# Supplement and Augment Proposal Submissions Business Process

Effective Date: 9/15/2021

Last Updated: 08/12/2021

Document Owner: Awards Management Team Manager

## Overview

This process outlines how to review and submit a supplement or augment request to an external sponsor, including the following high-level activities:

* Minimum documents required from the department to trigger the supplement review process
* Using the supplement checklist as a guide for a full proposal review
* How to handle a supplement that has already been submitted to the sponsor, but was never locked and routed through GMAS (“retro” proposals)

## Scope

This document details how a supplement or augment request is initiated in GMAS, the review criteria employed by proposal reviewers, and final documents that should be uploaded to GMAS once the final request has been submitted. A supplement is defined as a request for funds that were not originally anticipated to be added to an existing sponsored project. An augment is defined as a request for funds *and time* that were not originally anticipated to be added to an existing sponsored project.

## Roles & Responsibilities

**Department Administrator (DA):** completes the GMAS record; assigns all required department and school reviewers in the approval route; uploads draft proposal documents (including draft budget, statement of work, and sponsor guidelines) for OSP review; ensures changes recommended by the awards management team member have been made prior to proposal submission to the sponsor.

**Reviewer – Awards Management Team, Sr. Grants & Contracts Specialists (GCS):** reviews the GMAS record and draft proposal documents; recommends changes to DA to ensure smooth proposal submission; submits final proposal to sponsor; uploads final proposal documents to GMAS.

## Additional Resources

* [View Guidance on Requesting a Supplement](https://osp.finance.harvard.edu/supplement)
* [View Supplement Review Checklist](https://osp.finance.harvard.edu/supplement#SupplementAugment)
* [View RAS Review Criteria](https://research.fas.harvard.edu/ras-review-criteria)
* [GMAS Document Guidelines](https://osp.finance.harvard.edu/organizing-files)

## Process Steps

### Lock and Route GMAS Record:

The DA locates the original award record in GMAS. From the segment home page, the DA selects “Actions” and then “Create Request” and chooses the request type “Supplement.” The DA answers compliance questions and uploads (at a minimum) the following documents:

* Budget (If a department does not have a budget template, they should use the budget and budget justification templates located [on the OSP Budget webpage](https://osp.finance.harvard.edu/budget).)
* Budget Justification
* Statement of Work/Proposal
* Sponsor Guidelines
* All administrative and programmatic elements as required by the sponsor
* Any other forms/documents such as representations and certification that are required by the sponsor and require institutional signature

If the supplement includes a request for extension of the period of performance (augment), **the DA should note that in the comments section.** While a supplement request cannot have a period of performance out of synch with the original award period of performance, this can be changed once the award is received from the sponsor.

#### Retro Supplements

While discouraged, there are instances in which the DA has a need to submit a “retroactive” (or “retro”) supplement request. A retro supplement is one that has already been submitted to the sponsor, without OSP approval. In addition, there are some cases in which a PI may have conversations with a sponsor and a funder makes a verbal or written (via draft contract or email) guarantee of supplemental funding.

In both cases, the DA should create a GMAS request from the original award’s segment, answer compliance questions, and upload the minimum required documents (as outlined above) to trigger OSP review. If sponsor guidelines are not available (i.e., funding is based on conversations between the sponsor and PI, not a formal funding announcement), the DA should upload any relevant correspondence between the PI and sponsor or the draft amendment (if applicable).

### GCS Reviews Supplement Request:

The GCS reviews the supplement and GMAS record in accordance with the [supplement review checklist](https://osp.finance.harvard.edu/supplement#SupplementAugment). The GCS sends the DA a list of recommended and required changes to the proposal record, utilizing the categories in the supplement checklist to draft the email.

The GCS includes additional individuals in the route, depending on the supplement request. The following are common scenarios that require additional approvers to be added:

* ***Grants and Contracts Officer (GCO)*** – If the sponsor requires Harvard to agree to terms and conditions, as part of the supplement submission, the supplement must be reviewed and approved by the OSP GCO. In this case, the GCS will open a ticket in JIRA and request GCO approval. In cases where the terms and conditions are the same as the original agreement, however, the GCO is not required to re-review.
* ***Research Administration Services (RAS)*** - For supplements within FAS and SEAS, if certain criteria are met ([view RAS Review Criteria](https://research.fas.harvard.edu/ras-review-criteria)), the supplement must include the RAS Dean/Designee for approval.

During the GCS review, if it is determined that one of the following criteria are met within the GMAS supplement request, the request will be retracted by the GCS and sent back to the DA for resubmission:

* **Research Team** members listed are incorrect and requires additional personnel to be added
* **Cost Sharing** was not originally included in the request, but should have been, or was incorrectly completed
* **The International Collaboration Activities** section was not completed or was completed incorrectly
* **The subcontract module** was not completed when a subcontract is included in the request
* Addition of **Interfaculty Involvement**
* Substantial edits to the **Proposed Budget Module**. These are edits beyond simple adjustments of a few dollars. Edits to multiple years or edits due to revised costing categories or indirect cost calculations will result in retraction.

### DA Revises Supplement Request:

The DA receives the recommended and required changes and updates the GMAS record and/or uploads revised documents.

### Supplement Submission:

In most instances, the GCS will submit the supplement request through the sponsor’s system. There are some cases, however, when the DA will submit the supplement request if the PI is required to submit through the sponsor’s system. In these cases, the DA will submit the supplement request once the GCS has approved the supplement request in GMAS and email the sponsor notification of receipt of the supplement request to the GCS.

The GCS will upload the final documents to GMAS:

* Final Submitted Supplement Request
* Final Budget
* Correspondence with review comments and any other one-off emails where final decisions were made

The GCS will change the status of the GMAS record to Submitted to Sponsor.

The supplement submission process is now complete.

### Monitoring Activities:

To ensure success of this process, the Awards Management Team Manager will engage in periodic monitoring activities. The purpose of these monitoring activities is two-fold: 1) monitoring will ensure full adoption of the new process and use of new tools and 2) monitoring should catch inconsistencies early, allowing the Manager to alter the process as needed or provide additional training to team members. Below are suggested monitoring activities for this process:

* Periodic review of GCS supplement review comments to ensure they are adhering to the supplement review checklist
* Input from high-touch schools and departments to understand if greater transparency (via the supplement checklist) is creating clearer expectations from OSP

## Document History

Table 1 Document History

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| Version | Date | Author | Rationale |
| 1.0 | 07/30/2021 | J. Lee | Initial |
| 2.0 | 08/12/2021 | J. Lee | Edited to reflect final decision to use only Supplement request type for augments. |
| 3.0 | 12/8/2021 | J. Lee | Reviewed changes from Megan Murphy and updated |