# 5-Day Policy Pilot

# Frequently Asked Questions

## Table of Contents

## I.      Duration of Pilot

**1.      When is the Pilot running?**

The Pilot will run from April 1, 2019, through December 31, 2019.

## II.      Timeline and Content

**2.      What is the "submission deadline?"**

The day and time (EST) the proposal is due to the sponsor.

**3.      How do we count the dates? What is five days or three days before the submission deadline?**

Please see timeline visual and sample calendar.

**4.      What is the Statement of Work or SOW?**

The SOW or "science" is the totality of the parts of the narrative being presented to a reviewer panel or board of directors during a funding selection process, which may include The Project

Summary, Project Description, References Cited, etc. If a sponsor does not use that specific terminology, please use your best judgment to determine the equivalent sections. RAS can also provide guidance on a case by case basis. Please contact RAS/SEAS if any questions arise.

**5.     When is a proposal considered to be received by OSP?**

A proposal is considered received once OSP has all documents that are review-ready at each stage of the proposal submission timeline. For the Day 5 deadline, this means all proposal components other than the final SOW and by Day 3, this means the complete, submission-ready version of the proposal. All required PI and departmental signatures should be completed in GMAS by Day 3 to indicate the product is finalized and ready to be submitted barring any RAS/SEAS/OSP feedback. Adequate time must be given to administrators in advance of Day 5 (follow any departmental procedures) to review and compile documents so that they can be released to OSP in a timely manner.

**6.     When should OSP be given access to the proposal in the sponsor's system (ASSIST, NSPIRES, etc.)?**

Departments should grant View access to OSP and RAS/SEAS reviewers as early as practical. For the purpose of version control (i.e., reviewing the same document, zero discrepancies between the sponsor-system version and the GMAS version) and to avoid delayed or late submissions, the earlier RAS and OSP can be given access the better.  By Day 3 when the final Statement of Work has been uploaded to the sponsor system, departments should grant View and Submit access to allow submission by OSP.

**7.     My PI is participating as a non-lead in a Collaborative proposal in which all institutions involved are submitting a single, combined statement of work.  I can't control when the final science will be completed. What should I do?**

In the instances where we are a non-lead collaborator, the expectation is that a draft of the full scientific or programmatic narrative be included upon locking and routing the proposal. When possible, it is beneficial to give RAS/SEAS reviewers and OSP full view/submit access in the portal through which you are submitting so that any recent changes to the narrative will be visible.  The scientific or programmatic narrative need

not be finalized by Day 3 for a non-lead collaboration but there must be a complete draft available for OSP and RAS/SEAS to make a complete review.  Components of the narrative that our PI is solely responsible for, such as their Results from Prior NSF Support, should be finalized by this time.

We do not require a separate Harvard-specific SOW for collaborative projects, however this will still be required for proposals where Harvard is a subrecipient, and this document must be completed by Day 3 for those proposals.

## III.    Exception Requests

**8.      What is the process to request an exception?**

If the PI is unable to meet the 5-Day proposal submission window, they must complete OSP's 5-Day Exception Request form (found <u>here</u>). The PI must include as detailed information as possible within the Late Submission Justification, and clearly state when the proposal will be locked-and-routed for OSP/RAS/SEAS review. OSP will then forward this request to the appropriate Cognizant/Divisional Dean. The Dean will review the exception and either deny or approve the request, including when the proposal must be released to OSP. The Dean may request additional information from the PI, such as proof of extenuating circumstances (e.g. an email from the sponsor requesting a proposal outside the 5-day window).

**9.      How long will it take to receive a determination on the request?**

The Deans will review the exceptions as quickly as possible, however the timing will depend on their schedules/availability.  There is no process to expedite the review timeline, so exception requests should be submitted as early as possible.

**10.     Should the department route the proposal to OSP while they wait for an exception?**

Until a reply to the exception request is received, the Department and PI should proceed as if an exception has been granted, gathering the remaining proposal documents and locking-and-

routing in GMAS. OSP will not assign a reviewer to the proposal until the Exception Request has been approved by the Divisional/SEAS Dean.

**11.     How will the PI/Department be notified of the Dean's decision?**

The Dean will notify OSP of their decision by replying to the original email sent by OSP. OSP will inform the department administrators and the PI. Each Divisional/SEAS Dean may choose to inform the PI directly. OSP will assign a proposal reviewer if and when the request is approved.

**12.     What happens if an exception is not approved?**

If an exception request is denied, OSP will delete the GMAS request after the PI and department administrators have been notified.

**13.     The PI needs time to modify the SOW, when is it due to OSP meet the Day 3 requirement?**

The proposal must be released to OSP by close of business of Day 3. Please see the timeline visual.

**14.     If the PI does not have the complete and final science by Day 3, are they required to submit an exception?**

If the proposal was originally locked-and-routed by Day 5 (*i.e.*, exception request was not required) and now the final SOW will be late, an exception request must be submitted. Same day proposals will not be submitted.

If the PI already received an approval to release the proposal after Day 5 (see Question 8) and will not be able to meet the approved new deadline, then a new request will need to be approved by the Dean.

**15.     If a draft of the science is not available 5 days before the submission deadline, but the other pieces are ready, does this require an exception request?**

Yes.

**16.      My proposal has internal approvals associated with it that will need to be resolved prior to submission to the sponsor (*e.g*. Exceptional PI Rights, IDC Waiver). If I don't have those approvals in hand by Day 5, will I need an exception?**

Required internal approvals should be requested well in advance of Day 5 to allow adequate time for review. An exception to the 5-Day policy is not required if the internal approvals have not yet been confirmed, but the approval process should be initiated before the request is locked-and-routed. Please enter a comment in GMAS to indicate the status of these internal approvals.  OSP may not submit a proposal depending on the nature and context of the missing approval (*e.g.*, Provost approval, etc.).


**17.      Would a proposal that was submitted in compliance with the 5-day policy (meaning no exception was required) require an exception if it undergoes significant changes prior to submission that are not in response to OSP/FAS/SEAS reviewer comments?  (Example: Harvard PI is submitting a subaward proposal and the prime institution cuts the budget by 20% making the originally submitted budget obsolete.)**

Under extenuating circumstances that are outside of the PI's control, please contact RAS/SEAS for a case-by-case determination. If the PI has made their best faith effort to comply with the 5-day policy at the original lock-and-route date, we will do our best to accommodate the changes, however this will depend on the circumstances/impact of the changes, and will be at the discretion of RAS/SEAS, in consultation with OSP and the Dean's Office. If the changes requested are within the PI's control and could have been addressed at the time of lock-and-route, an additional exception will be required. No same-day retractions will be permitted.