

Managing the GMAS Research Team: Roles & Responsibilities

Overview

Accurately recording effort and other project information for key individuals on the GMAS research team is a shared responsibility between department and central administrators. This document outlines some of the responsibilities of each role, and should be used in conjunction with the following guidance:

- [GMAS Confirm Research Team job aid](#)
- [GMAS Edit Research Team job aid](#)
- [Managing the Research Team business process guidance](#)

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Proposal Stage: Entering & Reviewing the Research Team

Department administrator responsibilities for [proposal entry](#):

- Add individual members to the GMAS proposal research team, using the guidance for [Who Must be on the Research Team](#)
- Indicate whether each team member is Key Personnel and/or an Investigator (as designated by the PI)
- Enter the proposed effort (in person months) per budget period for each team member, as listed on the proposal application. If no measurable effort was explicitly included for a required research team member within the submitted proposal budget, list as 0.00 calendar months.

Central administrator responsibilities for [proposal review](#):

- Review the proposal research team to make sure that the required roles in the application have been added to the research team (see [Who Must be on the Research Team](#))
- Ensure that the Key Personnel and Investigator boxes have been checked

appropriately

- Confirm that the effort is listed as person months in GMAS and that all effort on the research team matches that listed in the application

JIT Stage: Reviewing the Research Team in a JIT Request

Important Consideration The JIT request allows users to edit the committed effort as part of the request, and once the JIT request has been submitted in GMAS, any changes will be reflected in the segment research team. Therefore, central administrators need to make sure that Key Personnel effort for NIH awards is not edited in the JIT request unless sponsor approval for those changes has already been received.

Central administrator responsibilities for review of the research team in a JIT request:

- Check the research team within the JIT request to see if any changes have been made to what was entered at proposal stage. If there are no changes to the research team, continue review of the JIT request.
- If changes to the research team have been made by the department administrator, check the sponsor policies and/or award terms to see if any of the changes require prior sponsor approval, and if so, obtain sponsor approval before proceeding.
 - **NIH awards:** Other Support pages included with JIT submissions should not be used to change a Key Personnel's proposed level of effort for the award in question. Any reductions to Key Personnel effort prior to the notice of award receipt must be submitted to the NIH GMS separately, as a prior approval request.

When Central Authorization is Required for Changes

The **Confirm research team** and **Edit research team** requests require Central administrator authorization if either of the following is true:

- Changes were made to the team members that require sponsor approval (like reduction of effort of 25% or more for Key Personnel on an NIH award)
- Changes were made to any research team members who are listed as faculty. Note that the faculty designation in GMAS is derived from the individual's salary object code (6010, 6020, 6030, 6040) and includes those who may not have a faculty title.

Department administrators will not be able to authorize/finalize the research team request if either of the above types of changes have been made. Note that changes made to research teams to adhere to this guidance (i.e., "clean-up" of research teams) may be made concurrently with other edits to the team.

Award or At-Risk Stage: Confirming the Research Team

The research team related to the request version selected in the at-risk request (based on which account is selected) will determine which research team version gets pulled into the segment. This cannot be changed after the at-risk account has been set up, or once an initial notice has been logged on the segment.

Once an award notice has been received and logged by the central office, or once an at-risk account has been entered into GMAS and authorized (signed by the required parties), the research team must be

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confirmed. Selecting “Confirm research team” within the GMAS segment “Research team” will generate a **Confirm research team request**. Administrators should follow the detailed steps outlined in the GMAS [Confirm research team](#) job aid. The below guidance outlines their responsibilities for review and confirmation of the team, rather than the system steps.

Department administrator responsibilities for confirming the research team:

- Answer the Sponsor Approval question (“Is sponsor approval required to change effort?”) according to the award and/or sponsor requirements for changing effort for the individual or role in question.
 - Read the award agreement (notice) terms and conditions and/or the sponsor policies or guidance for the specific award type to make this determination. Ask your central award/contracts administrator if unsure.
- If the team members have changed since the proposal was submitted, add or remove members to reflect the changes.
 - For any added Key Personnel, record the effort that was communicated to the sponsor for them and upload the sponsor communication to the **Confirm research team request** Documents. If their effort was not communicated to the sponsor (for example via a revised budget), enter 0.00 person months in the individual’s committed effort field.
- If an effort commitment change for any Key Personnel has been communicated to the sponsor since the proposal submission (and has been approved by the sponsor, if required), update the effort commitment in GMAS for that individual.
 - In this case, you must upload documentation of the sponsor communication (and the sponsor acknowledgement or approval, if required) to the **Confirm research team request** Documents.
- If no changes were made to faculty or to effort for a member for which sponsor approval is required, finalize the research team in GMAS by clicking the “Finalize changes” button at the top of the request.

Central administrator responsibilities for review and authorization of changes:

- Review all changes made to the research team. If any questions, consult the Department administrator and/or PI, the award/sponsor terms or policy, or contact the sponsor.
- If there are changes to research team members who are faculty, the Department cannot finalize the request. If such changes do not require sponsor approval, and/or the appropriate sponsor approval documentation is attached to the request, sign the **Confirm research team request** and select “Award request” in the Actions button menu to move the request status to Awarded.
- If changes require sponsor approval (per award/sponsor terms or policy), sign the **Confirm research team request**, and work with the Department to prepare and submit a request to the sponsor for the changes. Select “Submit to sponsor” in the Actions button menu to move the GMAS request status to Submitted.
 - Once approval is received from the sponsor, log a notice against the **Confirm research team request**. A revision must be processed from the notice and committed to confirm the research team.

Changes After Initial Award: Editing the Research Team

The research team may need to be edited at any time after the initial award receipt and account setup. Examples of edits include the following:

- adding a new research team member
- adjusting the effort **commitment** for a team member (see note below, “Requesting NIH Effort Reductions via the RPPR”)
- entering an end date for a member who has left the project prior to the award end date

Edits can be made or requested by the Department Administrator by creating an **Edit research team request** in GMAS and following the detailed steps outlined in the GMAS [Edit research team request](#) job aid.

Note: Committed effort on the GMAS research team should not be updated to match actual effort or salary costing. Changes to costing/actual expended effort may indicate that a request to change the individual’s effort commitment to the sponsor is in order, but these changes do not themselves constitute a change to the committed effort per the University definition.

Department administrator responsibilities for editing the research team:

- If any research team members have left or are about to leave the project, select Edit for the individual to open a window showing the committed effort for that person. Delete the project periods occurring after the date the person left (or will leave). If needed, also change the end date of the last period to coincide with the person’s last day on the project.
- If adding any new personnel, first review [Who Must be on the Research Team](#) to make sure the individual should be added to the team. After adding the new team member:
 - Answer the Sponsor Approval question, “Is sponsor approval required to change effort?” according to the award or sponsor requirements for changing/reducing effort for the individual/role in question. Read the award agreement (notice) terms and conditions and/or the sponsor policies or guidance for the specific award type to make this determination. Ask your central award/contracts administrator if unsure.
 - For any new Key Personnel added, record the effort that was communicated to the sponsor and upload the sponsor communication to the **Edit research team request** under Documents. If their effort was not communicated to the sponsor (e.g., via the application, formal request, or revised budget submission), enter 0.00 person months in the individual’s committed effort field.
- If an effort commitment change for any Key Personnel has been communicated to the sponsor (and approved by the sponsor, if required), update the effort commitment in GMAS for that individual. See below section on [Department administrator responsibilities for RPPR effort reduction requests](#).
 - Upload documentation of the sponsor communication (and the sponsor acknowledgement, or approval if required) to the **Edit research team**

request under Documents.

- After all edits have been made, lock and route the request for central review.

Central administrator responsibilities for review and authorization of changes:

- Review the research team members. If any are associated with a non-HUID person profile, check to see if there is a HUID record that the profile should be merged with (i.e., check to see if both profiles are for the same individual), or to make sure that the person profile used in the research team is for the correct individual by checking the HUID, email address, department, title, etc.
- Review all changes made to the research team. If any questions, consult the Department administrator and/or PI, the award/sponsor terms or policy, or contact the sponsor.
- If there are changes to research team members who are faculty, the Department cannot finalize the request. If such changes do not require sponsor approval, and/or the appropriate sponsor approval documentation is attached to the request, sign the **Edit research team request** and select “Award request” in the Actions button menu to move the request status to Awarded.
- If changes require sponsor approval (per award/sponsor terms or policy), sign the **Edit research team request** and work with the Department to prepare and submit a request to the sponsor for the changes. Select “Submit to sponsor” in the Actions button menu to move the GMAS request status to Submitted. See below section on **Central administrator responsibilities for recording NIH notice of award effort reduction approvals in GMAS**.
 - Once approval is received from the sponsor, log a notice against the **Edit research team request**. A revision must be processed from the notice and committed to confirm the research team.

NIH Only: Requesting Effort Reductions via the RPPR (Continuation Request)

NIH prior approval is required for Key Personnel reduction of effort of 25% or more from the level that was approved at the time of the initial competing year award, or a change of 25% or more from a previously approved reduction in effort level.

Grantees may use the Research Performance Progress Report (RPPR) to request prior approval for a reduction in the level of effort for the PD/PI and other Key Personnel named in the NoA under Section D.2 of the RPPR:

“Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved by the agency for the PD/PI(s) or other senior/Key Personnel designated in the Notice of Award, or (2) a reduction in level of effort below the minimum amount of effort required by the Notice of Award?”

When a grantee selects “Yes” to question D.2.a, this constitutes a prior approval request. The issuance of a subsequent year of funding (i.e., a type 5 notice of award) constitutes agency approval of the request. Once a prior approval to change has been granted, the new approved level of effort becomes the basis for any subsequent measure of effort reduction.

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Department administrator responsibilities for RPPR effort reduction requests:

When the answer to question D.2.a is marked “Yes” in the RPPR, indicating that a *Harvard Key Personnel* is requesting a reduction of effort, the Department administrator must concurrently:

- enter an **Edit Research Team** request for the project in GMAS, and
- enter a **Continuation** request for the RPPR.

This applies to NIH RPPRs where Harvard is the prime award recipient AND awards where Harvard is a subrecipient.

Central administrator responsibilities for recording NIH notice of award effort reduction approvals in GMAS:

Sometimes an NIH email rejecting the effort reduction before receiving type 5 notice, or rejection language included in the notice itself, is not available. In that case, the Central administrator must review and authorize the **Edit Research Team** request upon receipt of the type 5 notice of award by signing the GMAS request and clicking on the “Award request” button.