

Approvals and Electronic Routing Deployment Strategy (Proposed)

Phased approach over the course of the spring:

1. **March 27-April 6:** Book trainings in the GTF by department for Dept Admins and AP Staff to review document upload as needed. Demo new systems. **PLEASE complete this refresher/demo by end of day APRIL 6.**
2. **APRIL 6:** Departments begin uploading documents to the system for every submission. Dept Offices will ensure no Submission leaves the department without the minimum document list below.
3. **APRIL:** GCS begins uploading 'Agency Submission' and post-submission documents to each submission.
4. **April:** GCS/Depts define the distinction between documents for departmental reviewers vs full document history on the award record.
5. **April/May:** GCS begins uploading all pertinent award documents on awards.
6. **Early May:** Deploy new application with full routing capability but keep Emails going just to Helen. Departments continue to print Green Sheets. Depts continue to use GCS website 'Upload Proposal' for grants.gov/emailed submissions/internal calls. GCS continues to print Yellow Sheets. Dept Admins and #2s can approve/'approve (no sig)' using the desktop and web applications. GCS can approve using desktop and web applications. Turn off the approval for DOR \$250k+ for this phase.
7. **Late May/Early June:** Train the community (PIs, VPs, Dept Admins, those receiving notifications) on the use of the portal for approvals. How? Dept meetings? Brown bag lunches? Train Flex/Dept Admins to train their scientific staff? Online tutorials?
8. **Late May/Early June:** Turn email to users on. Transition mode: dual process/shadow? Don't require PI/VP electronic approval yet? Still use paper as primary?
9. **June (date TBD):** Stop printing Green Sheets/Yellow Sheets except for draft review purposes. Stop paper routing. Switch to electronic approvals and routing for Green Sheets and Award Notices (Yellow Sheets).

Submissions

Department

SUBMISSION LEVEL:

All Submissions must have the following document types uploaded to the SUBMISSION before Department routes the Submission for approval & signatures:

1. Submission Packet
2. WHOI Budget for DoR Review
3. Budget Justification (for Reviewers)
4. RFP if available. [per meeting on 3/26: changed to multiple docs of this type allowed.]

All Submissions will have a 'real' abstract or project summary that matches the submission packet for the funding agency entered on the Submission screen in the abstract box.

COSTSHARE CHECKBOX LEVEL:

If the submission has Cost Share, the Department must upload the following documents attached to the appropriate Cost Share CHECKBOX:

1. CS WHOI Approval Form
2. CS DoR Letter
3. CS Instructions if available
4. CS Backup if available (Example: Letter from source of costshare, eg, VP APO, Dept Chair)

We encourage you to attach other document types as they pertain to your submission.

If – after WHOI has submitted the submission to the agency – a department needs to update a file per agency request, please use Submission-level document type of ‘Post-Sbm Updates’. Departments and GCS can add this type of document to a Submission until it is awarded.

GCS

- Check Submissions for required documents. If documents are missing, GCS will contact the department to upload. GCS will not click ‘Submit to Agency’ until the department has made all necessary changes.
- Upload the Agency Submission or NSF Cover Sheet and all associated emails pertaining to the submittal of the submission

Awards

Depts and GCS need to discuss which elements are needed for Routing/Review as opposed to being available for viewing by Dept Admin on an award record in the desktop application.

What are the minimal documents that PIs and Dept Admins should be sent?

Dept Admin can already log into the awards system and view every document uploaded on the award.

So routing documents for Award Notice approvals need to be those items a PI needs for review. In general, Depts mentioned the Award Letter (or fully executed award document) and any special terms & conditions or deliverable requirements that are necessary for PI review/instruction. GCS will consider which other items should be available to reviewers/Pis on the web portal.

Once this discussion has happened, we can adjust document types for inclusion with Award Notices. All Award notifications/approvals will be adjusted to include only the documents specified above. All documents stored on the award record in the desktop application are viewable by the Dept Admin at any time.

Approvals on Awards are hierarchical. GCS Approval must occur before approvals are cut for the Dept Admins and coPis/Pis. Notifications to other groups (IACUC, Property, DNA, A/R, Security, etc) for awards will be cut at the same time as Departmental approvals.