



HARVARD UNIVERSITY
Information Technology

Research Management Meeting

2/10/2021

OAIR Summary

The Outside Activity and Interest Reporting application for faculty and Investigators:

**Relationships
that constitute
outside professional
activities**

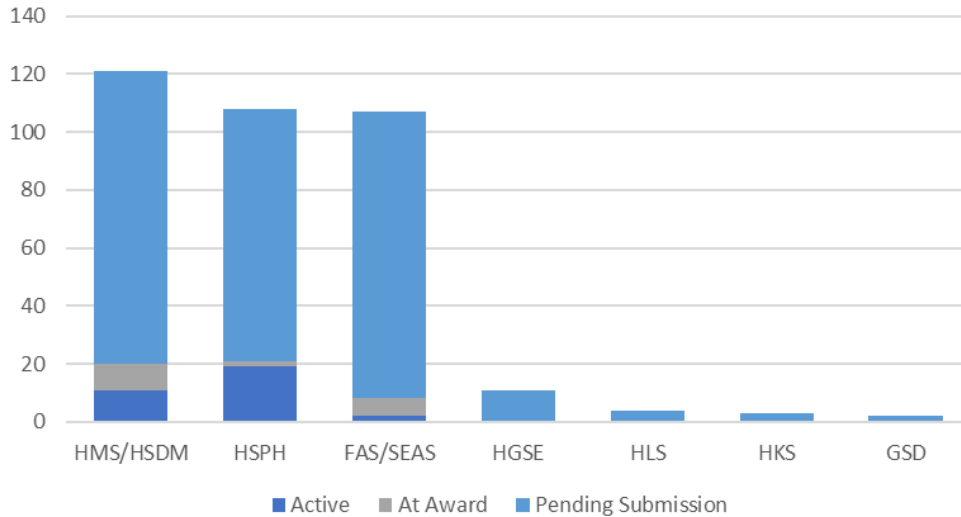
**Relevant interests
(such as equity
holdings, ownership,
and fiduciary
Relationships)**

Guidance on [“What to include?”](#)

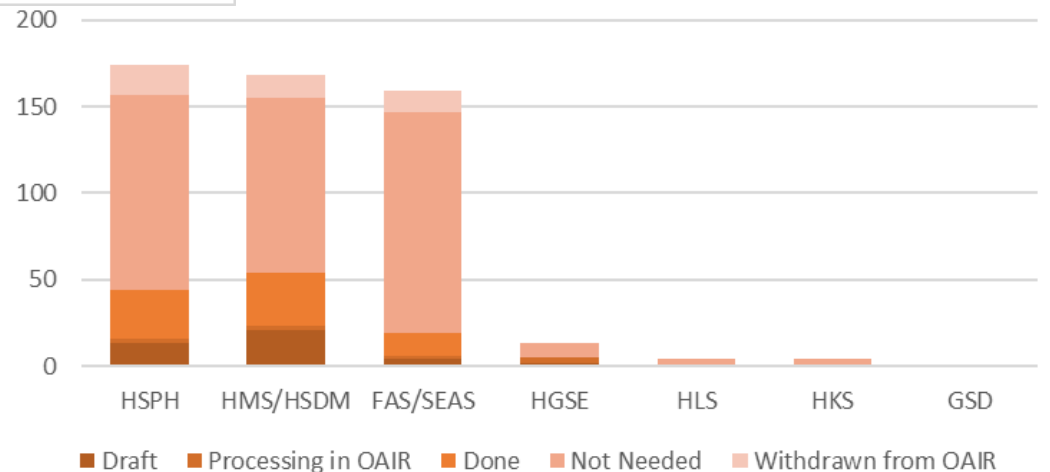
OAIR + GMAS Integration Counts

January 15-February 7

GMAS Segments Processed in OAIR
356 Total



GMAS Approvals Evaluated in OAIR
523 Total



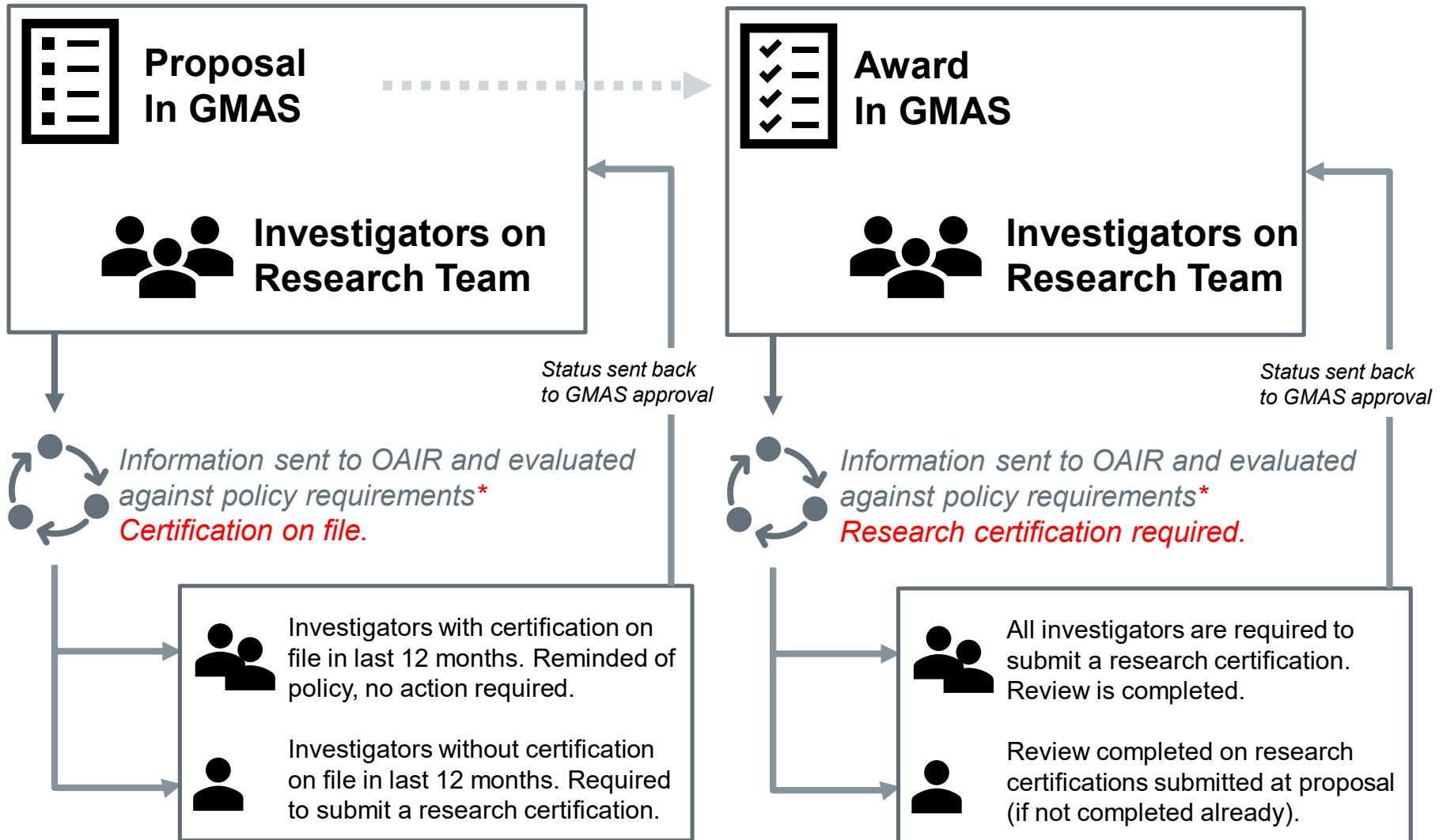
OAIR Submission Counts

January 15-February 7

Certification Type & Status by School	FAS/SEAS	HGSE	HMS/HSDM	SPH	Total
Research Initiated Update (GMAS Integration-Initiated)					
Draft (not yet submitted)	4	2	25	9	40
Administrative Review	2	3	1	1	7
Administrative Review: Response Pending			2	1	3
No Review Required	11		18	10	39
Review Complete	4		11	18	33
Withdrawn (discarded from consideration)			9	2	11
	21	5	66	41	133
Disclosure Update (Faculty Initiated)					
Draft (not yet submitted)	3		10	3	16
Administrative Review	5		1	2	8
Administrative Review: Response Pending			3	2	5
No Review Required	2		4	4	10
Review Complete	3		8	6	17
Withdrawn (discarded from consideration)	1				1
	14		26	17	57
Annual Certification (FAS Cycle Initiated Feb 1)					
Draft (not yet submitted)	710				710
Administrative Review	177				177
Administrative Review: Response Pending	4				4
No Review Required	335				335
Review Complete	9				9
Withdrawn (discarded from consideration)	3				3
	1238				1238
Grand Total	1273	5	92	58	1428

GMAS + OAIR Integration

High-level summary



**Investigators responsible for the design conduct or reporting on HMS or PHS+ projects are subject to these requirements.*

OAIR + GMAS Resources

GMAS

- GMAS Job Aid
<https://gmas.fss.harvard.edu/outside-activity-and-interest-reporting-oair-and-gmas-integration>
- GMAS Release Overview
<https://gmas.fss.harvard.edu/news/gmas-release-156>
- GMAS Blog
<https://gmas.fss.harvard.edu/blog>
- GMAS Help:
contactgmas@harvard.edu

General

- eNews
<https://admin-eneews.eureka.harvard.edu/>

OAIR

- OAIR Fact Sheet
https://ras.fss.harvard.edu/files/ras/files/oair_project_-_fact_sheet.pdf
- OAIR Job Aids
<https://ras.fss.harvard.edu/oair-job-aids>
- OAIR Info Sessions (for OAIR users):
<https://ras.fss.harvard.edu/calendar>
- Investigators without HUID
https://ras.fss.harvard.edu/files/ras/files/oair_guidance_-_investigators_without_a_harvardkey.pdf
- OAIR Help: oirhelp@harvard.edu

OVPR

- Policy and definitions
<https://vpr.harvard.edu/OAIR>



WAIT@HARVARD

WEB-BASED AGREEMENT IDENTIFICATION TOOL



WHY “WAIT”?

- Defining the ‘Problem of Contracts’:
 - Legal agreements impact University researchers and administrators on a daily basis;
 - Agreements are non-standard and arrive on campus through varied avenues; and
 - Workflow processes and associated compliance efforts are only effective if agreement types are properly identified.

WHY “WAIT”?

- **WAIT** is a **W**eb-based **A**greement **I**dentification **T**ool designed to assist the research community with the accurate identification and routing of legal agreements at their university, reducing business risks and resulting in more efficient review.
- Funded by NCURA and developed at Harvard, **WAIT** is structured around a series of yes/no questions that eliminates the need for specialized contracting knowledge, enabling institutional adopters to realize three immediate benefits:
 - a reduction in delays in the contract negotiation process;
 - Less time spent by university officials triaging and re-routing misidentified legal agreements within their institutions; and
 - Enhanced customer service and administrative transparency, at little or no cost to the university.

DESIGN AND IMPLEMENTATION

Using Harvard's Legal Agreements Workflow as a reference, WAIT currently provides identification and routing information for the following agreement types:

Sponsored Research Agreements

Non-funded Agreements

Service Agreements

Data Use Agreements

Material Transfer Agreements

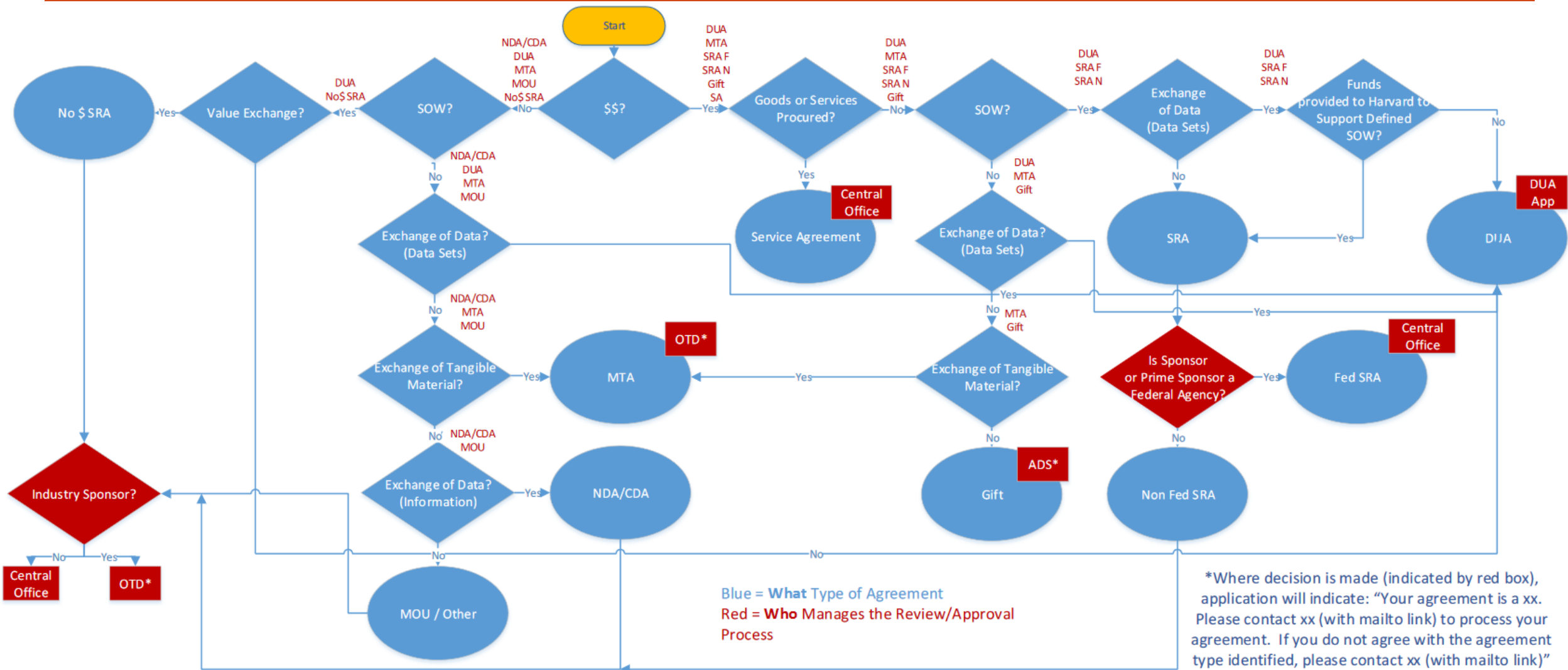
MOUs

Gifts

Non-disclosure Agreements

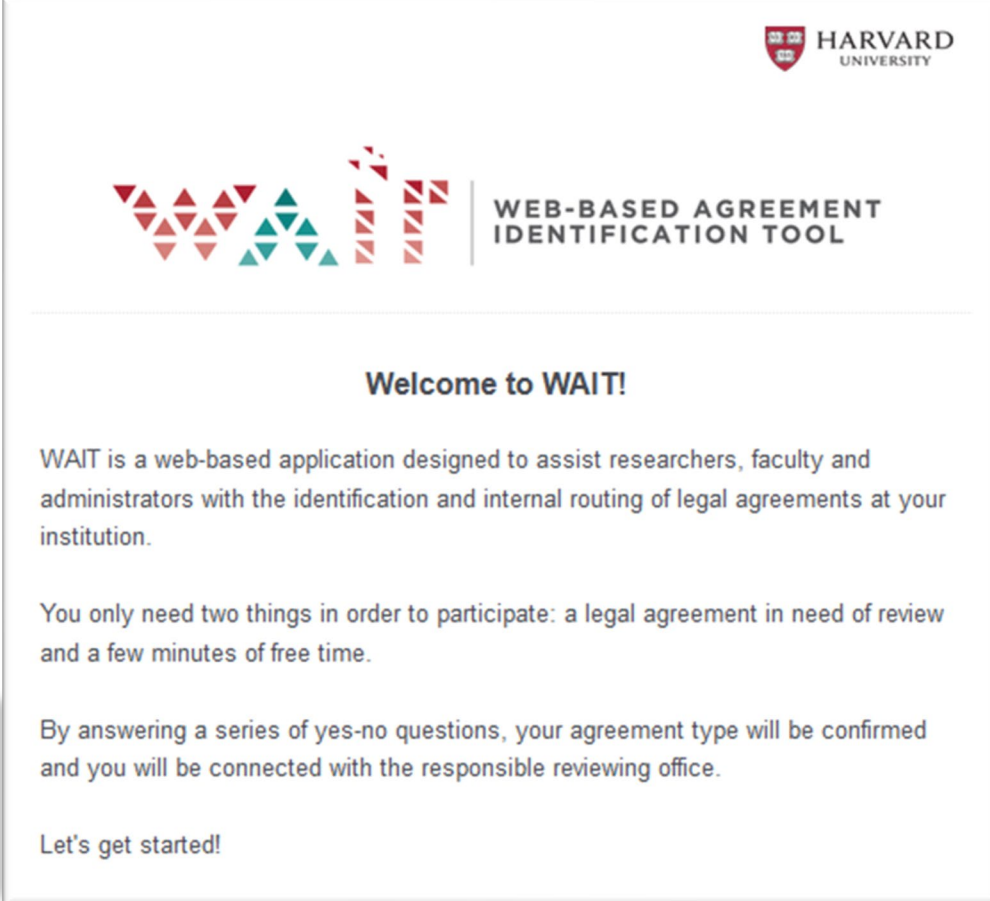
- Each of these agreement types is distilled into identifiable components (e.g., includes funding, incorporates a defined statement of work) that form the basis of the WAIT decision tree.
- The decision tree logic was tested in three different phases, involving research administrators across the University (UAT, HMS and SPH).

DESIGN AND IMPLEMENTATION



DESIGN AND IMPLEMENTATION

And now for a live demonstration....



The screenshot shows the top of the WAIT interface. In the top right corner is the Harvard University logo. Below it, on the left, is a decorative graphic of colorful triangles (red, green, and blue) arranged in a pattern. To the right of this graphic is the text "WEB-BASED AGREEMENT IDENTIFICATION TOOL". Below this header is a horizontal line. Underneath the line, the text "Welcome to WAIT!" is centered. Below that, there are three paragraphs of text explaining the tool's purpose and how to use it. The text is as follows:

HARVARD UNIVERSITY

WEB-BASED AGREEMENT IDENTIFICATION TOOL

Welcome to WAIT!

WAIT is a web-based application designed to assist researchers, faculty and administrators with the identification and internal routing of legal agreements at your institution.

You only need two things in order to participate: a legal agreement in need of review and a few minutes of free time.

By answering a series of yes-no questions, your agreement type will be confirmed and you will be connected with the responsible reviewing office.

Let's get started!


KEY TAKEAWAYS

- Accurate agreement identification and routing is integral to Harvard's sponsored reporting and compliance efforts.
- WAIT is designed to streamline agreement triage and review, improving the level of service offered to our research community.
- WAIT remains adaptable to Harvard needs and can be readily customized to include a broader scope of agreements or otherwise revise the existing workflow information.

NEXT STEPS



- Upon the launch of WAIT in late February/early March 2021, a link to the tool, demo video, and associated User Guide will be available on the OSP website, along with an announcement on OSP Research Administration Listserv.
- Roadshow presentations will also be coordinated with interested offices.
- The project team will maintain a dedicated Inbox (WAIT_assist@Harvard.edu) for questions and suggestions for process improvement.



Updates to
Procurement Policy
&
Sponsored Cost
Allocation Methodology
Guidance

Research Management
Meeting
February 2021

Procurement Policy changes

New Contract Thresholds – Effective January 1, 2021, higher bid thresholds, reducing formal bid process requirements.

Harvard Preferred Vendors – Require two or more quotes on federal funds for purchases >\$50,000.

- Purchases over \$50,000 on federal or cost-share funds require a completed Vendor Justification Form (VJF) even when using a Preferred Vendor.

Updated Vendor Justification Form (VJF) – clearer and easier to use with examples. Schools must upload a completed VJF into the Buy-to-Pay (B2P) System for any federal or cost-share purchases over \$50,000 or select appropriate drop-down explanation if no VJF is required.

Changes to Debarment Form Requirements – Debarment forms required only for purchases made with federal contracts, or cost-share accounts of \$35,000 or more.

Updated Procure-to-Pay Manual – updated manual will include guidelines regarding the proposal processes and contract template language.

Record Retention - The Buy-to-Pay System (B2P) will retain all materials uploaded into the system indefinitely. This includes the complete Buy-to-Pay suite; Supplier Portal, eProcurement/AP, Contract Management and Sourcing. Materials retained include the electronic record, invoice, vendor justification form, independent contractor questionnaire, and any other materials uploaded.

Decision Table for Vendor Justification and Debarment Forms

Please use the following table to determine the requirements for the Vendor Justification Form and Debarment Form. See the [Finding the Funding Instrument video](#) and the [Finding the Funding Instrument for Sponsored Awards job aid](#) to determine the funding mechanisms for awards.

Vendor Justification Form (VJF): a form used to justify sole source selection and cost or price analysis

Debarment Form: a form that allows Harvard to obtain written certification from vendors that they have not been debarred (prohibited) from doing business with the federal government

Table 1: Requirements for Vendor Justification Form and Debarment Form

	Grants & Cooperative Agreements	Contracts	Other Funding Mechanisms (OTAs, Other)
Debarment Form	No form required	Form required if \geq \$35K	Requirement varies. Based on Terms & Conditions (T&C) of award or if the award is subject to Federal Acquisition Regulations (FAR), debarment form is required if \geq \$35K
Vendor Justification Form (VJF)	Form required if $>$ \$50K	Form required if $>$ \$50K	Form required if $>$ \$50K

B2P System Workflow

In the procurement system, the following occurs for all purchases on federal funds:

- **At \$35K or greater** – the purchaser must make a selection indicating whether a form is required or not from the debarment form dropdown menu, failure to do so will prevent the requisition from entering the workflow. Requestors/purchasers will receive an email notification with selection options. Users must return to the requisition and make one of the following selections and resubmit.
 1. Yes, a form is needed – Required for funding subject to FAR or based on T&C of award.
 2. Not Applicable – Funding is Grant or Cooperative Agreement or not subject to FAR
 3. Not Applicable – Debarment Language included in Already Negotiated Agreement
 4. Not Required – Refund Payment

- **Greater than \$50K** – the purchaser must make a selection indicating whether a form is required or not from the VJF dropdown menu, failure to do so will prevent the requisition from entering the workflow. Requestors/purchasers will receive an email notification with selection options. Users must return to the requisition and make one of the following selections and resubmit.
 1. Yes, Attach VJF – Required for all Suppliers for Federal Purchases $>$ \$50,000
 2. Not Required – Federal Requisition Line Amount or Total Cumulative Order $<$ \$50,000
 3. Not Required – Billing Agreement Negotiated by School's Sponsored Office
 4. Not Required – Subcontract/Subrecipient Invoice Negotiated by School's Sponsored Office
 5. Not Required – Refund Payment

POLICIES AND GUIDANCE

ABSENCE MANAGEMENT GUIDANCE

ADMINISTRATIVE AND CLERICAL SALARIES ON FEDERAL AWARDS

AT-RISK ACCOUNT GUIDANCE

▶ CAPITAL EQUIPMENT: SUMMARY OF POLICY FOR CAPITAL EQUIPMENT IN SCHOOLS WITH SPONSORED RESEARCH

CONSULTING OR RELATED SERVICE AGREEMENTS

COST SHARING POLICY

▶ COST TRANSFER POLICY

EFFORT REPORTING POLICY

Procurement

It is a compliance requirement to follow the [University Procurement Policy](#) when procuring goods and services using sponsored funds. [Appendix B of the Procurement Policy](#) gives a high-level table summarizing purchasing procedures for standard purchases. Additionally, you should pay attention to individual sponsor award terms and conditions to ensure that award procurement requirements are noted and followed.

Note: An addendum to the Procurement Policy regarding debarment documentation requirements is effective 04/27/2020 and is available on the [Procurement Policy website](#). Please see the following resources:

- [Finding the Funding Instrument for Sponsored Awards](#) (.pdf document)
- [Finding the Funding Instrument](#) (video; login required)
- [The 5 Ws of the Debarment Form](#) (video; login required)
- [The 5 Ws of the Vendor Justification Form \(VJF\)](#) (video; login required)
- [Updates to the Procurement Policy \(info session recording\)](#) (video; login required)
- [Decision Table for Vendor Justification and Debarment Forms](#) (.pdf document)

Information found on the [OSP Procurement webpage](#)

Short video tutorials

Decision table from previous slide

Recording of Info session from 12/8/20



Sections of the Sponsored Cost Allocation Methodology Guidance include

Valid Criteria for an Allocation Methodology

Best Practices

Timing and Compliance Considerations

Unacceptable Practices

Documentation Practices

Appendix: table outlining common methodologies and examples across expense types

Review updates and register!

Attend training for the Sponsored Cost Allocation Methodology on 2/23, 11-12 AM

Attend training for updates on the Procurement Policy on 2/22, 2-3 PM