

GMAS – Other Request Types

Contents

Pre-award expenditure (for federal grants only).....	1
Carryforward.....	1
No-cost extension	1
Equipment rebudget	2
Rebudget restricted categories.....	2
Additional subagreement at no additional cost	3
Interfaculty involvement (IFI) addition at no additional cost (new POA).....	3
Change PI	4
Change Tub/Org.....	4
Early termination	4
New account(s)	5
At-risk account(s)	5
Appendix A – PI Signatures Required (per Request Type)	6
Appendix B – No Cost Extension Requests	7
Appendix C – Rebudget Request Form	8

Pre-award expenditure (for federal grants only)

GMAS entry:

*If the request for pre-award spending is concurrent with either:

- a) An at risk account request – complete the “Pre-award expenditure” component within the at-risk account request
- a) An award notice – email your SPA rep with the information below (no need to enter a request in GMAS)

Justification

Pre-award start date (GMAS defaults to 90 days prior to award start date)

Pre-award amount (DC + IDC breakdown)

Which account(s) to apply pre-award spending

Documents: N/A

Approvals:

Any related approvals (IRB, IACUC, etc.) must be in place before the pre-award period start date

Required signatures in GMAS:

Department Chair or Department Approver

Sponsored Programs Approver

Carryforward

GMAS entry:

Total amount to be carried forward

Periods to carry forward from and into

Justification – extent of justification may vary by sponsor; please check award notice or sponsor guidelines/policies. For NIH awards where prior approval is required, check if institute has required procedures. Typically, a detailed budget for the carryforward amount is required, along with a scientific justification of why the work is necessary and why it can't be covered by rebudgeting current awarded amounts. The sponsor may also require an explanation of why the funds weren't expended in the previous period as originally planned.

Documents:

Request letter to sponsor (where required)

Sponsor's approval of the carryforward (if already received)

Approvals: N/A

Required signatures in GMAS:

Department Chair or Department Approver

Sponsored Programs Approver

No-cost extension

GMAS entry:

Justification - scientific/programmatic justification from PI (i.e., not just that there's a balance)

Requested new end date (usually 12 additional mos. for an initial NIH extension)

Approximate remaining balance

Address the following 2 questions in the Request Comments:

1. If applicable: will any part-of accounts or subawards on the project be extended as well?
2. For NIH: will the PI's effort will be reduced by more than 25% during the extension period?

The Research Team (segment) should be updated to remove anyone no longer working on the project.

The request should be signed by the department at least 5 days before the current end date of the award.

Please see Appendix B for specific instructions regarding the following no-cost extension types:

NIH initial NCE request **sent after the period ends**

NIH **second** NCE request

NCE requests to sponsors other than NIH

Documents:

For NCE requests that require sponsor approval, upload the request letter into the Documents

Sponsor's approval of the extension (if already received)

New COI disclosure forms for any key personnel and investigators

Approvals:

Any related approvals (IRB, IACUC, etc.) required for the extension period must be in place before the extension period starts

Required signatures in GMAS:

Department Chair or Department Approver

Sponsored Programs Approver

Equipment rebudget

GMAS entry: N/A – a GMAS request is not necessary

Documents:

Create a folder in the Segment Documents called "Equipment rebudgeting" and upload completed "Rebudget Request Form" (see Appendix C).

Required signatures:

Refer to "Rebudget Request Form" (no GMAS signatures are required)

Rebudget restricted categories

GMAS entry: N/A

Documents:

Follow sponsor's guidelines for requesting prior approval of rebudgeting restricted categories. Upload request letter to segment in GMAS and notify SPA for review.

Approvals: N/A

Required signatures in GMAS:

Department Chair or Department Approver

Sponsored Programs Approver

Additional subagreement at no additional cost

GMAS entry:

Enter the justification for the new subagreement

Create new subagreement within the request:

Click on Subagreements link

Click on button "Create new subagreement"

Enter subrecipient institution

Enter subrecipient PI

Enter proposed start and end dates of subagreement

Click OK

Click on link for subrecipient institution name

Click on "Subagreement detailed budget" button

Click on "Edit subagreement budget" button

Enter "Total proposed subagreement costs" for each corresponding award period

Click OK

Click on breadcrumb for Request Home

Documents:

Proposal from subrecipient institution (see [SPA Proposal Checklist](#) for list of documents required from subrecipient)

Approvals: N/A

Required signatures in GMAS:

PI

Department Chair or Department Approver

Sponsored Programs Approver

Interfaculty involvement (IFI) addition at no additional cost (new POA)

GMAS entry:

Enter the justification for the new Interfaculty involvement (IFI)/Part-of Account (POA)

From Request homepage, click on Edit button for "Interfaculty involvement" component

On Edit interfaculty involvement screen, click on "Add Tub/Org" button

Enter Org, IFI PI, and start and end dates of involvement, then click OK

On Edit interfaculty involvement screen, click OK when finished entering POAs

Documents:

IFI POA proposal

Approvals:

Approval documentation (IRB, IACUC, etc.) for IFI POA, if applicable

Required signatures in GMAS:

Department Chair or Department Approver for HMS department

Department Chair or Department Approver for IFI POA department

Sponsored Programs Approver – HMS SPA

Other signatures, as required by IFI POA tub and org

Change PI

GMAS entry: N/A

Documents:

Notify SPA as soon as a change of PI is planned.

Follow the sponsor's guidelines for a change of PI request. Any communications should be uploaded in GMAS.

Approvals:

Any related approvals (IRB, IACUC, etc.) for the new PI must be in place before a new account is setup

Required signatures:

The sponsor may require an institutional signature from SPA on the official request letter, as well as the signatures of incoming and outgoing PIs. Contact sponsor for specific instructions.

Change Tub/Org

GMAS entry: N/A

Notify SPA as soon as possible if an award requires a change of tub or org.

Early termination

Early termination of an award often applies to fellowships, where the fellow has procured a faculty position and no longer is eligible for a postdoctoral fellowship.

Early termination requests are also used when a PI is leaving HMS. Each of the PI's awards must be reviewed, and sponsors' instructions for relinquishing the award and/or changing the awardee institution must be followed.

SPA should be notified as soon as possible in the case of a faculty member leaving HMS. Please refer to the HMS "[Faculty Exit Guidelines](#)" as well.

GMAS entry:

Include the anticipated effective date of termination in the early termination request.

Documents:

Upload any sponsor instructions/communications about the termination requirements.

For NIH, upload the completed Relinquishing Statement(s).

Approvals: N/A

Required signatures in GMAS:

Department Chair or Department Approver

Sponsored Programs Approver

New account(s)

GMAS entry: N/A

Documents:

Request for additional part-of accounts within the award's managing org can be emailed directly to your SPA rep.

Approvals:

Any related approvals (IRB, IACUC, etc.) must be in place before the account can be established

Required signatures in GMAS: N/A

At-risk account(s)

GMAS entry:*

**If you are requesting an at-risk for a POA where the main award is managed by another tub/org, the managing org will need to enter the request in GMAS. Please coordinate with the department administrator in that org to provide the information/documentation they require. They can add required POA signatures in GMAS for your Department Approver.*

Choose "Create request" button from the segment homepage
Select "Internal request", "At-risk account" then click "Next" button
Enter justification for the at-risk account, then click "OK"

If the award is pending (there are no active accounts):

From the request homepage, click on the "Edit" button of the "At risk accounts" section
On the next screen, check the box to select the Main account, then click "Next"
Enter at-risk amount, start and end date, then click "Finish"

If the award has existing accounts (adding a POA or a main account for a new year):

From the request homepage, click on the "Accounts" link
Click "Add account" button
Fill in only the required fields (Type, Description and Account Group†) and Click "Save"
†If the at-risk is for a new year's Main account (under year logic), choose "00-New account group"
Use the breadcrumbs to return to the request home
Click on the "Edit" button of the "At risk accounts" section
Check the box to select the account you just created, then click "Next"
Enter at-risk amount, start and end date, then click "Finish"

Documents:

Upload any relevant documentation. For example, if we are receiving a subaward, upload the email from the prime award recipient (our sponsor) stating their intention to send a subagreement/amendment granting HMS new funds.

Approvals:

Any related approvals (IRB, IACUC, etc.) must be in place before the at-risk account start date

Required signatures in GMAS:

Department Chair or Department Approver
Sponsored Programs Approver

Appendix A – PI Signatures Required (per Request Type)

PI Signature Required

The PI's signature is always required on the following request types. The PI's signature must be added at the time the request is locked and routed.

- Initial (New)*
- Competing renewal
- Resubmissions (“Revise to resubmit” an Initial or Competing renewal)
- Supplement
- Subagreement addition at no additional cost

* Please note that for Fellowships (where the fellow is listed as PI) both the PI and faculty mentor's signature is required, except in cases where the fellow is not yet at HMS at the time of request. In such cases, the mentor's signature will suffice.

In cases where the PI (not fellow) is not yet at HMS, but we are submitting an application to be awarded after their arrival, an email or hardcopy signature from the prospective PI is sufficient, and SPA will log the electronic signature in GMAS.

PI Signature Not Required (Optional)

The following request types do not require a PI signature in all cases. It is the department's decision whether a particular request requires a PI signature, or if the Department Approver's signature is sufficient.

- Continuation
- Pre-award expenditure
- Carryforward†
- No-cost extension†
- Equipment rebudget (doesn't usually require entering a request in GMAS)
- Interfaculty involvement addition at no additional cost**
- Change PI†
- Change Tub/Org
- Rebudget restricted categories†
- Early termination†
- New account(s)
- At-risk account(s)

**Interfaculty involvement (IFI) addition at no additional cost, also known as a part-of account (POA): these requests require authorization from the IFI POA's department and/or school. Please follow the signature requirements of the IFI POA's org.

†In cases where these requests require prior approval from the sponsor, the documentation provided to the sponsor will usually contain the PI's signature. This documentation should be uploaded to the Request Documents.

Appendix B – No Cost Extension Requests

Specific instructions for the following no-cost extension (NCE) types:

- NIH initial NCE request sent after the period ends
- NIH second NCE request
- NCE requests to sponsors other than NIH

All no-cost extension requests should be entered in GMAS, following the guidelines outlined above. This document provides further instruction on the request that is sent to the sponsor, as well as any specific procedures, such as due date.

NIH initial NCE request sent after the period ends

The request letter to the NIH Grants Management Specialist (GMS) should include:

- Grant number
- Explanation of the need for an extension
- Brief, up-to-date progress report
- Activities to be completed during the extension period (i.e., scientific justification)
- Amount of remaining grant funds
- Detailed description of the proposed use of unexpended funds (either a detailed budget or narrative description)
- Updated IACUC and/or IRB approvals, if required.

NIH second NCE request

Follow the instructions above, but be sure to send it to NIH no later than 30 days prior to the grants Project Period End Date.

The request for the second no-cost extension must be evaluated and approved by the Office of Extramural Activities and, when granted, is for purposes other than completion of manuscripts. Additional no-cost extensions beyond the 2nd will not be considered.

NCE requests to sponsors other than NIH

No cost extensions for projects funded by sponsors other than NIH should follow the guidelines of the sponsor. Check the award documents, proposal guidelines, and/or sponsor website for instructions on how to submit the NCE request.

Appendix C – Rebudget Request Form

See next page for form.

REBUDGET REQUEST FORM

To be used for equipment and significant rebudgeting only. Minor rebudgeting on grants within and between cost categories often does not require authorization. Please review the sponsor guidelines or terms of the award, or check with your Finance Manager when in doubt.

Date: _____
Principal Investigator: _____
Sponsor: _____
Project Title/Nickname: _____
Harvard Account (Fund) Number(s): _____
Current Budget Period: From: _____ To: _____

Please answer the following questions; attach additional pages if needed.

Justification for rebudgeting funds: Describe how the proposed action directly supports the project.

If purchasing equipment, provide a description of the equipment: Attach vendor quote(s).

Availability of funds: Explain why funds are available to rebudget (e.g., cost saving measures on supplies, loss of personnel, etc.)

Scope of Work: State whether the rebudgeting of funds constitutes a change to the original scope of work (SOW). If it does, detail the changes. (Please note that any significant change to the SOW requires sponsor approval.)

Allocation of expense: If expense will be applied to more than one grant, describe the allocation process.

Total Rebudget Amount: \$ _____

Costing Change:

\$ _____	From Object Code: _____	To Object Code: _____
\$ _____	From Object Code: _____	To Object Code: _____
\$ _____	From Object Code: _____	To Object Code: _____
\$ _____	From Object Code: _____	To Object Code: _____

Signatures:

Principal Investigator/Project Director Date

Department Chair/Designee Date