

# GMAS Approval Rules

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## Segment based approvals

Segment based approvals means that there is only one approval for the segment. These approvals generate the first time the related approval attribute question response is updated to “Yes”, except for the International collaboration and activities approval which generates at the time the segment is created and is not related to an approval attribute question. Approvals that fit into the “Segment based” category are:

- [Human subjects - IRB](#)
- [Animals - IACUC](#)
- [Stem cells](#)
- [Harvard use of name](#)
- [Cost sharing](#)
- [International collaboration and activities](#)

[Human subjects – IRB](#)

**Approval attribute question:** “Does this research involve human subjects?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” in any of the locations it exists and there isn’t currently an approval in existence for the segment.

**Deletion rule:** If all the approval attribute questions within a segment are updated to “No” OR if the request that generated the approval is deleted and there are no other “Yes” responses on the segment.

**Does the approval status get set by a person or system connection:** Approval is connected to the IRB system (ESTR) and statuses update through the connection. The approval can be overwritten manually in cases where the approval is not happening at Harvard.

**For more information about this approval:**

<https://vpr.harvard.edu/2021/05/18/human-subjects-irbs/>

<https://gmas.fss.harvard.edu/irb-approval-gmas>

<https://estrsupport.fss.harvard.edu/home>

<https://osp.finance.harvard.edu/human-subjects-research>

#### Animals – IACUC

**Approval attribute question:** “Does this research involve vertebrate animal use?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” in any of the locations it exists and there isn’t currently an approval in existence for the segment OR if an action in GMAS takes place and the current existing approval’s expiration date is in the past.

**Deletion rule:** If all the approval attribute questions within a segment are updated to “No” and the existing approval status is “Needed” or “N/A” OR if the request that generated the approval is deleted and there are no other “Yes” responses on the segment.

**Does the approval status get set by a person or system connection:** Manually set by a person.

**For more information about this approval:**

<https://vpr.harvard.edu/2021/02/04/animal-studies/>

<https://osp.finance.harvard.edu/animals-in-research>

#### Stem cells

**Approval attribute question:** “Does this research involve human embryonic stem cells?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” in any of the locations it exists and there isn’t currently an approval in existence for the segment **OR** if an action in GMAS takes place and the current existing approval’s expiration date is in the past (not all approvals have expiration dates).

**Deletion rule:** If all the approval attribute questions within a segment are updated to “No” and the existing approval status is “Needed” or “N/A” **OR** if the request that generated the approval is deleted and there are no other “Yes” responses on the segment.

**Does the approval status get set by a person or system connection:** Manually set by a person.

**For more information about this approval:**

<https://vpr.harvard.edu/2021/06/03/stem-cells-escro-policy/>

Harvard use of name

**Approval attribute question:** “Is Harvard's or a Harvard school's name used in the project title?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” (will automatically set to “Yes” if obvious Harvard names appear in the title) in any of the locations it exists and there isn’t currently an approval in existence for the segment **OR** if an action in GMAS takes place and the current existing approval’s expiration date is in the past (not all approvals have expiration dates).

**Deletion rule:** If all the approval attribute questions within a segment are updated to “No” and the existing approval status is “N/A” **OR** if the request that generated the approval is deleted and there are no other “Yes” responses on the segment.

**Does the approval status get set by a person or system connection:** Approval sets as “Notified”. If it needs to be updated to “N/A” this is manually set by a person.

**For more information about this approval:**

<https://trademark.harvard.edu/pages/use-of-harvards-name>

<https://osp.finance.harvard.edu/use-name>

Cost sharing

**Approval attribute question:** “Does this request include any cost sharing?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” in any of the locations it exists and there isn’t currently an approval in existence for the segment.

**Deletion rule:** If all the approval attribute questions within a segment are updated to “No” and the existing approval status is “Needed” OR if the request that generated the approval is deleted and there are no other “Yes” responses on the segment.

**Does the approval status get set by a person or system connection:** Approval status is set based on GMAS actions:

Approval of the cost sharing form request updates the approval to “Done”.

Logging the first sponsor notice in GMAS updates the approval to “Needs review”.

The approval can also be updated manually by a central person to “Needs review”.

**For more information about this approval:**

<https://osp.finance.harvard.edu/cost-sharing-approval>

[https://osp.finance.harvard.edu/files/osp/files/cost\\_sharing\\_procedure\\_guide\\_april\\_2020.pdf](https://osp.finance.harvard.edu/files/osp/files/cost_sharing_procedure_guide_april_2020.pdf)

[https://gmas.fss.harvard.edu/files/gmas/files/reviewing\\_the\\_cost\\_share\\_form\\_central\\_admin.pdf](https://gmas.fss.harvard.edu/files/gmas/files/reviewing_the_cost_share_form_central_admin.pdf)

[https://gmas.fss.harvard.edu/files/gmas/files/reviewing\\_cost\\_sharing\\_department\\_administrator.pdf](https://gmas.fss.harvard.edu/files/gmas/files/reviewing_cost_sharing_department_administrator.pdf)

International collaboration and activities

**Approval attribute question:** NONE

**Approval attribute question location:** N/A

**Generation rule:** An approval is generated when a segment is created (initial entry of an initial proposal or competing renewal).

**Deletion rule:** This approval cannot be deleted unless the entire segment is deleted (the initial proposal or competing renewal is deleted).

**Does the approval status get set by a person or system connection:** Approval status is set based on GMAS actions:

Identification of activities or interests and all signatures obtained for the corresponding request (request updates to “Authorized status”) will update the approval to “Done”.

Selection of no activities or interests will update the approval to “N/A”.

Logging the first sponsor notice in GMAS updates the approval to “Needs review”.

The approval can also be updated manually by a central person to “Needs review”.

**For more information about this approval:**

<https://osp.finance.harvard.edu/international-collaborations-and-activities>

## Request based approvals

Request based approvals means that an approval will generate every time there is a new request entered where the related approval attribute question response is answered “Yes”. Approvals that fit into the “Request based” category are:

### [Additional staff/space](#) [Admin salaries](#)

#### [Additional staff/space](#)

**Approval attribute question:** “Are additional staff and/or space required?”

**Approval attribute question location:** Requests and segment revision.

**Generation rule:** If the approval attribute question is answered “Yes” in a request, an approval will generate (regardless of existence or status of approvals on the segment of the same type).

**Deletion rule:** If the approval attribute response is changed to “No”, the approval that generated for that particular request will delete. If the request that generates the approval is deleted the approval will also delete.

**Does the approval status get set by a person or system connection:** Approval sets as “Notified”. If it needs to be updated to “N/A” this is manually set by a person.

#### [Admin salaries](#)

**Approval attribute question:** “Are administrative salary costs included in the budget?”

**Approval attribute question location:** Requests and segment revision where sponsor is federal.

**Generation rule:** If the approval attribute question is answered “Yes” in a request, an approval will generate (regardless of existence or status of approvals on the segment of the same type).

**Deletion rule:** If the approval attribute response is changed to “No”, the approval that generated for that particular request will delete. If the request that generates the approval is deleted the approval will also delete.

**Does the approval status get set by a person or system connection:** Manual by a person.

**For more information about this approval:**

<https://osp.finance.harvard.edu/administrative-and-clerical-salaries-federal-awards>

## Other approvals

These approvals generate based on other project criteria. Approvals that fit into other category are:

[OAIR \(outside activity and interest reporting\) – Conflict of interest](#)

[Participation Agreement](#)  
[Trainee debarment](#)  
[Subagreement debarment](#)

OAIR (outside activity and interest reporting) – Conflict of interest

**Generation rule:** If an individual is added to a research team as an investigator, they will generate an OAIR approval. This can happen at request, during confirm research team, or after the segment research team has been confirmed.

**Deletion rule:** If an individual is removed from all research team locations (requests and segment level research team) as an investigator, or removed entirely, their related OAIR approval will be deleted. If their investigator flag is changed to no at the segment level, or they are deleted at the segment level, but they are still an investigator on old requests, their OAIR approval will update to “Withdrawn”.

**Does the approval status get set by a person or system connection:** Approval is connected to the OAIR system and statuses update through the connection as long as the associated individual is an active person with a HUID. If the person associated to the OAIR approval is inactive, or a record created in GMAS without a HUID associated, the approval can be overwritten manually by the OAIR representative or Central to reflect appropriate status.

The status is also updated to “Pending update” when the first notice is logged and the segment is updated to “Pending: notice logged”, or when an at-risk request moves to authorized status and the segment is updated to “Pending: At-risk” (whichever happens first).

**For more information about this approval:**

<https://vpr.harvard.edu/2021/05/18/fcoi/>  
<https://ras.fss.harvard.edu/oir-job-aids>  
[https://gmas.fss.harvard.edu/files/gmas/files/gmas-oir\\_integration.pdf](https://gmas.fss.harvard.edu/files/gmas/files/gmas-oir_integration.pdf)

Participation agreement

**Generation rule:** If an individual is added to a research team they will generate a PA approval.

**Deletion rule:** If an individual is removed from all research team locations (requests and segment level research team) their related PA approval will be deleted.

**Does the approval status get set by a person or system connection:** The status will update to “Done” if the individual has electronically signed the PA (<https://gmas.harvard.edu/gmas/participationagreement>), or their hardcopy signature has been logged from their person profile in GMAS. If the signature is captured either of these ways, all generated approvals on all projects in GMAS will be “Done”. The project approval can also be manually updated where appropriate to “N/A” if the system has not marked it as “Done”.

**For more information about this approval:**

<https://osp.finance.harvard.edu/participation-agreement>

<https://vpr.harvard.edu/2021/02/17/intellectual-property-policy/>

#### Trainee debarment

**Generation rule:** If a project is a training grant and the sponsor and/or prime sponsor is Federal, for every request, a single approval for the Trainee debarment check will be generated.

**Deletion rule:** If the sponsor changes from federal to non-federal, or if the project type changes from training grant, the approval will be deleted.

**Does the approval status get set by a person or system connection:** Approval sets as “Notified” when generated. The approval details and status can be updated manually by a person.

#### Subagreement debarment

**Generation rule:** If a subrecipient is added to a project with a federal sponsor a debarment approval will generate. An additional approval will be generated for each subrecipient record that becomes sponsor approved (after the first segment revision awarding a notice is completed).

Each subrecipient record will potentially have two debarment approvals, one at time of request and one at time of award.

**Deletion rule:** Debarment approvals do not get deleted.

**Does the approval status get set by a person or system connection:** Status changes are made manually by the Central office representative after a debarment check is completed.

**For more information about this approval:**

<https://web.microsoftstream.com/video/e1615a46-c7c1-4ada-9b1a-40b16ee47361>