GMAS Repository Document Management Guidelines

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# Overview

This document provides guidelines for the use of GMAS (Grants Management Application Suite) document repositories. The guidelines are intended to support consistent, University-wide document retention practices and to enhance usability and “findability” for all GMAS repository users.

The guidelines apply to all users of GMAS repositories in the University area. This document is intended primarily for use by those users who upload and review documents in the course of their regular job responsibilities: Grants Managers, Department Administrators, and Office for Sponsored Programs (OSP) team members (Central Administrators). It is also to be used as a reference for those users who may access GMAS on a less frequent basis looking for documents to support specific reporting, compliance, or audit requests.

## Guidelines-at-a-Glance

*Do* the following:

* Upload approved and/or submitted Documents
* Delete all prior versions except final version approved for submission by PI/Grants Manager when a revision is uploaded
* Use the Standard Folders outlined in this document
* Name files using the naming convention standards outlined in this document.

*Do not do* the following:

* Upload and maintain multiple work-in-process or draft documents
* Upload long, repetitive email chains
* Retain multiple versions of a document in the repository
* Upload all documents outside of folders or create multiple folders for just one or two documents
* Forget that for project administration, audit, and compliance purposes, other users must be able to efficiently identify & access key documents

***Note: Any documents uploaded from the “Do Not” list may be removed by OSP.***

# Guidelines

## Documents that should not be uploaded to GMAS

The following documents, although they may be related to specific projects, should not be uploaded to a GMAS repository. If they should be retained, they should be stored on users’ personal or shared drives, as appropriate for the document type.

Table 1: Documents that should not be uploaded to GMAS

| **Document** | **Comments** |
| --- | --- |
| **Conflict of Interest (COI) disclosures and related COI management plans** | COI disclosures and related management plans are managed and stored in the Outside Activities and Interests Reporting (OAIR) platform.  |
| **Repetitive, or duplicated emails, or multiple threads on the same topic** | Upload only those that contain necessary context, a final decision, or resulting process  |
| **High Risk Confidential Information (HRCI)** | Includes transcripts, license or passport photos, visas, and any other documentation that contains an SSN or DOB.  |
| **Unsigned invoices or financial reports** | N/A |
| **Copies of GL back-up reports unless annotated** | HART reports that reconcile to a Financial Report, Invoice, or Review can be reproduced and should not be uploaded.  |
| **Partially executed or unsigned versions of agreements or modifications, once the final version is uploaded** | Only the fully executed agreement or modification should be retained. |
| **Un-submitted versions of a request** | The Final or AOR signed version as submitted should be locked by the Central Administrator. All prior versions should be deleted except for the final version approved for submission by PI/GM.  |

## Document Versions in GMAS

As the system of record for all sponsored program activities, only the final approved versions of appropriate documents that were submitted and/or funded should be maintained in the GMAS repository. Prior versions of proposal documents should be deleted once the final version is uploaded andsubmitted to sponsor. Similarly, if any previous versions of award documentation were uploaded, they should be deleted when the fully executed version is uploaded and logged. The table below identifies the common documents that may be created and uploaded throughout the lifecycle of an award.

### Repositories

Table 2: Initial Request Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **Proposal Submission *(required)*** | 1. Final/Submitted proposal documents
2. Submission confirmation
3. Sponsor Guidelines or funding announcement
 | May include initial requests.Includes submitted budget, submission confirmation, final version of proposal deemed ready for submission by department and PI. | **Naming Convention:** AOR\_PI Last Name\_Sponsor\_YYYY-MM-DD**Example:** AOR-Shanahan\_Smith\_NIH\_2021-05-04**Naming Convention:** Funding Opportunity\_YYYY-MM-DD**Example:** PA-21-261\_2021-08-09  |
| **Subagreement Documents****(proposal stage)** | 1. Signed subaward statement of intent
2. Budget
3. Budget justification
4. Scope of work
5. Any other required documents per the RFA or Sponsor Guidelines
 | If more than one subagreement, create folder for each participating subrecipient within the Subagreement Documents folder | Files may be named as submitted by subrecipient |
| **OSP Review and Internal Docs *(required)*** | 1. Approvals or waivers
2. Review-related correspondence between dept. and Central Administrator
3. Current / Pending Support Report from GMAS used at time of proposal submission (if applicable)
4. Internal budgets
 | Emails or forms regarding:Provost criteria, review and approval, IDC waivers, Exceptions to review deadline, School-level review docs like “Dean’s Approval Questions” | **Naming Convention**: Doc Name\_YYYY-MM-DD**Example**: Provost Approval\_2021-06-13 |
| **Pre-Award Sponsor Requests (when GMAS JIT request is *not* used)** | All documents submitted post submission and prior to award when GMAS JIT request is not used.  | Submitted documents may include:* Revised Budget
* Required forms e.g., W-9
* Correspondence with review comments and any other one-off emails where final decisions were made.
 | **Naming Convention:** Doc Name\_Draft or Final\_YYYY-MM-DD**Examples**: Form Name\_ Submission\_Final\_2021-03-13 |
| **Reps & Certs** | 1. NASA certifications,
2. Certifications regarding lobbying
3. DoD Assurances and Certifications
4. ACORN
5. Organizational COI
6. “SETA”
7. PhD granting institute, etc.
 | N/A | **Naming Convention**: Doc Name\_Draft or Final\_YYYY-MM-DD**Example:** NASA Certs\_Final\_2021-09-13 |
| **Pre-Proposal** | 1. Guidelines
2. Proposal
3. Budget
 | N/A | **Naming Convention**: Doc Name\_Draft or Final\_YYYY-MM-DD**Example:** LOI\_Final\_2021-04-05 |

Table 3: JIT Request Repository

|  |  |  |  |
| --- | --- | --- | --- |
| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| **No Folder** | All documents submitted to sponsor in connection with JIT, including:* Both signed and “flattened” copies of final OS forms for all Key Personnel (NIH only)
* Copy of JIT package submitted to sponsor
 | Submitted JIT request may include:* Downloaded JIT request from eRA Commons (NIH only)
* Revised Budget
* Relevant training/approval documentation (e.g., IACUC, IRB)

Correspondence with review comments and any other one-off emails where final decisions were made | **Naming Convention:** Doc Name\_Draft or Final\_YYYY-MM-DD**Examples**: JIT Submission\_Final\_2021-03-13Other Support\_Final\_2021-03-12 |

Table 4: Subagreement Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **No Folder (each sub is individually linked)** | 1. Fully signed subagreement (with completed FFATA attachments, if applicable)
2. Fully signed modifications(s) when applicable
3. Revised versions of budget, SOW, contact information
4. Correspondence with subrecipient
 | N/A | **Naming Convention:** FEA or Amend-1,2, etc\_Name of Sub Org\_FE Date of Award or Amend**Examples**: FEA\_U of Chicago\_2021-05-05Amend-1\_U of Chicago\_2022-05-01**Naming Convention:** Budget\_Name of Sub Org\_YYYY-MM-DD**Example**: Budget\_U of Chicago\_2021-05-04**Naming Convention**: Sub Org\_Descriptor of Type of Correspondence\_YYYY-MM-DD**Example:** U of Chicago\_reporting terms \_2021-04-03 |

Table 5: Segment Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **Cost Transfers** | 1. Approved Cost Transfer form (under 90 days)
2. Approved Cost Transfer Form Over 90 Day
 | Folder may be created by departments to retain approved cost transfer documentation. OSP recommends that documentation of approved cost transfers be retained in GMAS.*Use description to clearly ID over or under 90 day.* | **Naming Convention**: Doc Name\_YYYY-MM-DD**Examples**:Under 90 Days\_2021-07-13Over 90 Days\_2021-06-13 |
| **Revised Budgets** | Revised budgets created after the award has been set up that are not linked to a specific request | N/A | **Naming Convention**: Name of Doc\_PI Last Name\_PI First Initial\_YYYY-MM-DD**Example**: Equipment Re-Budget Approval\_Bellono\_N\_2021-01-10 |
| **Closeout Documentation** | 1. Closeouts Reports
2. Final Invention Statements
 | N/A | **Naming Convention:** Name of Doc\_PI Last Name\_PI First Initial\_YYYY-MM-DD**Examples**:Invent State\_Bellono\_N\_2021-02-03Outcomes Rpt\_Bellono\_N\_2021-03-01 |

Table 6: Edit Research Team Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **No Folder** | 1. Effort reduction back-up documentation
2. Correspondence with sponsor
3. Sponsor approval
 | N/A | **Naming Convention**: Name of Doc\_PI Last Name\_PI First Initial\_YYYY-MM-DD**Examples:**Effort Approval\_Bellono\_N\_2021\_05\_06 |

Table 7: Cost Sharing Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **No Folder** | See [Cost Sharing Procedures Guide](https://osp.finance.harvard.edu/files/cost_sharing_procedure_guide_april_2020.pdf) for identification of required Cost Sharing Documentation  | N/A | N/A |

Table 8: International Activities & Collaboration Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| ICAA | 1. Completed [Checklist for GMAS Entry](https://ari.hms.harvard.edu/sites/g/files/mcu761/files/assets/GMAS%20International%20Questions%20Checklist%20optimized.pdf) (optional)
2. Supporting correspondence/ documentation substantiating review when applicable
 | N/A | **Naming Convention:** Descriptor of Type of Correspondence or Doc\_YYYY-MM-DD**Examples:**Checklist\_2021-11-01Final consensus email\_2021-11-05 |

### For OSP Use Only

These documents are only uploaded by OSP.

Table 9: Sponsor Notice Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **Notice** | 1. Final or fully signed version of the award notice
2. Agreement or modification
3. Activation Notice (for NIH fellowships)
 | N/A | **Naming Convention**: Award #/Amendment #/Mod #/Action Descriptor\_PI Last Name\_PI First Initial\_Date of Notice**Example:** 5R00DK115879\_Bellono\_N\_2021-01-10 |
| **Sponsor Correspondence** | 1. Correspondence with sponsor (clarifications of award terms, etc.)
 | N/A | **Naming Convention**: Descriptor of Type of Correspondence\_YYYY-MM-DD**Example:** NSF Email on Terms\_2021-04-03 |
| **Awarded Budget** | 1. Revised budget (submitted or internal)
2. Breakdown of budget amounts by account when awarded budget is different than the submitted budget.
 | A revised budget is often necessary when the proposed budget has been significantly reduced upon award.A budget breakdown (typically Excel) is only needed when there will be more than one account. | **Naming Convention:** Doc Name\_Draft or Final\_YYYY-MM-DD**Example:** Revised Budget\_Final\_2021-04-04 |

Table 10: Segment Repository

| **Folder** | **Documents in folder** | **Additional Notes, Examples** | **Naming Convention Example** |
| --- | --- | --- | --- |
| **FFATA Reports** | 1. Issued FFATA Reports
 | Folder will be created by OSP Senior Sponsored Programs Administrator where applicable.  | **Naming Convention**: FFATA\_FAIN#\_Fund#\_Date**Example**: FFATA\_KL2TR002542\_153186\_2021-09-18 |