

MEMORANDUM

TO: FAS Department Administrators & SEAS Area Directors with SAO Affiliations

CC: Sarah Axelrod, Pam Baker-Webber, Leanne Chaves, Jennifer Lech, Ben Marcinek,
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FROM: Pat Fitzgerald, *Associate Dean for Research Administration, FAS Research Administration Services*
Zoë Fonseca-Kelly, *Assistant Dean for Science, Faculty Affairs*

DATE: March 24, 2020 (This memo supersedes the previous memo from Nov 8, 2018)

SUBJECT: SAO Appointees with Harvard University Appointments

The following memo defines the process for FAS departments or centers and SEAS areas that have Smithsonian Astrophysical Observatory (SAO) Appointees or intend to include SAO Appointees on sponsored funding proposals. Every SAO/Harvard Appointee must have completed and have approved the “SAO Request to Submit or Participate in Proposal through Harvard FAS/SEAS” form. This information supplements the MOU between Harvard and the SAO. When a SAO Appointee is intending to submit a sponsored funding proposal through Harvard, the following procedures must occur:

1. For each proposal, the SAO Appointee must complete the “SAO Request to Submit or Participate in Proposal through Harvard FAS/SEAS” form. This form must be submitted at least 30 business days prior to the proposal submission deadline to the SAO Deputy Director.
2. If the SAO Deputy Director approves a proposal for submission through Harvard, he/she will send the form to FAS/SEAS Faculty Affairs for approval. Faculty Affairs will coordinate with RAS to confirm capacity for effort proposed. Faculty Affairs will then inform the SAO Appointee, and the “form” cc list, that the proposal submission can proceed. Harvard reserves the right to perform a programmatic overlap review as needed.
3. The Appointee’s Harvard department/center/area will upload the final signed form into the GMAS initial request document repository.
4. The proposal must be routed in GMAS per standard policy, at least 5 business days in advance of the proposal submission deadline. Failure to comply with this deadline cannot guarantee proposal submission

Post-award Process

1. SAO Appointees who are compensated for work on sponsored projects through Harvard must certify (manually) quarterly effort certifications in addition to annually certifying effort certification statements. Manual quarterly effort statements will be provided to the SAO Appointee by the department/area/center grants manager and will be obtained and reviewed by RAS Research Finance. The manual quarterly process will align with the University effort certification deadlines. SAO Appointees will then electronically certify their annual effort certification statements in the ecrt system during the annual cycle.

2. For SAO Appointees where effort on the Harvard award is fulfilled through their SAO appointment, OSP research finance will schedule a non-financial report to collect an effort certification letter from SAO confirming work performed for every budget year. The report will be scheduled in GMAS at award set-up. This will automatically notify the Harvard department administrator, who will then contact the SAO Deputy Director to obtain the certification letter. Upon receipt, the department administrator will upload the certification letter to the GMAS segment document repository.

Important Reminders:

1. SAO Appointees are required to make an explicit effort commitment on all Harvard proposals (including subawards) where the SAO Appointee is fulfilling effort as part of their Harvard appointment.
***Note:** Quantifiable effort is an explicit amount of person months made in a sponsored funding proposal. It may not be listed as hours or dollar amount only. The quantifiable effort proposed must align with the scope of work. If a proposal is awarded that included quantifiable effort, that quantified amount becomes a commitment that must be tracked and monitored throughout the life of the award.*
2. SAO Appointees fulfilling effort as part of their Harvard appointment should be aware of OSP's re-budgeting policy (>25% / 3 months absence from the project).
3. SAO Appointees are not permitted to be listed in any capacity on a Harvard proposal or subaward without a quantifiable effort commitment on a sponsored award.
 - a. Grant managers should escalate for review, to RAS and OSP any awards for which there are no salary charges or cost sharing assigned in any one quarter to determine whether there has been a reduction or reallocation of effort, change in circumstances (e.g. unforeseen delay in the project), etc.
4. The off-campus rate will apply to awards where activities are performed in facilities not owned or operated by the institution or to which rent is directly allocated.