

Resource: A Guideline for SPA's Communication with PIs

Purpose

The purpose of this document is to establish a standard of business for SPA communications to PIs during certain key phases of the sponsored award lifecycle: proposal; award receipt; negotiation; award setup; and the issuance of subawards. This document also sets expectations of the GM's role in these communications.*

PIs should expect to receive the following communications from SPA**:

When	Content
Proposals -receipt -review -submission	<ul style="list-style-type: none"> • SRAs will confirm receipt of submission that is ready for review <i>unless PI is copied on initial email from the GM</i> <ul style="list-style-type: none"> ○ GMs will share pertinent review comments with PI for clarification, input, and decision making for final proposal • SRAs will notify PI when proposal has been submitted by SPA to sponsor (or when proposal is ready to submit when SPA does not submit directly) <ul style="list-style-type: none"> ○ In cases when SPA does not submit directly, GMs will copy SRA on submission, or forward a copy of submission (when submitted via email) or forward the SRA a copy of the final version of the proposal and any submission confirmation, if received (when electronic submissions) for record keeping purposes in GMAS
Award Receipt	<ul style="list-style-type: none"> • GMAS Operations will notify the PI via the Notice of Award (NoA)/R&A Review & Approval (R&A) email when an award is received in SPA <ul style="list-style-type: none"> ○ If the award is received directly by the PI or GM, the GM will forward to nga@hsph.harvard.edu, copying the SRA, with the PI name and GMAS Project # added to the subject line, so that it can be logged in GMAS and an R&A email can be sent
Award Negotiation	<ul style="list-style-type: none"> • AD will: <ul style="list-style-type: none"> ○ communicate consequential negotiation points with PI, ○ obtain information and input from PIs as appropriate, ○ communicate negotiation status updates to PI on a regular basis, ○ and confirm with PI when award has been finalized and signed
Award setup	<ul style="list-style-type: none"> • A GMAS action memo sent via email will confirm when the account is setup <ul style="list-style-type: none"> ○ GM will complete the items listed in the Award Setup Checklist for Departments (attached as Exhibit A) ○ GM will communicate any issues and/or delays with PI & SRA
Subawards	<ul style="list-style-type: none"> • SOPC will copy PI when issuing initial subaward and, if negotiation is required, will use the communication guidelines bulleted under Award Negotiation

**Please reference the Glossary of Abbreviations below to differentiate between RAST and Department GMs in the above expectations. The expectations of GMs is dependent on receiving requested follow-up communications from PIs when additional information is required to facilitate any of the award lifecycle phases.*

***Additional communication from SPA to PIs may occur as needed.
GMs will continuously communicate with PIs as needed.**

Glossary of Abbreviations:

- AD = Associate or Assistant Director in SPA
- **GM = RAST or Department Grants Manager
 - RAST
 - Pre-award program with permanently assigned RAST member for some departments
 - Post-award, non-permanent, assignments on an as needed basis
 - Department Grants Manager
 - Pre-award for departments not participating in pre-award program
 - Post-award unless RAST is temporarily assigned to assist department
- PI = Principal Investigator
- SOPC = Subawards Out Primary Contact
- SPA = Sponsored Programs Administration
- SRA = Sponsored Research Administrator

Resources:

- Contact information for SPA representatives can be found [here](#)
- For subaward questions, please email hsphsubs@hsph.harvard.edu

Appendix:

- Exhibit A: Award Setup Checklist for Departments

EXHIBIT A

Award Setup Checklist for Departments

This Checklist does not have to be returned to SPA; **Information identified in green should be provided to your SRA.**

PURPOSE: Checklist is for GMs, ADFs, and PIs to use as a tool when a notice of award or agreement is received.

Please make sure all items below are complete so that SPA can set up your award in GMAS.

REVIEW SPONSOR NOTICE (*Link provided below*):

- Read the attached sponsor notice, which is also available in the "Pending notices" section of GMAS.
- GM/ADF/PI should discuss the terms, conditions and timelines for financial/technical reports and deliverables. Department can schedule technical/progress reports and set email reminders in GMAS to decrease the chance of a late report; [see "Non-Financial Report Scheduler in GMAS"](#).
- Notify SRA** if department has any concerns about the terms of the award.

CONFIRM RESEARCH TEAM

- On the Segment Homepage, click on the blue "Actions" button and confirm the research team by clicking on "Confirm Research Team" option.
Send an email to your SRA If option is not available, (e.g., in a continuation year) and state that the research team has been updated and confirmed, or state "no updates are needed to the research team."
Reminder: If you add anyone new to the research team, you must update Approvals and approval comments, as necessary.

REVIEW PENDING GMAS APPROVALS

Go to the GMAS Segment homepage, click Approvals, and review the following:

Participation Agreements (PA) (*Links provided below*):

- [Harvard Personnel \(except for Admin Staff\)](#)--Approval Status "Pending": Instruct person to e-sign the PA.
- [Harvard Visiting Appointments](#)--Approval Status "Pending": Instruct person to complete the visitor PA, save a copy in the GMAS Person Profile, and on Segment home-page Approvals, insert comment: "PA uploaded in Person Profile."
- Non-Harvard Personnel--SRA will review and notify you if anything is needed.

Financial Conflict of Interest (fCOI) (*Link provided below*):

- [Harvard Investigator](#)--Approval Status "No Disclosure" OR the date listed under the effective date is not within the current calendar year: Instruct person to complete a fCOI disclosure.
- Non-Harvard Investigator (NHI)--GM will review pending fCOI(s) and ensure that NHI(s) have completed fCOI disclosures as appropriate to comply with fCOI Business Process.

Biohazards/rDNA

- Approval Status "Needed" OR the approval has expired: Notify HSPH's Biosafety Officer of the pending approval (biosafety@harvard.edu). The Biosafety Officer will review and complete the approval.

IRB and/or IACUC

- Approval Status "Needed" OR the approval has expired: Notify the PI/lab to contact the IACUC or IRB office for further guidance. After this project has IACUC and/or IRB approval(s), upload a copy(ies) of the approval(s) in the Segment homepage Approval(s) and **notifv SRA** to edit the status.

MISCELLANEOUS

- Inform SRA** if data will be exchanged under this project and who is sharing data with whom (*e.g., Harvard Chan sending data to sub BWH*).
- Inform SRA** if outgoing Billing Agreement(s)(BA) will be issued. Dept. drafts BA and SPA reviews & signs.

COMPLETE AWARD ALLOCATION CHART (worksheet)

Email to SRA "Award Allocation Chart" (or your format) and additional info below, as applicable, for account setup.

- "Allocation Breakdown" for Main (DC/IDC), Part-of Accounts (DC/IDC), and Subawards (TC/HUIDC)
- Detailed "Subaward Budgets," including current SUB F&A rate and SUB SOW for new awards
For the out years on continuation awards, in addition to the budget, provide SUB SOW only if the SOW has changed or state "no change to the SOW" in your **email to SRA**.
- For subs with advanced Payment or fixed price, provide payment schedule/info in your **email to SRA**.
- "New Part-of Chart" for new part-of subactivities and "Additional Columns for Root Setup."