Best Practice: Sponsored Programs Administration Standards of Communication for Proposal/Application Submissions

Originally issued: 1/11/2024
Last revised: TBD

Table of Contents

Purpose

To ensure that communication between the various stakeholders regarding proposal submission is clear and concise and to ensure submission is documented in Harvard's Grant Management Application Suite (GMAS) appropriately.

Roles Impacted/Referenced

- Associate/Assistant Director (AD)
- Sponsored Research Manager (SRM)
- Proposal Preparer - a Pre-award Grant Manager, or RAST
- Principal Investigator (PI)

- Authorized Organizational Representative (AOR) – person authorized to submit on behalf of the University, ADs and SRMs for some activities

General Principles

Proposal Preparer shall communicate the official deadline (including time/time zone) if the submission deadline is before other than 5pm EST on the due date, and the submission method in the GMAS shell. For non-NIH standard submissions, (e.g. contracts, international sponsors, email submissions etc.) Proposal Preparer is encouraged to monitor the guidelines for any changes prior to submission. Proposal Preparer shall communicate with SRM to establish who will be submitting (PI with Central sign-off, SRM or AD) and the submission method. SRM will communicate this information to the AD. The Proposal Preparer/SRM and AD will all follow the established signature authority document outlining who can sign what documents and will reference Sponsor guidelines when required. Whichever party submits and application shall make the others (Proposal Preparer, PI, SRM or AD) aware that an application has been submitted AD and SRM shall make the other aware that an application has been submitted.

Electronic (Portal or Email) Submission NOT by AD (e.g., Harvard is Subcontractor)

If an AOR signature is required on an Application Face Page/Statement of Intent (or similar), but not required in a portal, signature on the required document(s) and within GMAS is deemed sufficient for proposal submission by SRM/Proposal Preparer/PI as appropriate or required by Sponsor.

If neither the AD nor SRM is submitting, the Proposal Preparer/PI shall notify the SRM that an application has been submitted and verification of the submission shall be uploaded to the GMAS record by the Proposal Preparer

Portal Submission by AD

If AD is to sign and submit, Proposal Preparer will email SRM as follows:
- **SUBJECT** – Ready for SPA Review *(PORTAL)* for: PI: *(NAME)* – *(SPONSOR)* – *(PROPOSAL ID if available)* – *(GMAS #)* - Due Date *(or substantially similar)*
- **BODY** – This application is now ready for your review in GMAS and submission in (PORTAL). *(Indicate any pertinent information that the SRM might need to know, e.g., International, Provost, etc.)*

  GMAS Link:

  Assist/Workspace Number:

  Proposal Preparer will update the portal to allow submission for the AD (i.e. ASSIST/Workspace update the status from 'Work in Progress' to 'Ready for Submission').

Once application is ready for submission SRM will email AD as follows:

- **SUBJECT** - Signature and Submission in *(PORTAL)* for: PI: *(NAME)* – *(SPONSOR)* – *(PROPOSAL ID if available)* – *(GMAS #)* - Due Date *(or substantially similar)*
- **BODY** – This application is now ready for your signature in GMAS and submission in (PORTAL). *(Indicate any pertinent information that the AD might need to know, e.g., International, Provost, etc.)*

  GMAS Link:

  Assist/Workspace Number:

  AD shall email the SRM verifying that the application has been submitted SRM shall email the PI/Proposal Preparer verifying that the application has been submitted and verification of submission shall be uploaded into GMAS by the SRM.

Email Submission by AD

If AD is to sign and submit, SRM will email AD as follows:

- **SUBJECT** – For your Signature and Submission via Email for: PI: *(NAME)* – *(SPONSOR)* – *(PROPOSAL ID if available)* – *(GMAS #)* - Due Date *(or substantially similar)*
- **BODY** – This application is now ready for your signature in GMAS and submission via email.

  GMAS Link:

  Please submit to: (email of recipient) with a copy to me.

  Below is a draft submission email for your convenience:

  (DRAFT EMAIL BODY)

  AD shall either copy the SRM on the submission email or shall email the SRM verifying that the application has been submitted and confirmation of submission shall be uploaded into GMAS by the SRM.

Paper Submission

An AOR will sign an Application Face Page (or similar), signature on applicable document is deemed sufficient for proposal submission. Submissions via paper will be done by the GM/academic department responsible for the application. Verification of submission (e.g., FedEx label) shall be uploaded into GMAS by Proposal Preparer.

Revision History

- **1/11/24:** Best practice first published