotiations. They can be a fixed annual allocation or a one-time amount. The amount that will be put into the FRB on an annual basis is referenced in the faculty offer of appointment letter.

All University policies must be followed when making purchases or applying charges to this account.

Please see KSAS Office of Finance and Administration for additional information.

### 3.15 State Sales Tax- Maryland
Due to its non-profit status, the University may have a sales tax exemption certificate for purchases made in various states. Each state has varying laws regarding what items they exempt from the imposition of state taxes, and some states do not exempt not-for-profit corporations from any of the state taxes imposed. Where a state tax exemption exists, it generally covers the purchase of tangible personal property used in the conduct of University business; such property includes office supplies and equipment. Email the Tax Office at Tax@jhu.edu to request a copy of the JHU sales tax exemption certificate you need.
3.16 **JHU PROCUREMENT SERVICE PORTAL**

As of 05/01/2019, requests for goods and service contract review & signature, as well as general inquiries regarding goods and service contracts must be submitted as a general request through the *Procurement Service Portal* and the purchasingcontracts@jhu.edu email alias will no longer be supported.

Requests for review and general inquiries regarding purchase order invoices, non-purchase order invoices, and vendors must be submitted as a general request through the *Procurement Service Portal* and both the apssc@jhmi.edu and APVendormaster@jhmi.edu email alias will no longer support internal requests.

All PO invoices must still be submitted to jhu@scanningamerica.com, unless otherwise instructed.

3.17 **ESTABLISHING A SUBSTITUTE IN SAP**

To keep work moving forward while one is out, substitutes need to be established in SAP ECC and Shopping Cart. The following link details how to establish those substitute as well as answers some frequently asked questions:


3.18 **ACCOUNTS PAYABLE WORKFLOW**

i. **PO related Invoice Processing:**
   - PO Number must be documented on the Invoice
   - Submit the invoice to jhu@scanningamerica.com
   - One Invoice per PDF, up to 5 PDF’s per email submitted PO

ii. **FAQs**
   - The invoice was submitted but isn’t posted in SAP, what do I do?
     1. Submit a service now ticket with a copy of the invoice and the PO number
   - Should I send it to Scan America again?
     1. **No, only send the invoice once.** If the invoice isn’t posted, submit a service now ticket with a copy of the invoice and the PO number
   - Can the vendor submit directly to Scanning America for processing?
     1. Yes. Vendor will need to follow the PO related invoice Processing guidelines – see above
   - How can the vendor contact Accounts Payable to follow up on invoice status?
     1. The vendor can send an email to apssc@jhmi.edu
   - How do I look up an invoice in SAP?
     1. An end user can use FB03 in ECC to look up an invoice in SAP
     2. Or the end user can ME23N in ECC
   - Are there step by step guides on how to use FB03 and ME23N?
     1. Yes. See link [https://ssc.jhmi.edu/accountspayable/ja.html](https://ssc.jhmi.edu/accountspayable/ja.html)
   - What invoices can be sent to POEXCEPTIONS?
     1. Foreign Invoices, Sub Awards, more than 30 days past due and Invoices with terms that are due immediate
   - Where do I send Credit Memos?
     1. Credit memos can be sent to POEXCEPTIONS@jhmi.edu
   - Where do I send rebills or revised invoices?
     1. Rebills or Revised invoices can be sent to jhu@scanningamerica.com
2. Must have a valid Hopkins PO number documented on the invoice – see guidelines
   o My invoice has been posted but it hasn’t paid, why?
     1. The terms on the invoice will dictate the release date for payment. All terms are calculated from the invoice date.
     1. 30 days terms for an invoice with an invoice date of March 1st will release for payment on March 31st.
     1. Invoice may be blocked for either Pricing or Quantity discrepancy – submit a service now ticket.

3.19 CREATING 800 ACCOUNTS
   • The GCA/Sr. GCA sends the request to their Manager with the following information: the title, purpose, and the cost center the account will reside under
   • The Department Manager reviews the request and forwards it to the KSAS Business Office copying the Sr. Financial Manager
   • Once created, the KSAS Business Office sends the Department Manager the new 800 number who then forwards it to the GCA/Sr. GCA copying the Sr. Financial Manager

3.20 REQUESTING NEW COST CENTERS
   This is sometimes a mixed request. The KSAS Business Office may ask beforehand where the new faculty will be located and may already have the cost center created.
   • If the cost center is not set up, the GCA/Sr. GCA sends the request to their Manager. This request should include the science concentration
   • The Department Manager reviews the request and forwards it to the KSAS Business Office copying the Sr. Financial Manager
   • Once created, the KSAS Business Office sends the Department Manager the new cost center
   • The Department Manager forwards it to the GCA/Sr. GCA copying the Sr. Financial Manager

3.21 BANKING REVIEWS
   • GCA/Sr. GCA works with the PI to determine how much banking is needed
   • GCA/Sr. GCA sends the final banking spreadsheet to their Manager for review
   • Department Manager sends the banking spreadsheet to the Sr. Financial Manager for final review
   • Sr. Financial Manager sends approval to the Manager
   • GCA/Sr. GCA sends final documents to the KSAS Business Office and copies their manager, the Sr. Financial Analyst and the Sr. Financial Manager
   • KSAS Business Office sends a Journal transfer number to the GCA/Sr. GCA
   • The GCA/Sr. GCA saves a copy in the PIs folder under the banking sub folder
3.22 **ZSRs Requests**
- needed for access to cost centers for shopping carts, online payments, payroll, change in PI support, access to new PIs cost center

- The GCA/Sr. GCA informs their Manager of the access required and Manager determines if it is needed
- The Department Manager sends the ZSR request to the Sr. Financial Manager with instructions on whether the role or workflow needs the change
- The Sr. Financial Manager makes the change in SAP and sends it for approval to the KSAS Business Office
- The change takes 24 hours to take effect after it is approved by the KSAS Business Office
- Once the change is made the Sr. Financial Manager sends an email to the Department Manager notifying them of the change

3.23 **Requesting IO#s (Including Pre-Award Accounts)**

- Occasionally it may be necessary to establish an account number before a sponsored agreement is finalized. When assured that a sponsored agreement is reasonably expected to materialize, a pre-award account number may be established for the purposes of beginning the process of recruiting project employees, ordering of specialized equipment and supplies, etc., in preparation for the start of the project.
4  TRAVEL

4.1  USEFUL WEBSITES
University Travel Department
Accounts Payable
University Travel Guide Policies & Procedures
KSAS Travel & Business Expense Supplement Policy
Concur

4.2  BOOKING TRAVEL
The University encourages all employees to use the Concur Online Booking Tool to book their university business travel. The functionalities of this website are similar to Expedia or Travelocity, however, Concur includes all of Johns Hopkins University’s pre-negotiated discounts on flights, hotels, and car rentals. The site can be used for business or personal travel.

For Travelers who do not wish to pay personally for their travel transportation and be reimbursed, can use the department’s Central Bill Travel Card (Ghost Card). This option charges the department’s travel account and is allocated to the appropriate internal order, identified by the Traveler. See the Central Bill Travel Card section of this guide for details on how to book your travel on the department’s Central Bill Travel Card (Ghost Card).

4.3  CENTRAL BILL TRAVEL CARD (GHOST CARD)
For Travelers who do not wish to pay for their transportation and be reimbursed, can use the department’s Central Bill Travel Card (CBTC). This option charges the department’s travel account and is allocated to the appropriate internal order (identified by the Traveler). Continue with the process below to charge the department’s CBTC:

*Please note:* Once the Single Trip Access Request has been approved, the Traveler must contact a World Travel, Inc. (WTI) agent to complete the booking. Contact WTI via phone at 888-433-2556 or email at jhutravel@worldtravelinc.com. The TRA number, created during the approval process, will be needed at that time. The travel request cannot be completed online.

A few notes:
- The Traveler is responsible for completing the request form and submitting
- The travel card not be used to book lodging, it can only be used for transportation costs
- A separate request form needs to be completed for each time you travel.
- The request should receive a response within 48 hours.


1. “Looking for the forms?” click on the link.
2. Select “Single Trip Access Request” from the menu on the left hand side of the screen.
3. Respond to each question marked with a red star
4. Under the heading “Budget and Billing Information”, subheading “Travel Card Owner”
a. Click on magnifying glass  
b. Change the drop down box to search by “Name”  
c. In the search field, type “KSAS Physics & Astronomy”  
d. KSAS Physics & Astronomy will come to the top of the list, click on the link  
e. The window will automatically close and KSAS Physics & Astronomy will populate the field.

5. Under the next subheading, “Please enter the Central bill Travel card to which you would like to charge your airfare and/or rail costs.”
   a. Click on the magnifying glass  
   b. Select “CBTC058” KSAS Physics SinglTrav  
   c. Once selected, window will close and populate the field

6. Under the next subheading “Cost objects (cost center | internal order....)”
   a. In the text box, type the Internal Order you wish to charge the trip.

7. The image below shows how this information will appear.

8. Once the form is complete, click on Submit.

9. The form will be routed to the department for approval. You will receive notice of approval/disapproval within 48 hours.

10. If the request is approved, Traveler must contact a WTI agent to complete the booking. Contact WTI via phone at 888-433-2556 or email at jhutravel@worldtravelinc.com. The TRA number, created during the approval process, will be needed at that time. The travel request cannot be completed online.

11. After the travel itinerary has been completed, a “Ticketed Invoice” email will be sent to the traveler. The emailed receipt needs to be forwarded to your designated Grants and Contracts Analyst as travel documentation.
4.4 **Reimbursement for Travel Expenses**
The university reimburses faculty, staff, and students for approved travel and business expenses when incurred while conducting university business. For reimbursement, all receipts and documentation for approved business travel should be given to your designated Grants and Contracts Analyst (GCA). After receiving all required documentation, the GCA will process the transaction in SAP within 48 hours. Once Accounts Payable is in receipt of the travel reimbursement request, they have up to 10 business days to process the reimbursement. The reimbursement will be paid to the traveler in the same manner as they receive their payroll payments.

**See your GCA for a handy travel envelope to store your receipts and document your miscellaneous expenses.**

4.5 **Reimbursable Expenses**

**Reference:**
- KSAS Travel & Business Expense Supplement Policy
- Johns Hopkins Travel Program

Below are some examples of allowable expenses. This list is not meant to be exhaustive.

- Transportation, lodging, and meals for University business in compliance with University travel and business expense policies
  - Business purpose must include the names of participants and a detailed purpose for the meeting
  - Business meals generally include individuals from outside the University who take part in the business purpose of the meeting. However, there are instances where business meals among University personnel may be reimbursed.
  - Meals/alcohol will be reimbursed only up to what would be spent by a prudent person. Although we do not typically pay per diem, per diem rates can serve as a proxy for what is a reasonable expense
  - Alcohol purchases should be reasonable, not lavish or excessive. For example, a bottle of wine costing $75 or more could be lavish or more than one bottle of wine for a business dinner with 2 persons attending could be excessive. (See Alcoholic Beverages section of the Accounts Payable Travel Guide)
  - The School will not reimburse for gratuities that are greater than the accepted standards. (Currently, the domestic standard is 15-20% of the total bill; international standards may vary.)
- Professional conference fees
- Dues to professional organizations
- Subscriptions to journals or other publications relevant to teaching or research
- Compensation of student research assistants (hourly and/or stipend)
- Compensation of professional editors or research assistants
- Copyright fees and publication subvention
- Books, reprints, scores, photographs, films, software, recordings and other items related to teaching or research
- Continuing education such as coursework, seminars, and workshops relevant to teaching or research
- Laptops, tablets, wireless data cards for such devices
4.6 **NON-REIMBURSABLE EXPENSES**
Personal expenses incurred during a business trip are not reimbursable expenses. Please reference these two lists when determining if an expense is reimbursable: [KSAS Non-Reimbursable Expenses](#) and [Accounts Payable Travel Guide](#). If you have further questions, please see your GCA.

4.7 **EXPENSES OVER 90-DAYS**
Per IRS regulations, expense reimbursements submitted more than 90 days after the end of the trip or more than 90 days from the date incurred must be paid as a taxable supplement to the employee (See the [Accounts Payable Travel Guide](#)). These expenses must be paid via a Payroll Supplement and included in the employee’s taxable income. This reimbursement cannot be charged to a sponsored funded account. A non-sponsored account number must be given to your GCA upon giving them the travel receipts. If the traveler does not have non-sponsored funding available to them, they need to discuss their situation with the Department Chair and/or CAS Director.

**NOTE:** If travel expenses are not submitted within the 90 days, an exception may be requested. The university will grant one exception per employee, after review of the circumstances and situation. If you have not been granted an exception in the past, the traveler’s Sr. GCA can present the documentation and justification to the Department Administrator for review. The Department Administrator will pursue further approvals and respond to the traveler with the results.

**Compliance with these IRS regulations is the responsibility of all employees who travel or are otherwise reimbursed for business expenses.**

4.8 **NON-EMPLOYEE REIMBURSEMENT**
Visitors, Speakers, and other Non-Employees may be reimbursed for expenses related to their travel to the University. See the [Non-Employee required documentation and the expense form to be completed](#).

4.9 **PER DIEM VS. ACTUAL EXPENSES**
All domestic travel is reimbursed on actual expenses, not per diem. For international travel, using per diem rates is the University’s preferred method. However, charging a non-sponsored account for use of per diem for international travel requires prior approval from the Dean’s office. An email request from the Sr. GCA is sent to the Department Sr. Financial Manager, who then seeks the Dean’s approval. If approved, the pre-approval notice is attached to the travel document when submitting the travel reimbursement.

U.S. Department of State Foreign Per Diem Rates by Location: [https://aoprals.state.gov/web920/per_diem.asp](https://aoprals.state.gov/web920/per_diem.asp)

4.10 **ACCOMMODATIONS FOR VISITORS**
- Airbnb Baltimore can sometimes offer reasonably priced lodging within walking distance of the University (zip code 21218). The link is: [https://www.airbnb.com/a/Baltimore](https://www.airbnb.com/a/Baltimore)
- The Broadview apartments are located directly across the street from JHU and they do offer furnished studio apartments at the JHU rate of $1,455.00 per month. The minimum stay is one month. The link to the Broadview is: [http://www.broadviewapartments.com/](http://www.broadviewapartments.com/)
• Live929 apartments are located in downtown Baltimore and would require taking either the JHU shuttle, Uber, Lyft or some other method of transportation to reach the University campus. They offer furnished studio and 1, 2 or 4 bedroom options. The link to Live929 is: http://live929.com/

4.11 Reimbursement and Mileage Rate
The use of a personal automobile for University business will be reimbursed for actual mileage at the official IRS rate per mile plus tolls and parking fees. No additional allowances are provided for car expenses of any kind. Expenses incurred due to mechanical failure or accidents are not reimbursable. Gasoline purchases are not reimbursable as it is covered by the mileage rate. Fines for parking or traffic violations are also not reimbursable.

Car rentals are permitted and reimbursed per the car rental agreement receipt. Gasoline is a reimbursable expense when renting a car, provide receipts for proof of payment.
5 EVENT PLANNING

5.1 USEFUL WEBSITES

PHA Available Facilities
Krescal (JHED credentials are required)
JHU Facilities and Real Estate
JHU Event Scheduling
JHU Catering (Bon Appetit)
Azafran Catering
The Colonnade Hotel
Mount Washington Conference Center
Maritime Conference Center
Marriott Conference Center

5.2 EVENT BUDGET

The majority of events will require a funding source to cover the event costs. Before beginning the process of planning the event, check with the event initiator regarding the source of funding. A budget needs to be created and adhered to throughout the event. Funds may be generated via a registration fee. The department’s Communications Associate can assist in setting up of both a registration website and an online payment method.

5.3 ROOM RESERVATIONS

Bloomberg Center meeting rooms may be reserved on the reservation website krescal. Room 462 (our faculty board room), 2nd and 4th floor rotunda area, and the 3rd floor student lounge must be approved by the department Administrator for multi-day events. Rooms 361, 464 and 478 are Physics & Astronomy classrooms and must be approved by the Academic Program Administrator.

The Schafler Auditorium (Room 272) is a pooled classroom and must be reserved through the Registrar’s office at ASENScheduling@jhu.edu.

- Room requests for general pool classrooms may be submitted as outlined below and at least ten business days prior to the date of the event.
- Requests that will occur during the:
  - Summer academic period will be accepted beginning March 1
  - Fall academic period will be accepted beginning June 1
  - Intersession will be accepted beginning October 1
  - Spring academic period will be accepted beginning November 1

For more information regarding pooled classrooms: https://studentaffairs.jhu.edu/registrar/faculty-staff/classroom-reservation-2/
5.4 **One-Day On-site Events & Workshops**

One day events and workshops may require reserving a meeting room and scheduling catering. Once the number of attendees has been determined, the event coordinator will need to reserve a Bloomberg Center meeting room via the room reservation website krescal. Information regarding the various meeting room capacities in Bloomberg Building can be found at [http://physics-astronomy.jhu.edu/about/available-facilities/](http://physics-astronomy.jhu.edu/about/available-facilities/).

Other locations throughout campus can be used as well. You can find available locations at Homewood’s event scheduling website.

Reference our Event Checklist to ensure smooth planning of your event.

5.5 **Multi-Day On-site/Local Events & Workshops**

Multi-day events and Workshops (two or more days in duration) may include both local and out of town attendees. Reference our Event Checklist to ensure smooth planning of your event.

In some instances there will be a need to reserve additional rooms for break-out sessions. Room reservation requests can be accessed using the reservation website krescal. In the event Schafler Auditorium (Room 272) is requested as a meeting space, this space must be reserved through the Registrar’s office at ASENScheduling@jhu.edu. Rooms 464 and 478 are Physics & Astronomy classrooms and can be reserved through our Academic Program Administrator.

If the number of attendees exceeds sixty it is difficult to obtain a single meeting space in the Bloomberg Center to accommodate. If the event is to stay on the Homewood Campus, Scheduling & Event Services can assist in locating a more suitable meeting space.

Both the Colonnade Hotel and the Mt. Washington Conference Center not only offer lodging but also offer meeting space and catering, at a cost. If there is no budget funding available for this option it may be necessary to advise the meeting requestor that a registration fee should be considered.

5.6 **Lodging for Speakers and Guests**

The Colonnade Hotel is the hotel of choice for all lodging needs based on its proximity to the Bloomberg Center. Johns Hopkins University has a preferred rate of $149.00, plus local tax. In order to reserve a room block the event coordinator will need to obtain the number of attendees needing lodging, their arrival and depart dates and whether payment will be made by the guest or by the event budget. In most instances the guests pay for their own rooms and the event budget will sometimes cover the invited speakers. Once obtaining the needed information the event coordinator will contact the Colonnade Hotel’s conference coordinator with the guest information. The hotel will prepare a contract and forward to the event coordinator. This contract will be sent to eventcontracts@jhu for review and signature. Upon receipt of the signed contract, the event coordinator will forward back to the Colonnade.

If a hotel other than the Colonnade is requested, the same process would need to take place.
5.7 CATERING AND EXCURSIONS
Catering for the event can include breakfast, breaks, lunch, and dinner. The event coordinator will need to work with the event initiator to determine the daily catering needs. Catering options can include the onsite Homewood campus caterer Bon Appetite, Azafran (located across the street at Space Telescope Science Institute), or Foodify. Foodify represents a large array of Baltimore caterers and restaurants and can work with the event coordinator to plan catering using multiple catering suppliers. As a reminder, budget funding is needed to cover the catering costs.

If an offsite dinner or other form of recreation is planned, the event coordinator can use Baltimore.org as a reference for ideas. For formal dinners the department has used, Woodberry Kitchen, Helmand, and Petit Louis. Other locations may be used, these are only examples.

Keep in mind that any off-site function may require transportation. Broadway Services can supply both small and large motor coaches to cover transportation requirements.

5.8 EVENT SUPPLIES
Other peripheral event items to consider would include; name badges and lanyards, printed agendas, welcome packages, giveaways, signage, etc. See the Event Checklist for additional items.

5.9 AUDIOVISUAL TECHNOLOGY
The department’s Building Manager can assist in determining your audiovisual needs. In some instances you may need to use the University’s Audiovisual Technology Support services, KIT-CAT. Their website details their services and fees.

5.10 PARKING
If the event is planned during hours the Muller Lot parking gate is down, you will need to contact Parking Services to arrange for the gate to be up during your event. There is a cost associated with this service.

There are instances you can also reserve parking using the Physics and Astronomy spaces on the surface lot or the San Martin Garage. Please contact your Grants and Contracts Specialist or the Department Administrative Assistant to make space reservations.

5.11 EVENT ADVERTISEMENT
Bloomberg Building
There are a number of internal email lists that can send emails to residents of Bloomberg Building. Please contact the Department Administrator to see what email list best suites your needs.

Homewood Campus
There are two options for the Homewood campus (you can do both):

1. HUB events will be published and sent out via email to Homewood faculty and staff the day before and the day of an event.
2. Today’s Announcement will be sent via email to Homewood faculty and staff the next day to the Today’s Announcements email distribution list.
Executive Director of Communications and Public Affairs Dennis O’Shea: dro@jhu.edu

Outside of Homewood Campus
APL: jhu-announcements@jhuapl.edu
School of Public Health - Public Affairs: paffairs@jhsph.edu
School of Nursing Communications: son-communications@jhu.edu
Carey Business School – Tim Parsons, Director of Communications and Marketing: parson1@jhu.edu
School of Medicine Announcements: http://www.insidehopkinsmedicine.org/news/sub_ann.cfm

5.12 REOCCURRING DEPARTMENT EVENTS
The department holds many reoccurring events. Reference the Department Event Matrix to help determine the event coordinator, date, and times.
6 RESEARCH ADMINISTRATION

6.1 PRE-AWARD

6.1.1 Identifying Funding Opportunities
The identification of funding opportunities is primarily the responsibility of the primary investigator with support from both the department and JHURA. The search for funding opportunities is the responsibility of the Principle Investigator. The Grants and Contracts Analysts, also known as the Grants and Contracts team in the department provide guidance with respect to funding opportunities as needed. Interpreting funding and technical guidelines of each opportunity is a collaborative effort between the Principle Investigators, the Department’s Grants and Contracts Analysts, and JHURA. The GCAs in the department assist with clarification of budgetary and administrative guidelines for each funding agency with support from JHURA. Proposals that involve limited submissions are handled by the PIs with assistance from the Department GCAs.

6.1.2 Funding Opportunity Resources
The Research Development Team of Johns Hopkins University publishes various funding opportunities at the following websites:

Limited Submissions- Limited Submissions are funding opportunities in which federal and private sponsors limit the number of proposals from an institution. An internal competition is held in order to select the most competitive proposal on behalf of the University. These opportunities are dispersed to the community in a weekly digest and accessible online.

Early Career Funding Opportunities- A repository of 350+ federal and private funding opportunities that are intended for late postdoctoral investigators and early-career faculty, usually those at or below the rank of assistant professor.

Graduate Student Funding Opportunities- an updated repository of federal and private funding opportunities that are intended for graduate students.

Postdoctoral Funding Opportunities- an updated repository of federal and private funding opportunities that are intended for postdoctoral investigators.

Internal JHU Funding Opportunities- internal funding opportunities that have been submitted from centers and institutes across the nine divisions of Johns Hopkins University. These opportunities are dispersed to the community in a monthly digest and accessible online.

On this site PIs and Grants and Department Administrators can find limited submission, early career, postdoctoral, graduate, underrepresented minority & low-income graduate, and undergraduate opportunities.
6.1.3 Proposal Development and Preparation
Proposal development and preparation is a collaboration between the Principle Investigators and the Grants and Contracts teams in the Department. The Principle Investigators and their teams write, edit, and review the technical narratives for the proposals. If a letter of intent from the university is needed, the GCA team assists with drafting the letter and having it signed by JHURA through the Coeus review process. Any special requests that are needed with respect to a sponsor’s requirements such as Indirect Cost (F&A) waivers, cost share requests, or space commitments are made by the PI through their Grants and Contracts team and approved by DO-RIT and the Vice Dean. The Grants and Contracts team also assists the principle investigators with the completion of other proposal sections such as biosketches, current and pending lists, lists of collaborators, etc.

6.1.4 Budget Development
The Grants and Contracts Analysts in the department assist their assigned Principle Investigators with budget development for outgoing proposals. Budgets are created by using a standard budget template worksheet. An updated copy of the standard budget template is stored in the proposal preparation folder on the department’s shared drive. The current rates for fringe benefits, tuition, graduate student health insurance, and F&A can be found on the Standard Proposal Rates document. An updated version of the Standard Proposal rates can also be found in the proposal preparation folder on the department’s shared drive and on the university website: [https://finance.jhu.edu/depts/cost/ca_rate_agree.html](https://finance.jhu.edu/depts/cost/ca_rate_agree.html)

6.1.5 Request for the 1% effort waiver for faculty
- GCA has a discussion with the PI on why they are not putting 1% effort
- GCA sends Department Manager the request explaining the reason for the waiver
- Department Manager reviews the request and forwards it to the Assistant Dean with a copy to the Sr. Financial Manager
- Assistant Dean forwards the request to the Dean for final approval
- Once the approval is received the Assistant Dean sends it back via email to the Department Manager
- The email is then uploaded by the GCA/Sr. GCA into coeus as a separate document as approval for the effort waiver

6.1.6 Subrecipients
The Principle Investigators identify outgoing subrecipients and work with the Department Grants and Contracts Analysts to gather the required documents and information required at the proposal stage. The documents that are needed for outgoing subawards at the proposal stage include, but are not limited to, the Subaward Determination Form, Letter of Intent, Statement of work, Detailed budget, and Budget justification for each institution. More information regarding outgoing subawards is detailed in the Subaward Policies and Procedures Manual found on JHURA’s website: [JHURA Subaward Policies and Procedures Manual](https://finance.jhu.edu/depts/cost/ca_rate_agree.html)

JHURA also provides links to documents and school specific polices on the following webpage: JHURA Subawards Documents and Policies

6.1.7 Coeus Entry
Coeus is the application that is used by Johns Hopkins for Proposal Development and Pre- and Post-award Management. The Department Grants and Contracts Analysts are responsible for entering proposal data and
documents into the Coeus system before routing for review and approval. The minimum requirements for a proposal development record in Coeus are a copy of the Program Announcement, Scope of Work, Budget, Budget Justification, Coeus Compliance Questionnaire, and the Investigator Certifications Questionnaire. Other documents are required when certain criteria apply. Any documents that require an Authorized Official Representative (AOR) signature should also be included in the Coeus record. A checklist for the minimum requirements for a proposal development record in Coeus can be found at the following webpage: Minimum Requirements for a Proposal Development Record in Coeus

The Coeus Compliance Questionnaire must be completed and signed by the JHU PI. The Investigator Certifications Questionnaire must be signed by all key personnel listed on the proposal. The most current version of each questionnaire must be used. A copy of the most current iteration of the questionnaires can be found in the JHURA folder in the Proposal Preparation Folder on the department shared drive or on the JHURA website: https://research.jhu.edu/jhura/proposaldevelopment/forms/

6.1.8 Proposal Review and Approval
The Principle Investigators, the Grants and Contracts Analysts, Department Managers, and JHURA Grants Associate each review every proposal through the review and approval process looking at similar yet different aspects of the proposal. The PIs and the Department GCAs first check each proposal to ensure that it meets the sponsor requirements. Items checked include but are not limited to, text margins, page limits, fonts, and text margins. The different aspects that 4 levels of review look at are as follows:

6.1.9 Budget Review and Approval
After the Grants and Contracts Analyst and the Principle Investigator have finalized the proposal budget and budget justification, the documents are sent to the Grants and Contracts Manager or Administrative Manager for review. The GCM or the AM then forwards the budget and budget justification to the Sr. Financial Manager for review and approval. If there are any revisions necessary throughout the review process, the budget reverts back to the GCA to make the revisions and begin the review process over again. After the final approval from the Sr. Financial Manager, the budget may be used for Coeus routing and for entry into the sponsors system.

6.1.10 Coeus Routing
The internal Coeus review begins with the Grants and Contracts Analyst forwarding the proposal number to their Grants and Contracts Manager or Administrative Manager to request review (see figure 1). The proposal is NOT submitted in Coeus until final department approval. The GCM or AM will review the proposal package to ensure accuracy, completion, compliance, and ensure that it contains the minimum requirements for a proposal development record in Coeus. After the GCM or AM reviews, the proposal number is forwarded to the Sr. Financial Manager to review and approve. After the approval from the Sr. Financial Manager, the GCA may submit the proposal record for approval in Coeus. This Coeus record is then reviewed by the GCM or AM before the Sr. Financial Manager reviews it. If there are corrections or revisions to be made at any point during the process, then the process reverts back to the GCA to make revisions and begin the review process over again. When the proposal is ready to be submitted to the sponsor, the GCA will notify JHURA via email that it is ready to be submitted. The proposal to the sponsor should be submitted simultaneously with Coeus. The Coeus record is then approved in the department by the Sr. Financial Manager. Both the GCMs and the AM can submit proposals in the absence of the FM. The Department Administrator can approve proposals at the 2nd level of approval after they have been approved either by the Sr. Financial Manager of the GCM or AM at the 1st level of approval.
6.1.11 JHURA Proposal Review and Approval

All proposals should be routed through Coeus at least three business days prior to the sponsor’s due dates for a full review by JHURA proposal review services. Proposals are subject to JHURA’s 3-2-1 proposal review policy, which
means that proposals submitted less than three days before the sponsor due date will not receive a full review by JHURA. Proposals received two days prior to the sponsor’s due date will receive only a partial review. Proposals received less than one day before the sponsor’s due date will receive only a compliance check.

The full 3-2-1 policy that describes JHURA proposal review services is described on the following document found on JHURA’s website: JHURA Proposal Review Services

The 3-2-1 proposal applies to those items as included in the Coeus record. Ideally, the full proposal and package are ready to be submitted to AOR for review at the time of Coeus submission from the department. However, the Principle Investigators may continue to be revise and update the final narrative up until the proposal deadline. If the PI continues to work on the narrative past the Coeus deadline, then they should inform their Grants and Contracts Analyst who should coordinate with the Grants Associate in JHURA.

6.1.12 Proposal Submission
The role of submitting the final proposal to the sponsor depends on whether it is to be submitted electronically via the sponsor’s web portal, via email, or in paper format. All submissions are subject to authorization from JHURA as the AOR of the university.

6.1.13 Submitting to Sponsor
When the proposal is ready to be submitted to the sponsor, the GCA will notify JHURA via email that it is ready to be submitted. Proposals may be submitted to the sponsor following final approval by the JHURA Grants Associate as in indicated by approval of the Coeus record.

Proposals that are to be submitted electronically via the sponsor’s web portal are submitted directly by the Grants Associate, per their authority as AOR for the university. The Grants Associate will send confirmation that the proposal has been submitted to the sponsor to the GCA via email and the GCA can forward that confirmation to the PI.

Proposals that are to be submitted via email may be submitted by the either the Grants and Contracts Analyst in the department or the Principle Investigator following approval by the Grants Associate as indicated by approval of the Coeus record. The JHURA Grants Associate must sign all related documents as the AOR for the university. The package must be sent with a copy to the Grants Associate, the Principle Investigator, and the Grants and Contracts Analyst.

Proposals that are to be submitted in paper format may be sent following the final approval of the JHURA Grants Associate. The JHURA Grants Associate must sign all related documents as the AOR for the university.

6.1.14 Award Acceptance
Upon the acceptance of award by a sponsor, JHURA will review and negotiate the terms and conditions for the Grants, Cooperative Agreements, Contracts, and for other types of funding or Non-Financial Agreements. Feedback on any nonstandard terms and conditions may be provided by the Principle Investigator, the Department, DO-RIT, SPSS, or other divisions. JHURA is responsible for award acceptance and executing the award on behalf of JHU.
6.2 POST-AWARD

6.2.1 Pre-Award Accounts

1. Requirements to establish a pre-award account:
   - An email to your SPO providing any and all correspondence received from the sponsor that indicates impending funding.
   - An email to your SPO from the department chair authorizing the setup of the account. The chair must acknowledge in the email that it is understood that should a sponsored agreement not materialize, any and all expenditures made against the pre-award account number will be the responsibility of the department. The email shall identify the departmental non-sponsored account that will serve as a backup should the project not be awarded.
   - Please note that pre-award accounts can be established for only one project period of up to 12 months.
   - The SPO will identify the pending project in Coeus and will complete the account number request form and process to Shared Services.

2. Department process of sending the pre-award request to DO-RIT
   - The expectation of the award must be high. An email from a program officer on the agency announcing the award is suggested. The risk of not receiving the award must be low.
   - The GCA/Sr. GCA sends the request to their Manager with the following information: a reason for the IO#, the PI, the responsible cost center it would be set up under and the title.
   - KSAS requires a general funds account number as collateral (in case the award does not get made and costs are incurred).
     - Faculty research budget (start-up, banking, gift, or any other discretionary allocation account in the PI’s name).
     - If the PI has nothing available, the chairman must agree to use a departmental general funds account. (Administrator/Asst. Administrator will inform chairman).
   - The Department Manager reviews the request and sends it to DO-RIT copying the Sr. Financial Manager on the email.
   - Once created, DO-RIT sends the Department Manager the new internal order number.
   - The Department Manager forwards the IO# to the GCA.

3. Setting up the pre-award account
   - DO-RIT electronically sends a copy of the award documents to the Sponsored Projects Shared Services Office (SPSS) through Oculus for processing into the SAP system.
   - SPSS sends an email to DO-RIT to confirm that the award set up/modification is complete.
   - DO-RIT emails this confirmation notice, along with a PDF copy of the award notice, to (1) the PI, (2) the designated department contact(s), and (3) the appropriate SPO. The corresponding internal order number (IO) is notated in the email.
Any discrepancies must be brought to the attention of the responsible SPO. SPSS will enter the budget into the account on two lines. The first line is the revenue budget shown under G/L Code 420000 Sponsored Revenue. The second line will be the expense budget under G/L Code 600000 Undistributed Budget.

6.2.2 Award Set-Up
After the award is accepted JHURA works with SPSS to set up the award in SAP. JHURA confirms that protocols and approvals for regulatory compliance requirements are current at the time of initial account set up. JHURA communicates the grant number and internal order numbers to the department after SPSS sets up the grant in SAP. Upon acceptance JHURA creates a record for the award in the JHURA Agreement Workflow System (JAWS).

6.2.3 JHURA Agreement Workflow System (JAWS)
JHURA Agreement Workflow System (JAWS) is the database used to track and manage sponsored awards. Users can access information regarding the negotiation, workflow, and award documents using the JAWS system. All JHU users with a valid JHED account can log in to view JAWS records. Only JHURA personnel and JHSPH Office of Financial Operations can modify JAWS records.

For incoming awards that JHURA receives the initial award documents, JHURA initiates the creation of the JAWS record. For initial awards that are received by the Principle Investigator or others in the department, the Grants and Contracts Analyst in the department should request award set up via the JAWS Intake Form. The JAWS Intake form is a webform that is found on the following webpage on the JHURA website: Agreement Intake

New users to JAWS need to request access by using the JAWS Account Request Form, which is a webform that is found on the following page on the JHURA website: JAWS Account Request Form

The JAWS system can be used by the department research administrators for access to award docs and access to information regarding current awards. The JAWS Intake Form can be used for award set up when the department receives the award and for requests to modify existing awards (including requests for no-cost extensions).

6.2.4 Post-Award Administrative Management
The Administrative Management after the award is set up is handled by the department Grants and Contracts Analysts in conjunction with the Principle Investigators. Items such as re-budgeting requests, no-cost extensions, and PI changes are initiated at the department level. JHURA must approve and submit prior-approval requests and notifications. The Grants and Contracts team in the department can initiate prior approval requests and notifications via the JAWS Intake Form.

Requests for the creation of new internal orders under existing sponsored awards may be initiated by the Grants and Contracts analysts in the department by contacting DO-RIT. DO-RIT will review and approve the requests for new internal orders. SPSS will set up new internal orders in SAP and inform DO-RIT, who will in turn notify the Grants and Contract Analyst of the new internal order numbers.

6.2.5 Post-Award Financial Management
Post-award Financial Management is handled by the Department Grants and Contracts team in conjunction with the Principle Investigators. The Grants and Contracts Analysts reconcile accounts on a monthly basis to ensure that all expenses are allowable, allocable, and reasonable and adhere to the Uniform Administrative Requirements, sponsor
requirements, and university policy. They review the accounts on a monthly basis and provide an executive summary to the PIs to review, approve, and sign off. The Department Grants and Contracts team also handles all purchasing under the awards and the retention of applicable back up documentation for all transactions.

DO-RITs role in post-award financial management includes the administration of any program income. DO-RIT also monitors cash deficits and resolves related issues as needed. All accounts receivable management for sponsored award funding is handled by SPSS.

6.2.6 Request to setup off-campus accounts
- The GCA/Sr. GCA sends the request to their Manager with a reason why the off-campus account is needed, for example: PI is on sabbatical and working on projects off-site
- The Department Manager reviews the request and forwards it to DO-RIT with a copy to the Sr. Financial Manager
- Once approved by DO-RIT, the Department Manager forwards it to the GCA/Sr. GCA with a copy to the Sr. Financial Manager

6.2.7 Outgoing Subaward Administration
The Post-Award administration of outgoing subawards and subcontracts begins after the Principle Investigator, with assistance from the department Grants and Contracts Analyst, finalizes the Statement of Work, Budget, Budget Justification, and other documents involved with the proposed work of the subrecipient. JHURA is responsible for negotiation, determining a risk rating, and signature of new subawards and subcontracts, and for any amendments. Details regarding the JHURA processes for subawards can be found in the JHURA Subawards Policies and Procedures Manual: Subaward Policies and Procedures Manual

6.2.8 SWIFT
The Subaward Workflow Information Tracking System (SWIFT) is used by JHURA and the department to track and manage subawards. JHURA provides a guide for using the SWIFT, which can be accessed at the following webpage: User Guide for Subaward Workflow

Information Tracking System (SWIFT) for JHU Research Administration (JHURA) Departments

6.2.9 Subaward Invoice Processing
After a subaward is issued DO-RIT will request an internal order. DO-RIT will also set up a purchase order to which invoices from the subrecipient are to be charged. Invoices from the subrecipient should be sent to DO-RIT with a copy to the PI and the Grants and Contracts Analyst in the department. DO-RIT will review the invoice and forward a cover page to the Grants and Contracts Analyst. The GCA forwards the invoice and the cover sheet to the PI for signature and to report on progress for the period covered on the invoice. The signed cover sheet is then sent back to DO-RIT for their records. After the PI signs off, DO-RIT processes the invoice for payment against the purchase order and enters the goods receipt.

6.2.10 Administrative Effort
Employees and students generally are not permitted to charge salary to grants or contracts for time spent writing proposals. Any effort by faculty spent writing proposals must be charged to a non-grant source of funds. Postdoctoral Students, research faculty or staff, and any others supported 100% throughout the year via grants or contracts may not
spend time writing proposals during the time they are being paid to work on a grant or contract. Please see the
guidelines below to accurately reflect their grant writing effort.

**Guidelines:**

- This account is used when Faculty or a Researcher does not have their own general funds or discretionary
  account to support their proposal writing effort.
- The standard % of effort by Faculty or a Researcher, without specific approval from the Chairperson or CAS
  Director, is 1% to 5%. It should not be sustained at 5%.
- Charging effort to this account happens after the effort has already been completed. This account cannot be
  used for projected effort. A review of the proposal writing should be done within 60 days, no more than 90
  days.
- This account cannot be used as labor distribution without prior approval from the Chairperson or CAS Director.
  This method is only used in rare circumstances.
- Proposal writing effort for students and/or Post Docs must have approval from the Chairperson.
- Discretionary accounts include the following accounts: return on research, banking, retention packages,
teaching relief, and start-up.

**Procedures:**

**Faculty**

- Faculty Salary budget covers the effort for proposal writing, no transfer is needed

**Research Faculty or Researcher with Non-Sponsored Funding**

- Estimate percent of effort used to prepare proposal and transfer salary (via e-form) to PI’s General Funds or
  Discretionary Account.

**Research Faculty or Researcher with no Non-Sponsored Funding**

- Estimate percentage of effort used to prepare proposal and transfer salary (via e-form) to Administrative Effort
  Account-80015903
- Effort in excess of 5% of the Researcher’s FTE in a quarter must be preapproved by CAS Director or Department
  Chairperson.

**6.2.11 Effort Reporting and Training**

The University's Effort Reporting System (ERS) provides the principal internal controls for certifying that the salaries and
wages charged to or contributed to sponsored projects are reasonable and consistent with the portion of total
professional activity committed to the projects. Appropriately certified effort reports provide auditable documentation
to demonstrate to the University's research funders that the sponsor did in fact receive the level of effort described and
expected through the proposal process, the award process, and all post award communications with the sponsor.

Before a Principle Investigator submits their first proposal, they must have completed the institution’s effort training.
Required Training: https://my.jh.edu/ ➢ Under Education, go to My Learning ➢ ERS Effort Reporting System- Certifiers
Effort Certification Training – Workflow and follow-up to ensure all certifiers take effort training

**PhA Graduate Students:**

1. The Academic Affairs Administrator sends the email below to each member of the entering class.
2. The PhA Academic Affairs Administrator will follow up to ensure all Graduate Students complete training.
3. The PhA Grants Contracts Manager will review effort training dashboard on a monthly basis. Compare with My Learning reports generated by KSAS BARA.
4. The PhA Administrator will analyze and follow-up to ensure all Graduate Assistants complete training.
5. The PhA Demographics Data Base will be updated to indicate training complete and certificate uploaded.

**PhA Faculty, Appointed Research Staff:**

1. The respective Grants Contracts Analyst (GCA) sends the email below to new hires within support team.
2. The PhA GCA will follow up to ensure Faculty/Research Staff complete training.
3. The PhA GCM will review effort training dashboard on a monthly basis. Compare with My Learning reports generated by KSAS BARA.
4. The PhA Administrator will analyze and follow-up to ensure all faculty and research staff complete training.
5. Upon receipt of completion certificate:
   - The document will be filed with the individual’s permanent departmental electronic personnel record.
   - Email to pha-fmp coordinators to update PhA Demographics Data Base to indicate training complete.

**PhA Staff hires through Success Factors:**

1. The PhA HR Generalist sends the email below to new hires within support team.
2. The PhA HR Generalist will follow up to ensure new staff hires complete training.
3. The PhA GCM will review effort training dashboard on a monthly basis. Compare with My Learning reports generated by KSAS BARA.
4. The PhA Administrator will analyze and follow-up to ensure all faculty and research staff complete training.
5. Upon receipt of completion certificate:
   - The document will be filed with the individual’s permanent departmental electronic personnel record.
   - Send an email to the pha-fmp coordinators to update the PhA Demographics Data Base to indicate training complete.

**Communication (email) to be sent to all new members of the department:**

Hello,

The university’s goal is to accurately certify salaries and wages charged to or contributed to sponsored projects are reasonable and consistent with the portion of total professional activity committed to projects. ERS is the
web-based Effort Reporting System that JHU uses to certify effort. Administrative staff and faculty in all
departments who are involved in sponsored research should be familiar with Effort reporting policies and
procedures.

The importance of properly certifying Effort should not be underestimated since salaries and wages typically
comprise approximately 2/3 of the direct costs charged to sponsored projects. JHU, as the primary award
recipient with oversight accountability to the research sponsor, may suspend the research rights and privileges
enjoyed by the Principal Investigator (PI) and the research staff when they do not adhere to Effort policies and
procedures. If a PI does not adhere to the effort reporting policy, JHU may not submit proposals for the PI and
may inactivate existing cost objects in the SAP system. Disregard of this policy may also lead to other
disciplinary actions in accordance with the school's faculty appointment policies. In addition, criminal charges
may be brought against the individual certifying falsified effort.

The department’s policy if for all individuals to certify their own effort using the Effort Reporting System (ERS)
except in very limited circumstances. Please complete the training by [allow a 2-week deadline].

- The training can be found at https://my.jh.edu/
- Under Education, go to My Learning.
- Type in the course name and take the course.
- Please print your certification at the end of the course and send to me.
6.2.12 Independent Contractor Certification

Part I – Completing the ICC (Independent Contractor Certification) form. **This form is ONLY required any time the total cost of services is $5,000 or more.

1. The GCA/Sr. GCA fills out the Independent Contractor Certification form.
   a. The GCA/Sr. GCA simultaneously sends the contractor Part II of the form to fill out and sign.
2. The GCA/Sr. GCA sends the GCM the completed form with the contractor’s signature.
3. The GCM reviews the form for accuracy and sends it to the Dept. Administrator for their authorizing signature with a copy to the Sr. Financial Manager.
   a. The Dept. Administrator forwards the signed form to the GCM.
   b. The GCM sends the signed form to the Divisional Business Office for their authorizing signature.
4. After GCM receives the signed form from the Divisional Business Office, they review and forward that to the GCA.
5. The GCA/Sr. GCA completes the form per the instructions at the top of the ICC form and emails the completed form to the University Tax Office @ independentcontracts@jhu.edu or faxes it to 443-997-8538.
6. The GCA/Sr. GCA waits to receive the Tax Determination letter from the University Tax Office.
7. Once the Tax Determination letter is received it is attached to the contract.

Part II – Completing the Contract

8. The GCA/Sr. GCA determines what type of contract needs to be used based on the scope of work and the approved budget. Information for the various types of contracts can be found on the University Finance website below. http://finance.jhu.edu/depts/procurement/forms/university_forms.html
   i. The GCA/Sr. GCA consults with the GCM for review and approval of the contract to be used.
      Examples include:
      1. Short Form Independent Contractor Agreement - Used when services are for a short duration and are less than $5k.
      2. Independent Contractor Agreement - Used when services are for a short duration, $5K or greater and less than $50K and when no Intellectual Property is produced.
      3. Master Consulting Services Agreement- Used when services are $50K or more or when Intellectual Property is produced as a result of hire or for projects of a longer duration.
      4. Independent Computer Technology Services Agreement - Used for services of $5k or more and when computer software or web pages are produced.
9. The GCA/Sr. GCA fills out the contract and sends it to the contractor to fill out and sign their part.
10. The GCA/Sr. GCA needs to ensure that the contract amount was budgeted on the proposal and it does not exceed the budgeted amount.
11. Once the contract is received from the contractor, the GCA/Sr. GCA sends it to the GCM with the following information
    i. PI name
    ii. Agency
    iii. Award title
iv. Activity/Service to be completed

12. The GCM sends the completed contract and the above information to the Dept. Administrator for their authorizing signature with a copy to the Sr. Financial Manager.
   a. The Dept. Administrator forwards the signed form to the GCM.

13. GCM forwards it to the GCA/Sr. GCA.

14. The GCA/Sr. GCA initiates the Purchase Order request.

15. The Independent Contractor sends an invoice for payment.

Additional Guidance:
https://policies.jhu.edu/?event=render&mid=779&pid=31968&fid=policy_31968.pdf&_=0.132830855337

6.2.13 Desktop and Laptop Purchases for Research
With the issuance of the Uniform Guidance (UG) the purchase of computer equipment that is necessary to the project, but not necessarily dedicated to that project is an allowable direct cost. It can be used for the project a portion of the time; the institution determines the appropriate percentage of the cost to be charged to the award.

Laptops and desktops are generally under the $5,000 equipment threshold and therefore considered to be supplies. Under the UG, they are explicitly allowable as supplies. A justification that the supply is allocable and reasonable on the project, is still needed.

We encourage PIs to include (or a portion of) a computer and computing peripherals in their proposal budgets if they foresee a need for one. Department funds should not be considered for computer purchases being used for research purposes.

The University follows a standard 4-year rotation replacement schedule for desktop and laptop computers.

NSF Proposal Submission Training Videos

Part 1: https://jh.hosted.panopto.com/Panopto/Pages/Viewer.aspx?id=622482ce-4a08-4012-b0ca-a9d701086faa

Part 2: https://jh.hosted.panopto.com/Panopto/Pages/Viewer.aspx?id=7306d0fe-0b6d-4597-9c28-a9d7012b8e65

6.2.14 Budget Process and Workflow for CARS Cooperative Agreement
The GSFC-JHU Cooperative Agreement (Co-op) involves the award of Federal funding for several collaborative projects between JHU faculty and scientists and GSFC scientists. Each individual collaboration or project is called a task and is each assigned a unique on-campus and/or off-campus IO number for managing the funds. All expenses take on-campus F&A except for the salaries of Co-op personnel working off site at GSFC or elsewhere. The following outlines the pre-award and post-award workflow and responsibilities of the Grants and Contracts Analysts (GCA) for the Co-op and the GCAs for the JHU personnel working under a Co-op task.

Pre-award:
1) The GSFC PI contacts the Co-op’s GCA at JHU to request a budget for costs to be added on a Co-op task. In some cases, the JHU Scientist will contact the Co-op GCA directly on behalf of the GSFC PI.
2) The Co-op GCA creates the budget accordingly and confirms with the GSFC PI the total costs including all the indirect costs and how much effort per person will be covered for the period by the requested funds. The JHU Scientist’s GCA is copied on all budget discussions.

3) After the GSFC PI approves the budget, the request is forwarded by the Co-op’s GCA to the GSFC Technical Officer (TO) for approval via email with a cc: to the JHU PI for the Co-op, the GSFC PI for the task, the JHU Scientist, and the JHU Scientist’s GCA.

4) After the budget is approved by the TO, JHU receives a supplement from NSSC which is allocated to the Co-op IO for the task less GSFC specific indirect costs and fees.

5) Once the IO has been created and the funds have been allocated, the Co-op GCA notifies the JHU Scientist’s GCA the funds are available and ready to be managed.

Post-award:

**GCA for the Co-op** - The cumulative funding levels and budgets for each task are monitored by maintaining a control spreadsheet. The cumulative budgets are updated periodically in SAP to match the control spreadsheet. Each task is assigned at least one individual IO number. Some tasks may involve separate IOs for on-campus F&A bearing costs, off campus F&A bearing costs, or equipment fabrication. The total budget(s) in SAP under the grant are compared to ensure that they match the total(s) in the control spreadsheet.

**GCA for the JHU Co-op Scientist** - The JHU Scientists’ Administrative staff makes all purchases, reconciles the salaries and expenses, and manages all post award-award activity for each task as they would for a grant. They ensure all costs are allowable and spent within the period of performance specified in the approved budgets. The JHU Scientists’ GCA coordinates with the Co-op GCA to request any changes in budget (over 10% cumulative) or no cost extensions.

The JHU Scientist’s GCA sends a quarterly update to the Co-op GCA with account balance and projections.

Roles:

- **CARS Co-op PI- Dr. Chuck Bennett**- Oversees the overall scientific management of the cooperative agreement at JHU.

- **CARS Co-op GCA- Jill Hanson**- Oversees the overall cumulative financial management of the cooperative agreement at JHU.

- **Goddard Space Flight Center (GSFC) PI- TBD**- Scientist working for and at GSFC who works collaboratively with a JHU Scientist.

- **JHU PI- TBD**- Scientist working for JHU who collaboratively works with a Scientist at GSFC.

- **JHU GCA- TBD**- The GCA assigned as administrative support for the JHU PI.
• **GSFC Technical Officer (GSFC TO) - Andy Ptak** - Oversees the overall Scientific and Financial management of the cooperative agreement from NASA.

### 6.2.15 Proposal Graphics

Do you need assistance with graphics for your proposal submission? Below are a few contacts that may be able to assist you.

- Doug Behr- dbehr@jhu.edu
- Max Boam- mboam@jhmi.edu
- **Pathology Photography, Digital Imaging, and Computer Graphics**

### 6.2.16 Responsible Conduct of research (RCR) Training

The National Science Foundation (NSF) and The National Institutes of Health (NIH) require that each institution submitting a proposal certify that it has a plan to provide appropriate training and oversight in the ethical conduct of research to all undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF or NIH to conduct research. The institutions are responsible for verifying that the training has been received. Below is our department’s procedure to ensure adequate training.

1. **Newly hired Graduate Students:**
   a. All newly hired Graduate Students are notified by the Academic Affairs Administrator (AAA) they are required to register and complete the RCR training course (*Responsible Conduct of Research – AS.360.625.01*) at the beginning of the next semester.
   b. Once the semester has ended, the AAA checks each student’s transcript for proof of completion.
   c. Upon verification, the AAA marks the FileMaker Pro database with a completion checkmark.

2. **Postdoctoral Fellows, Undergraduate hires, and Visiting Trainees**
   a. All newly hired Postdoctoral Fellows, Undergraduate hires, and Visiting Trainees are notified by their respective Grants & Contracts Analyst (GCA) they are required to register and complete the RCR training course (*Responsible Conduct of Research – AS.360.625.01*) at the beginning of the next semester.
   b. The GCA follows up with the AAA after the semester to confirm whether the Postdoctoral Fellows, Undergraduate hires, and Visiting Trainees transcripts indicate that they’ve completed the RCR course.
   c. Upon verification, the AAA marks the FileMaker Pro database with a completion checkmark.

3. **Compliance Check**

   Each quarter, the Grants & Contracts Manager (GCM) will complete a compliance check to ensure all PhA NSF/NIH funded Undergraduate students, Graduate Students, Postdoctoral Fellows (Departmental trainees), and paid Visiting Trainees have completed the RCR training.

   a. The GCM will run an SAP Analysis Summary of Gross Salary report for all those with NSF/NIH labor distribution in the current month and compare it to the previous month.
      a. The report is saved in S:\Shared\Responsible Conduct Research Training
      b. Analysis Report- Summary of Gross Salary (Sponsored):
         i. Prompts:
1. Fiscal Year period

ii. Layout Variables:
   1. Employee
   2. Employee Subarea
   3. Grant
   4. Prime Sponsor
   5. Sponsor

c. Download to Excel
   i. Filter for:
      1. Graduate Students
      2. Post Docs
      3. Undergraduate Students
      4. Visiting Trainees
   ii. 2nd filter- Sponsor
      1. NSF
      2. NIH
      3. American Heart or any other Prime sponsors who are NIH or NSF

b. Any newly NSF or NIH funded individuals will be flagged for review.

c. The GCM will check the FileMaker database to verify the newly funded individual has completed the necessary RCR training.
   a. If the individual has not completed the training, the GCM will communicate any training exceptions to the appropriate GCA or AAA who will in turn communicate with the employee using the communication text below.

4. Communication text to be used to notify employee:

You are receiving this email as you are an undergraduate research assistant, graduate research assistant visiting trainee, or a postdoctoral fellow being paid from a National Science Foundation (NSF) or National Institutes of Health (NIH) federal grant.

The NIH, NSF, and the U.S. Department of Agriculture (USDA) view a course in Responsible Conduct of Research (RCR) as an essential component for trainee researchers. To remain compliant, the University requires all undergraduate students, graduate students, and postdoctoral researchers to complete the training.

This is an in-person course and you must register. Post-docs can register in person at Wyman or submit enrollment forms via email to the Office of the Registrar (grregistration@jhu.edu). The course is offered each semester and is called Responsible Conduct of Research – AS.360.625.01. Please check the class listings for exact times and locations https://sis.jhu.edu/classes.

Please let me know if you have any questions. Failure to complete the training will put you in violation of NSF/NIH compliance regulations.

Thank you for your attention to this very important matter.

5. Communication text to be used for CITI Training (only when in-person course is not available requires Dean’s Office Approval-contact Departmental Administrator):
You are receiving this email as you are an undergraduate research assistant, graduate research assistant or a postdoctoral fellow being paid from a federal grant (NSF, NIH).

The National Institutes of Health (NIH), the National Science Foundation (NSF), and the U.S. Department of Agriculture (USDA) view a course in Responsible Conduct of Research (RCR) as an essential component for trainee researchers. To remain compliant, the University requires all undergraduate students, graduate students, and postdoctoral researchers to complete the training.

The Department has been given permission for you to take an online course from the Collaborative Institutional Training Initiative (CITI) that is available at www.citiprogram.org. The online training and accompanying quizzes are estimated to take about 2.5-3 hours to complete. Please complete the training by ___________ (allow a 2-week deadline). Upon completion, please screen print the certificate and return to me by email.

These are the steps for creating a CITI account and completing the RCR Training

2. If you already have a CITI account, sign into your account and proceed to step #5.
3. If you are a new user to the CITI Program, register to create an account by clicking on “New Users Register Here”. Select “Johns Hopkins University” under “Participating Institutions”.
4. Enter your member information and create your username and password. These will be used to re-enter the course or to obtain completion information, so be sure to remember and retain these for later use. Do not select the CME/CEU credits option.
5. On the next screen, you will be prompted to select your curriculum. Select the second option: “Yes, I need/want to take the course on Responsible Conduct of Research (RCR).”
6. You will then be taken to a page where you need to select the RCR curriculum you want to take. Select the “Physical Science Responsible Conduct of Research” course.
7. The next page asks if you wish to register with another institution. You shouldn’t need to do so.
8. Scroll down until you see “My Courses”. Under “Status” for “Physical Science Responsible Conduct of Research”, you will see “Not Started – Enter”. Click “Enter” to be taken to the course.
9. Complete the course as required. You do not have to complete the course all in one sitting; you are allowed to use multiple log-on sessions. The minimum passing aggregate score for the quizzes is 80%. A running tally is compiled in the Grade Book. If you want to improve a score on a quiz, you may repeat any quiz in which you didn’t score 100% correct.
10. Print out a copy of the curriculum completion report for your files and save a copy to your computer as well.
11. Present a copy of your curriculum completion report to your departmental administrator as evidence of requirement compliance.

Please let me know if you have any questions or if you experience any access issues in taking the course. Failure to complete the training will put you in violation of NSF/NIH compliance regulations. Please complete the course at your earliest convenience.

Thank you for your attention to this issue.

6.2.17 Proposal budgeting for MARCC

To budget properly for MARCC, it is best advised to reach out to the Director to discuss the scope and scale of the project so that a custom solution can be determined to meet the data and computing needs of the particular project, and include all applicable fees to be covered by the faculty member. If you are reaching out about a proposed project
to be submitted to a sponsor, the director can assist in gathering any estimates required by the sponsor to substantiate a budget request for MARCC. Once a project is awarded, the director will collect a quote based on the configuration discussed, available budget, and compatibility with current MARCC infrastructure. Once the faculty member has signed off on the quote and corresponding MOU, the MARCC administrative team will process the order and provide all necessary documentation to the faculty member’s Grant and Contracts Analyst for reporting purposes. All hardware purchased to be housed in MARCC will be managed and maintained by MARCC staff for duration of its useful life whether 3 year, 5 year, or other extended time period. In addition to hardware costs, depending on the model chosen, there may be additional fees to be covered by the faculty member. The Director of MARCC will advise the faculty member at the time of consultation of any of these fees that would apply to their recommended configuration.

If a proposal budget decision is needed last minute, and there is not time to reach out to the MARCC director prior to the sponsor deadline, faculty members can build in MARCC costs at ~$7,500/node. However, this estimate is not guaranteed to cover all the necessary costs, nor will MARCC admin staff be able to provide any backup documentation to substantiate the estimate. This estimate is based on prior history, and not current hardware refresh plans underway at MARCC.

6.3 AWARD CLOSEOUT

6.3.1 Project End and Closeout
At the end of the project the Grants and Contracts Analyst ensures that all appropriate expenditures have been charged to the award and that any outstanding encumbrances have been resolved. The Fixed Assets Department ensures that any final property reports are submitted. The Principle Investigator submits the final technical report. SPSS submits all final financial reports. The GCA monitors the submission of all final reports and coordinates with the PI, JHURA, SPSS, and Fixed Assets departments as needed. SPSS will send the final financial status report and reconciliation sheet to the department. The GCA updates the reconciliation sheet with any anticipated trailing charges or credits, signs, and returns it to SPSS. A copy of the signed rec sheet and any other documents related to the close out are saved in the PIs shared drive folder under the grant.
7 ACADEMIC AFFAIRS

7.1 USEFUL WEBSITES
Physics and Astronomy Graduate Program and Policies
Physics and Astronomy Undergraduate Program
Physics and Astronomy Academic Resources
Homewood Student Affairs
Office of International Services (OIS)
Graduate and Postdoctoral Affairs

7.2 DEPARTMENT CONTACT:
Kelley Key- Academic Affairs Administrator, 410-516-7344, Office 366

7.3 INSTRUCTIONAL RESOURCES
- Blackboard Help and Knowledgebase: http://help.sset.jhu.edu/display/Bb/Home
- Faculty Enlight - https://www.facultyenlight.com/
  - Input textbook information for upcoming semester
- Center for Educational Resources (CER) http://cer.jhu.edu/

7.4 ACADEMIC COUNCIL
Mission Statement for the Homewood Academic Council: The mission of the Academic Council is to preserve and enhance the academic excellence of the Krieger School of Arts and Sciences and the Whiting School of Engineering. The Academic Council is charged to pursue this mission, whether directly or through its duly appointed subcommittees and designees.

7.5 DOCTOR PHILOSOPHY BOARD
Mission Statement: The Doctor of Philosophy Board advises the Provost about University-wide issues pertaining to the Ph.D. It approves new degree programs and sets guidelines and policies that affect all Ph.D. students. The Board respects the strong tradition of local autonomy of the Schools and seeks to enhance the visibility and prominence of Ph.D. education across the University.

7.6 UNDERGRADUATE RESOURCES
- Academic Advising: http://www.advising.jhu.edu/philosophy.php
- Undergraduate Research:
  - http://www.advising.jhu.edu/faqs_research.php
  - https://www.jhu.edu/research/undergraduate-research/
  - Hopkins Office for Undergraduate Research (HOUR) https://research.jhu.edu/hour/
- Undergraduate Catalog – Policies, procedures, resources and opportunities:
• University Policies: University Policies: http://e-catalog.jhu.edu/undergrad-students/university-policies/
• Physics and Astronomy Academic Advising – Kathy Sindt is a great resources: ksindt@jhu.edu

7.7 **GRADUATE RESOURCES**

• Graduate Students: http://e-catalog.jhu.edu/grad-students/graduate-specific-policies/
• Homewood Graduate Board – responsible for the administration of policies and procedures for the award Doctor of Philosophy, PhD of the Schools of Arts and Sciences and Engineering.
  o http://homewoodgrad.jhu.edu/academics/graduate-board/
• Departmental Examination Regulations: http://physics-astronomy.jhu.edu/graduate/exam-guide/
  o Research Exam – departmental exam with a Pass/Fall taken during the start of the 2nd year
  o Graduate Board Oral Exam (GBO) – University exam with a pass/conditional pass/fall taken at the start of the 3rd year, and no later than the spring semester of the 3rd year.
  o Thesis Defense – departmental exam focused on the student’s dissertation with a pass/fail

7.8 **OFFICE OF INTERNATIONAL SERVICES (OIS)**

*The Office of International Services* (OIS) assists international students, scholars, researchers, clinicians, staff and faculty with visas and immigration. We also support the administrators who assist them.
8 INFORMATION TECHNOLOGY (IT) AND COMPUTING

Our IT group provides an array of services to our faculty and staff. They can provide assistance with email, mailing lists, printers, and computing needs. Please see their website for additional information.

8.1 ADDING CONTENT TO THE DEPARTMENT’S WEBSITE, SOCIAL MEDIA SITES, OR ANNUAL NEWSLETTER

If you would like to add any information to the department’s webpage, including your directory page, or a news item for the homepage, please email Jon Schroeder with the information at Jon.Schroeder@jhu.edu. The department also has a Facebook, Twitter, and LinkedIn Group that Jon can add content to. Lastly, contact Jon if you would like to add a news item to the department’s annual newsletter that is sent to department alumni. You can see previous departmental newsletters here.

8.2 CREATING A GROUP OR LAB WEBSITE

If you would like a group or lab website that matches the look and feel of the department’s website, please contact Jon.Schroeder@jhu.edu for assistance setting up the site. After set up, you will be able to access the backend of the site to make edits using your JHED ID. Here is an example of a group website, that of Francesca Serra’s group.

8.3 CREATING A PERSONAL WEBSITE

If you would like a personal website that matches the look and feel of the department’s website, please contact Jon.Schroeder@jhu.edu for assistance setting up the site. After set up, you will be able to access the backend of the site to make edits using your JHED ID. Here is an example of a personal website, that of Jared Kaplan.

8.4 CREATING A CONFERENCE OR WORKSHOP WEBSITE

If you would like a conference or workshop website that matches the look and feel of the department’s website, please contact Jon.Schroeder@jhu.edu for assistance setting up the site. After set up, you will be able to access the backend of the site to make edits using your JHED ID. Here is an example of a workshop website, that of the Intensity Mapping Workshop.

8.5 AVAILABLE AUDIO/VIDEO EQUIPMENT

The department has a collection of video equipment that is available to members of the department for their video capturing needs. The department has a Panopto kit, which includes a Panopto-ready laptop, a webcam, a video grabber (for capturing PowerPoint presentations), and a wireless microphone.

For more information about Panopto, click here.

In addition, the department also possesses a Canon DSLR camera for capturing still images and videos that can be edited outside of the Panopto environment.

If you would like to borrow any of the video equipment, please fill out the following web form: http://goo.gl/forms/DkdN1xniD9

A quick reference guide about creating a Panopto account and operating the Panopto equipment can be found here.
8.6 **Poster Printing (Plotter)**

The Department has a 42” wide poster printer. **For Scientific and Research Posters there will be no charge.** For personal prints the price is $50.

If you would like a poster printed, you can e-mail pha-plotter@lists.johnshopkins.edu a PDF or a PPT of your poster. You should include the size you want it printed and if you want me to do any re-sizing. I am able to adjust the margins/boarders larger and even to eliminate them if you want printing to be right up to the edge of the poster. The poster printer has a vertical trimmer, which means that if both sides of the poster are smaller than 42” it will trim it to size.

If the size you request is super huge, I will confirm with you that is what you want. A 42” X 60” poster might be okay for a landscape poster, but a portrait orientation poster is going to be huge. You should confirm that the poster size specs you receive are for the correct orientation. Currently the paper we have is HP Premium Glossy Photo paper. We may have a matte option in the future (let me know if this is something you would want us to have).

Please double check that your poster is correct. Please try to avoid “My advisor looked at it and wants to make some changes…”

There is the possibility for quick turnaround time on poster printing during working hours (M-F 9-3p.) **However for guaranteed poster printing you should give us 24 hours,** especially if you know that many of your colleagues will be printing posters for an upcoming conference. **If you know that you are going to try and do a last minute rush print,** you should email me at least a day in advance and let me know that you are hoping to have a poster printed quickly and when you expect to have it ready. That way I can make sure we are ready, or to let you know that it is not possible. No poster printing will be done outside of normal working hours.

Completed posters can be picked up in the mailroom once you have received an e-mail from me telling you they are done.

8.7 **Zoom Videoconferencing**

The department has a shared Zoom account that can be reserved via KRESCAL: [http://krescal.jhu.edu/PHA](http://krescal.jhu.edu/PHA)

The login info is phazoom@jhu.edu
Password: Astro19

You can login to zoom here: [https://jh.zoom.us/](https://jh.zoom.us/)
How to schedule a meeting: [https://support.zoom.us/hc/en-us/articles/201362413-How-Do-I-Schedule-Meetings](https://support.zoom.us/hc/en-us/articles/201362413-How-Do-I-Schedule-Meetings)

**Alternately**
If you want your own Zoom account assigned to your JHED, you can purchase one for $8 a month via the [mySoftware store](https://mysoftware.jhu.edu).
9 **FileMaker Pro**
10 MEDIA RELATIONS

10.1 MEDIA RELATIONS REPRESENTATIVE
Have a newsworthy item about your research? Contact media relations representative Chanapa Tanibanchachai to spread the word.