



## RESEARCH ADMINISTRATION

Welcome to Research Administration. Reporting to the Associate Dean for Administration, we support the Dean and GSD faculty by providing a wide range of sponsored research services for all externally funded grant and contract proposals. All research proposals require review and sign-off by the Associate Dean for Administration (who is the final approver on behalf of the Dean for all research proposals at the GSD. If you have any questions, please contact [Anne Mathew](#).

### OVERVIEW OF RESEARCH FUNDING AT HARVARD

All research funded by outside agencies is subject to the review and approval of the GSD and the University. Research projects can be externally funded by a foundation, corporation, government agency or an individual donor (domestic or foreign). Funding for research is received via one of two funding categories - as **sponsored grant/contract awards** (sponsored research) or as **gift funds** (research supported by a gift). The correct classification of each research fund is important in ensuring appropriate accounting and compliance. Usually the determination of whether funding received is a gift or a sponsored grant is relatively straightforward, while in other cases, the determination may be more difficult. Questions regarding the categorization of a sponsored grant vs. a gift, are resolved in consultation with the Office for Sponsored Programs (OSP) and the Recording Secretary's Office (RSO). University policy on distinguishing sponsored awards vs. gifts may be found at: <https://osp.finance.harvard.edu/gift-vs-sponsored-research-policy>

**It is important to note that faculty may not accept sponsored grants, contracts or gifts on behalf of the GSD or Harvard University. The GSD is not a legally incorporated entity and only OSP and the RSO can commit the GSD to the terms and conditions of a grant, contract or a gift.**

### SPONSORED RESEARCH AWARDS

Sponsored research proposals are normally funded by either a **grant, contract or a cooperative agreement**. At the GSD, proposals for sponsored research must first go through the Dean's Approval Process which refers to the internal GSD review process before they can be submitted to OSP. This includes full proposal review by our office, then by the Sponsored Research Advisory Committee, followed by a final review and sign-off by the Associate Dean for Administration (who is the final approver on behalf of the Dean for all research proposals).

The Dean has established the **Sponsored Research Advisory Committee (SRAC)** to provide reviews of sponsored research proposals by a group of designated faculty members and senior staff, working in conjunction with the Faculty Director of Research, the Associate Dean for Administration and the Assistant Dean for Research Administration. All sponsored research proposals must be reviewed by this committee in advance of any actual or implied commitments by either the sponsor or GSD. SRAC's objective is to provide advance review of proposals and projects to minimize risks, such as conflicts of interest, to the faculty member involved in the proposal, to the School and to the University. The Committee seeks to meet this objective by providing oversight in ways that do not conflict with the University's fundamental principles of academic freedom. SRAC recommendations are advisory to the Dean and ultimately, it is the Dean who decides whether a sponsored research proposal receives GSD



approval before it can be submitted to the sponsor. Current committee members include: Eve Blau (co-Chair), Jackie Piracini (co-Chair), Diane Davis, Niall Kirkwood, Erika Naginski, Mark Goble, Ann Whiteside and Anne Mathew (ex-officio). Early contact with the GSD's Assistant Dean for Research Administration, Anne Mathew ([amathew@gsd.harvard.edu](mailto:amathew@gsd.harvard.edu)) can help facilitate and expedite this process. Our office will work closely with faculty to develop, review, finalize and facilitate the required internal GSD and university-level approvals for sponsored research awards including but not limited to: budget development/approval, SRAC review, Provostial review/approval if necessary and the final Dean level review and approval. We also work with OSP to begin the University-level review as early as possible, prior to OSP receiving the final proposal from our office. Any issues arising during the pre- or post-award period are resolved with guidance from the Associate Dean for Administration.

OSP is the University's central administrative office responsible for sponsored research projects throughout Harvard and serves as the liaison between the University's research community and external sponsors. OSP is the only Authorized Institutional Signatory who can submit sponsored research proposals, negotiate and accept grants/contracts and sign legal documents with sponsors on behalf of all schools in the University and it does so on behalf of the President and Fellows of Harvard College (Harvard's legal name).

### **GIFT FUNDS FOR RESEARCH**

Research proposals supported by a gift (funds that donors give to the GSD with few or no conditions) are managed by the [GSD's Development and Alumni Relations](#). **Faculty should not approach donors for funding without first connecting with the GSD's Associate Dean for Development and Alumni Relations.** All research proposals funded by "gift funds" first need review and approval by the Development Office and then the SRAC. OSP is not involved with gift funds. The Associate Dean for Administration must be consulted regarding outside awards for sponsored studios, which may not require the involvement of OSP.

### **PROPOSAL PREPARATION**

When a faculty principal investigator (PI) identifies a funding opportunity that matches his/her research interest, they should contact the Research Administration office right away. Our office will work with the PI to discuss a proposal submission timeline, help finalize the proposal, develop a robust budget, and facilitate the necessary Dean's Approval Process (i.e., internal review) and the university-level review process as needed. Once all GSD internal and university-level review/approvals are in place, we will submit the full proposal to OSP at least **5 full business days** (per OSP's strict policy) before the sponsor's due date, using GMAS (Grants Management Application Suite) – the online grants management system used to manage all sponsored programs at Harvard.

So that proposal submission is not delayed, it is important that a complete proposal be submitted to Research Administration in a timely manner. This should include a detailed statement of work/research plan together with a draft budget and any supporting documents.



Below is a partial list of questions for the PI to consider when preparing a proposal submission:

- Is this a sponsored research proposal? Have there been any conversations or agreements between the faculty and the Sponsor? What is the due date for the Sponsor to receive the proposal? Is there an RFP (Request for Proposal) or PA (Program Announcement) for this proposal?
- Is this a new sponsor for the University and if so has the [New Sponsor Approval](#) form been completed by the PI?
- Can GSD and OSP proposal submission deadlines for this proposal realistically be met?
- Is the Department Chair informed about the proposal? Has the Department Chair provided approval if there is a course/studio/seminar component in the proposal?
- Is the Principal Investigator clearly identified? Is there a co-PI? What percentage effort will each contribute towards the project? What, if any, is the appointment end date for the PI & co-PI?
- Does the proposal include a publication / exhibition / conference component? If yes, coordination with the [GSD's Communications Office](#) is necessary.
- Have you factored in time for review by the GSD's Sponsored Research Advisory Committee?
- Has a budget (even in draft form) been prepared? If not, our office can help with this. Are appropriate fringe benefit rates included in the budget? Does the proposal budget accurately reflect Overhead Costs (also referred to as Indirect Costs or Facilities & Administrative Costs/F&A)?
- \*Does this sponsor require cost sharing? If yes, what is the source of funds for that?
- Is the PI and co-PI's Participation Agreement form and Conflict of Interest form current and on file?
- \*Does the proposal involve other schools or institutions, and if so, in what form?
- \*Do you anticipate any intellectual property issues?
- \*Does the proposed research use human subjects? If yes, the proposal may require approval by Harvard's [Committee on the Use of Human Subjects in Research \(CUHS\)](#), which serves us, the University's Institutional Review Board (IRB).
- \*Will your project need the [Provost's Review](#)? Click to see criteria.
- Is this a Limited Submission Opportunity (LSO) proposal? If yes, approval is needed from the Office of the Vice Provost for Research (which can be coordinated by our office).

***\*The PI should be aware that these issues may add to the proposal review time.***



## **GSD AND OSP PROPOSAL SUBMISSION DEADLINES**

*Each proposal needs to be at the GSD Research Administration office at least 1 month before the sponsor's due date for internal review and approvals.*

Contact [Anne Mathew](#) as soon as you are aware that you will be submitting a proposal. For all sponsored research proposal submissions, whether to a federal or non-federal sponsor, the complete and final proposal must be submitted to our office at least **1 month in advance of the sponsor's due date** in order to secure the required GSD internal (SRAC, Finance, and Dean level) and university-level review and approvals.

*Each final proposal needs to be at the Office for Sponsored Programs (OSP) at least 5 full working days before the sponsor's due date.*

For all sponsored research proposal submissions, whether to a federal or a non-federal sponsor, OSP must receive the complete and final proposal which has been approved by the GSD at least **5 full working days** in advance of the sponsor's due date. Our office will submit the final proposal to OSP via GMAS (Grants Management Application Suite) once the internal GSD review/approval process has been completed.

The sponsor's due date is defined as the date and time after which the sponsor will no longer accept proposals. For all non-federal proposals where the sponsor does not indicate a firm, fixed submission deadline, our office will consult with the PI to determine the most realistic "effective" deadline.

**Note that if internal GSD and Harvard deadlines are not met and OSP does not have sufficient time for a thorough review, the proposal may not be submitted.**

## **NOTICE OF AWARD**

A notice of grant award is a notification from a sponsor indicating that a proposal has been funded. When the notice of grant award and related terms and conditions are accepted by the University and an Agreement has been signed by both OSP and the sponsoring agency, OSP sets up an account activating the award in GMAS. Once the account is set up, an Action Memo is generated and all account information sent to the General Ledger (GL). An Action Memo is the official communication regarding a sponsored award notice accepted by the University. The PI along with School-based contacts receives an Action Memo, which details the PI's name, sponsor name, project dates, award number, obligated and anticipated dollar amounts, and the billing code. The billing code will be used by the PI for posting charges related to the project.

## **POST-AWARD FINANCIAL MANAGEMENT OF AWARD**

Once an Action Memo has been generated, the post-award financial management will begin with support and oversight provided by the Academic Business Office/ABO (7 Sumner, Room 103) and the Finance Office (7 Sumner, Room 202). ABO supports faculty PIs in managing daily expenditures, processing invoices, hiring students/temps, reviewing expenses and ensuring they are expended in accordance with the approved budget and the sponsor guidelines. The Finance Office will make salary adjustments so that faculty & staff do not exceed 1.0 FTE for all activities combined, effort reporting, salary certification,



cost-sharing monitoring/oversight, re-budgeting if needed, in addition to working with OSP on financial reports and award closeout tasks.

During the life of a grant award, sometimes it may become necessary to modify certain aspects of the original award such as adjusting the length of a project period (a no-cost extension) or request for supplemental funding. In such instances, Research Administration will work with the PI to make these requests to the sponsor via OSP.

## **SOURCES OF FUNDING**

The [OSP website](#) provides information and access to a wide range of funding opportunities for Harvard's researchers from the US federal government, foundations, other governments, multilateral and non-profit institutions, as well as from corporations. Additional funding opportunities and access to funding databases can also be found at Harvard's Faculty of Arts & Sciences, Research Administration Services website: <http://research.fas.harvard.edu/funding-databases>

## **FAQS**

### **What is GMAS?**

GMAS is Harvard's enterprise-wide web-based grants management system used to manage sponsored research projects. It serves to connect those involved in and responsible for sponsored research administration and provides participants with critical project-related information. Faculty, grant managers, school and central administrators are supported with access to one system that brings together the work performed during the life of a sponsored award.

### **What is a Participation Agreement?**

Harvard University requires anyone doing research (sponsored or otherwise) to electronically sign a Participation Agreement (PA) form in order to ensure that research done at Harvard is compliant with federal laws and Harvard's research policies, especially relating to intellectual property created by using Harvard labs, resources and funding. **No sponsored research proposal can be submitted to OSP without a Participation Agreement on file.** Individuals who perform research at Harvard and/or who may create intellectual property through the use of Harvard resources are subject to certain University policies and, in some cases, to the terms of agreements between Harvard and third parties (e.g., other institutions, organizations, or companies). Among these policies is the University's "Statement of Policy in Regard to Intellectual Property" (or "IP Policy"), which governs patentable inventions, copyrightable works and tangible materials made through the use of funds, facilities or other resources provided by or through Harvard. Signing the PA form acknowledges the already existing Intellectual Policy at Harvard. To access the Harvard University Participation Agreement for signature, follow this link:

<https://gmas.harvard.edu/gmas/paStandalone>

The IP Policy can be found at: <http://otd.harvard.edu/faculty-inventors/resources/policies-and-procedures/statement-of-policy-in-regard-to-intellectual-property/>



### **What is Conflict of Interest (COI)?**

Harvard University requires all faculty members to annually report to the University on potential financial conflicts of interest. At the research proposal stage PIs are required to certify that disclosure forms are on file for themselves, and where appropriate for other project personnel, and that the information is still accurate for the proposal under submission. No sponsored research proposal can be submitted to OSP or, in the case of research to be covered by an industry-sponsored agreement, to the Office of Technology Development, unless each faculty member participating in the research project, and - in the case of proposals for PHS (Public Health Services) funding – any investigator, has certified to having filed an accurate and up-to-date annual financial conflict of interest (fCOI) disclosure. The OSP will not submit such a proposal and the OTD will not sign such an agreement without fCOI certifications.

Please visit the Office of the Vice Provost for Research's website to read more about the [University's Conflict of Interest Policy](#). Our school's policy, adopted to conform to the University policy, is described at the following website: [http://vpr.harvard.edu/files/ovpr-test/files/gsd\\_implementation\\_plan.pdf](http://vpr.harvard.edu/files/ovpr-test/files/gsd_implementation_plan.pdf). After reviewing the GSD policy, please complete on-line the Annual Disclosure Form, posted at <http://fcoi.harvard.edu/>.

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