GSD RESEARCH ADMINISTRATION OFFICE

Welcome to GSD Research Administration. The GSD is committed to advancing faculty research. We support the Dean and GSD faculty by providing a wide range of research services.

Research Administration oversees proposal submission activities for both externally sponsored and University and GSD internal awards. Our office will assist all faculty applying for Harvard University internal grants that support design research. Research Administration administers three internal awards to support junior faculty research: the *Dean's Research Grant Program* for full-time and part-time junior faculty, the *Design Innovation Grant*, and the *Annual Faculty Research and Professional Development Fund* for full-time junior faculty.

Research Administration oversees the annual financial conflict of interest reporting to the University for the GSD and works in accordance with the faculty to administer compliance requirements each year.

Below you will find an overview of research funding at Harvard, information about sponsored research awards and gift funds for research, sources of funding, proposal preparation, GSD and OSP submission deadlines, notice of award and post-award financial management, financial conflict of interest, participation agreements, and GMAS. If you have any questions, please contact Anne Mathew, Assistant Dean for Research Administration.

OVERVIEW OF RESEARCH FUNDING AT HARVARD

All research funded by outside agencies is subject to the GSD and the University's review and approval. 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 - **sponsored grant/contract awards** (sponsored research) or **gift funds** (research supported by a gift). The correct classification of each research fund is essential 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 categorizing a sponsored grant vs. a gift are resolved in consultation with the Office for Sponsored Programs (OSP) and the Alumni & Development Services (ADS) Office. University guidelines 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 ADS CAN COMMIT THE GSD TO THE TERMS AND CONDITIONS OF A GRANT, CONTRACT, OR A GIFT.

SPONSORED RESEARCH AWARDS

Sponsored research proposals are typically funded by either **a grant, contract, or a cooperative agreement.** At the GSD, sponsored research proposals 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 our office's full proposal review, then by the Sponsored Research Advisory Committee, followed by a final review and sign-off by the Executive Dean (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 review sponsored research proposals by a group of designated faculty members and senior staff. This committee must review all sponsored research proposals in advance of any actual or implied commitments by either the sponsor or GSD. SRAC's objective is to provide an 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 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, the Dean decides whether a sponsored research proposal receives GSD approval before it can be submitted to the sponsor. Current committee members include Anita Berrizbeitia, Eve Blau, Diane Davis, Maureen Jean, Ali Malkawi, Anne Mathew, Ann Whiteside, and Ron Witte. Early contact with the GSD's Assistant Dean for Research Administration, Anne Mathew, 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. This includes, but is not limited to, budget development/approval, SRAC review, dean level review/approval, and Provostial review/approval if necessary. 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.

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. It does so on behalf of the President and Fellows of Harvard College (Harvard's legal name).

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.

Pivot is a database, which Harvard subscribes to, containing funding opportunities for all disciplines and project types. You will need to use your Harvard GSD email address to access. Pivot is a searchable database of federal and private funding opportunities, in all fields, including grants, awards, prizes, fellowships, and support for travel, conferences, and equipment acquisition. It contains information about government, philanthropic, industry, and international funding opportunities from across disciplines. Funding sponsors will probably not describe what they want to fund in the same way you describe what

you are trying to fund. With this in mind, search individual concepts of your research or project separately.

[Foundation Directory Online](#) (FDO) is a searchable database of over 140,000 grantmakers that contains a wealth of information on foundations and the program areas they support.

Within the GSD, Research Administration administers three internal awards to support junior faculty research: the *Dean's Research Grant Program* for full-time and part-time junior faculty, the *Design Innovation Grant*, and the *Annual Faculty Research and Professional Development Fund* for full-time junior faculty. Detailed information is shared by email to eligible faculty each year.

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 Office](#). **Faculty should not approach donors for funding without first connecting with the 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 (facilitated by Research Administration). OSP is not involved with gift funds. The Executive Dean must be consulted regarding outside donations for option 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 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 for university-level review/approval. We use GMAS (Grants Management Application Suite) – the online grants management system to manage all sponsored programs at Harvard.

So that proposal submission is not delayed, a complete proposal must 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 PI and the Sponsor? What is the due date for the Sponsor to receive the proposal? Is there an RFP (Request for Proposals) or Program Announcement for this proposal? Can GSD and OSP proposal submission deadlines for this proposal realistically be met?

- Have you factored in time for review by the GSD's Sponsored Research Advisory Committee and the University's Office for Sponsored Programs?

- Is the PI 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 book publication/exhibition/conference component? If yes, coordination with the GSD's Communications Office is required, which Research Administration can help facilitate.

- Will there be any international collaborations or activities? Is the funder an international entity? Is this a new funder for the University?

- Has a budget (even in a draft form) been prepared? Does the proposal budget accurately reflect Indirect Costs (also referred to as Overhead or Facilities & Administrative Costs/F&A)?

- *If your proposal includes a studio/seminar/project-based class, please work with your department manager to obtain a course support budget and submit it to Research Administration, to be included in the main budget. Is the Department Chair informed about the proposal?

- If you plan to request supplemental summer salary in the budget, it will need the dean's approval, which Research Administration will help facilitate.

- *Does this sponsor require cost sharing or matching funds? If yes, what is your source of funding for the cost share?

- Is the PI's (and any co-PI's) Participation Agreement form and OAIR form current and on file?

- *Does the proposal involve other schools or institutions, and if so, in what form?

- *Are there 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), the University's Institutional Review Board (IRB).

- *Will the project need the Provost's Review?

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

GSD AND OSP PROPOSAL SUBMISSION DEADLINE

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** 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.

IRB

When preparing a proposal, PIs must determine if the project will need to be reviewed by Harvard's IRB (Institutional Review Board). Please visit Harvard's IRB website: https://cuhs.harvard.edu/, at the bottom of the page, there is an IRB Lifecycle Guide to help navigate the whole process. The PI will need to determine if the project meets their regulatory definitions of research and human subjects. There is a helpful guide to review the definitions and make the determination if IRB review is required: https://cuhs.harvard.edu/do-you-need-irb-review-and-why.

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.

NOTICE OF AWARD

A notice of a 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 is 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 PI will use the billing code 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 monitoring provided by the Academic Programs Business Office. They support 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 and staff do not exceed 1.0 FTE for all activities combined, conduct effort reporting, cost-sharing monitoring/oversight, in addition to working with Research Administration on financial reports and award closeout tasks. The Research Administration Office provides overall financial oversight for grants.

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.

Financial Conflict of Interest

Harvard University requires all faculty members to report to the University on potential financial conflicts of interest annually. 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, 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, can be found: [https://l87r32c95dp1hz05tig4px11-wpengine.netdna-ssl.com/wp-content/uploads/2016/06/gsd-implementation-plan-COI.pdf](#). After reviewing the GSD policy, please complete online the Annual Disclosure Form at [http://oair.harvard.edu/](#).

Faculty are required to complete an Annual Disclosure Form in the Outside Activity & Interest Reporting system. Research Administration will contact faculty in the spring of each year to complete the disclosure in Harvard's [OAIR system](#).

Participation Agreement

Harvard University requires anyone doing research (sponsored or otherwise) to electronically sign a Participation Agreement (PA) form 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 https://otd.harvard.edu/faculty-inventors/resources/policies-and-procedures/statement-of-policy-in-regard-to-intellectual-property/

Harvard's research policies cover all individuals who perform work under the University's auspices, including visitors. Thus, in addition to the Participation Agreement, there are several forms of Visitor Participation Agreements. For information on who should sign which form, visit: https://research.harvard.edu/files/2022/08/Revised-PA-and_VPA_guidance-7-18-2022-clean.docx. All PIs, and where appropriate all other project personnel, have to complete either a Participation Agreement Form or a Visitor Participation Agreement Form.

GSD Research Administration Contact Information

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