



Business Process – Late Proposal Notification Policy
(formerly known as *Proposal Submission Deadline Policy* or *Exception Request Policy*)

Purpose: Establish a policy and process that assures proposals are submitted for review in sufficient time to ensure high quality applications that adhere to sponsor, school and university policies.

Standards of Service: The following deadlines must be adhered to.

10 BUSINESS DAYS prior to Sponsor due date, by 10 am EST:

- **Due to Department:** *Draft* of application, including subcontract materials if applicable, is due from PI to department

7 BUSINESS DAYS prior to Sponsor due date, by 10 am EST:

- **Due to SPA:** *Final* application (when Harvard is Prime) is due from department to SRA.
Note: On rare occasions the PI may choose to continue editing the science past the 7-day deadline but please be aware some modifications to science can trigger Provost review or impact the administrative components of a proposal requiring additional SPA review. If a PI chooses to revise the science after the deadline, we cannot guarantee submission will occur by the deadline.

- **Due to Department:** *Draft* RPPRs (Continuations & Finals), Subaward proposals (when Harvard is not Prime), and Supplements are due from the PI to department

5 BUSINESS DAYS prior to Sponsor Due date by 10 am EST:

- **Due to SPA:** *Final* RPPRs (Continuations & Finals), Subaward proposals, and Supplements are sent from department to SRA
- **Due to Provost:** Proposals including Internal proposals) meeting Provost Criteria are sent to the Office of the Provost by SPA. The Provost Criteria can be found at this [link](#)

Note that all proposals will receive expedited review when submitted past the deadlines outlined above. SPA will be unable to provide our full standard level of review and scrutiny for the components of the submission.

Roles and Responsibilities:

Step	Role	Task/Responsibility
1	PI	Submits draft to GM/ADF by the appropriate deadline as outlined above
2	GM	Reviews draft documents provided by PI and work with PI to update documents as needed to finalize for submission. If deadline is missed, submit 10 day late proposal notification
3	ADF	May review finalized documents from GM and work with GM on any needed revisions
4	GM	Makes any revisions necessary and submits final documents to SRA by the appropriate deadline as outlined above , if deadline is missed, submits 7 or 5 day late proposal notification
5	SRA	Reviews application consulting with AD as needed and provides feedback to GM, if necessary
6	GM	Makes any changes requested by SRA, working with PI as necessary. Returns final revised documents back to SRA for submission
7	SRA	If applicable, prepares proposal to be submitted by Senior AD to Provost by deadline, and awaits approval. When ready, alerts GM to lock and route for signatures in GMAS
8	GM	Alerts SRA that all signatures have been obtained.
9	SRA	Submits to AD for final review, signature and submission where necessary or when submission is not required by AD, alerts GM when submission is institutionally approved
10	GM	If submission is a Subaward Proposal, GM submits final documents to sponsor once SRA notifies GM that all is approved, copying SRA on email of documents to Sponsor and uploading email to GMAS

Late Proposal Notification Form Job Aid



Late Proposal Notification Form

To effectively manage the review and submission process on behalf of our faculty, the following Chan School policy must be adhered to:

-10 business days out from Sponsor Due Date, by 10am EST: Draft of application (including sub materials) is due from PI to GM.

-7 business days out from Sponsor Due Date, by 10am EST: Final Application is due from GM/ADF to SRA. RPPRs and Subaward applications are due from PI to GM.

-5 business days out from Sponsor Due Date, by 10am EST: Final versions of RPPRs and Subaward applications are due from GM/ADF to SRA.

Please be sure to plan your grant submissions to meet all deadlines. This policy is designed to ensure optimal customer service for PIs and smooth, error-free proposal submission while providing the SPA office and the Provost's office with adequate time to identify, assess and mitigate compliance risks for the PI and the School.

- Missed Deadline: * Provost Approval Required: * [Click here for full list of Provost Criteria](#)
- 10 Day
 - 7 Day
 - 5 Day
 - Yes
 - No

Requester E-mail *

ex: myname@example.com

PI Last Name

PI First Name

Department/ Center

GMAS Project ID *

Example: 123456-01. Do not include preceding 0s

Grant Due Date

mm-dd-yyyy

Date SPA will Receive Proposal

mm-dd-yyyy

SRA Name

Reason for Missed Deadline

Attachments (supporting e-mail, RFA notice, etc.)

Select File

Submit

The form has been updated to reflect the updated policy.

To enter multiple emails as requestor, separate each email with a comma.

Notifications should be sent when the PI deadlines to the GM are missed.

Requestor will need to edit the form when the "Date SPA will Receive Proposal" changes.

The approval step has been removed. The email address(es) entered in the Requestor E-mail section will receive an email with an editable version of the form. This email can also be shared with others as confirmation that the notification was submitted. SPA will contact the Department if any further action is needed regarding the missed deadline.

SPA Review of Late Proposals (Expedited Review)

Purpose: To explain the Expedited Review process utilized on proposals received after the 7 day deadline. SPA is unable to conduct full review of late proposals. On time submissions will be prioritized for review. Late proposals will be reviewed based on SRA capacity.

GMAS Signature Clarification: Before signing the proposal in GMAS, it is the responsibility of both the PI and Department to review the sponsor requirements, applicable Harvard policies, the GMAS record, and the proposal documents. Once signed in GMAS, this authorizes SPA to submit the proposal as it appears in GMAS at the time the request is routed for signature.

SPA will provide good faith effort in the review of late proposals with a focus on:

- Sponsor guidelines (and Prime Sponsor, if applicable)*
- Provost Criteria**
- Budget and budget justification
- Sponsor systems (for example workspace, ASSIST, Fastlane, etc.)
- Harvard policies (for example F&A/IDC rate, Effort level, etc.)
- GMAS approvals (for example FCOI, Participation Agreements, etc.)
- Authorization from external collaborators (for example SOIs, Consultant letter(s), etc.)

Considerations: Open lines of communication between the PI, the Department and SPA are expected and encouraged in order to increase the successful submission of late proposals.

**Please inform your SRA of unusual sponsor terms and deadline requirements*

***Late Proposals are not exempt from the 5-day Provost Office deadline. Please inform your SRA as early as possible if the proposal meets any Provost Criteria.*