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Introduction

This document provides step by step instructions on how to request, review, draft, negotiate and fully execute a subagreement or subamendment in GMAS.

This document does not include instructions for setting up the subrecipient in an initial proposal or other request type, nor the steps required to set up subagreement funds in a segment revision.

For the purposes of this document, the word “Subagreement” will be applied generically to both subagreements and subamendments. If a certain part of the process applies only to a subagreement or subamendment it will be identified specifically as such. For additional process information and definitions of all GMAS subagreement statuses as well as roles and responsibilities, please refer to the University Wide GMAS Subagreement Business Process.

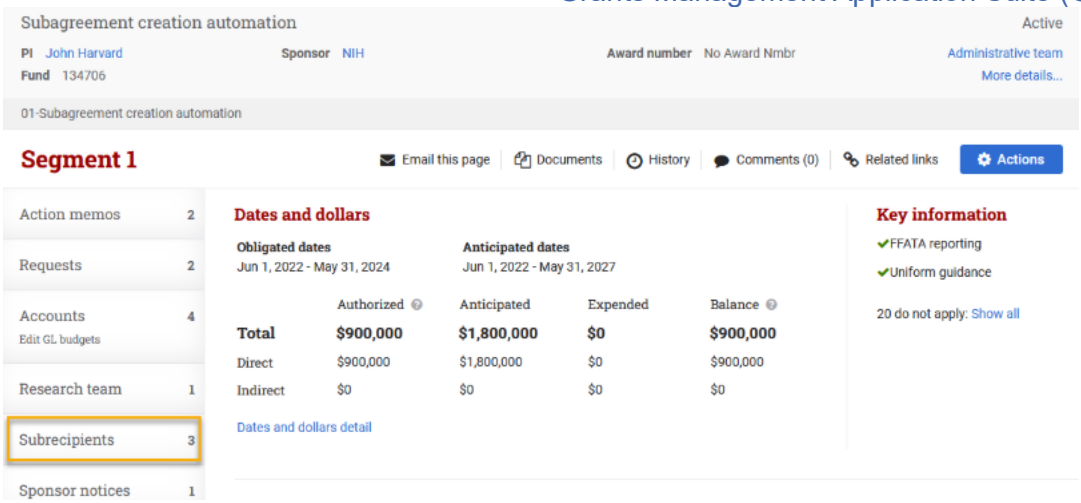
Pre-requisites

It is assumed that the reader understands the basic functionality and terminology of GMAS. It is also assumed that there is a basic understanding of outgoing subagreements.

Initiating a subagreement draft request

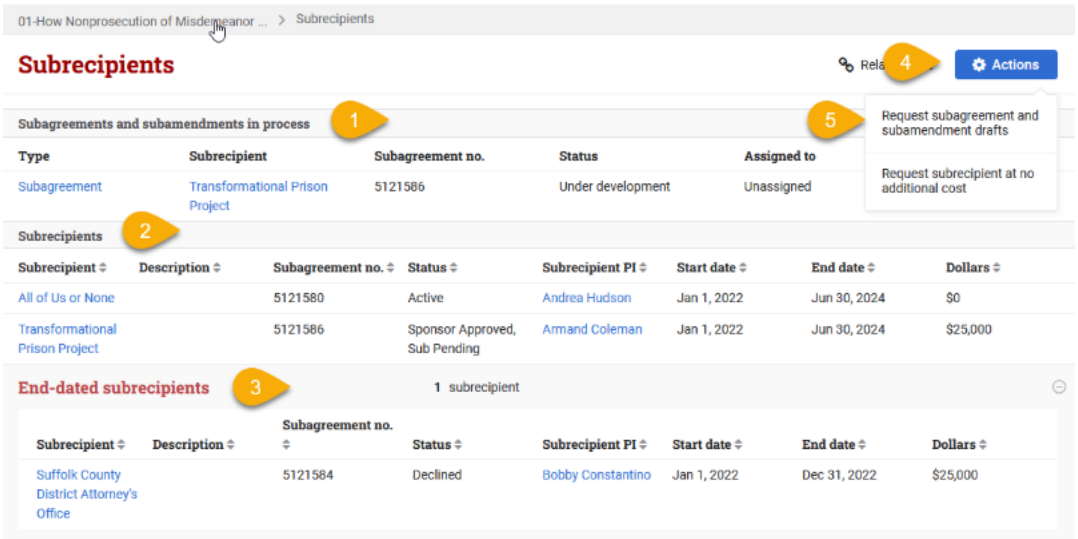
Subagreement draft requests may be initiated in GMAS once the related prime award has been submitted to sponsor. Schools may elect to wait unit the segment revision to award the funds has been completed.

From the segment homepage, select **Subrecipients** in the left navigation bar.



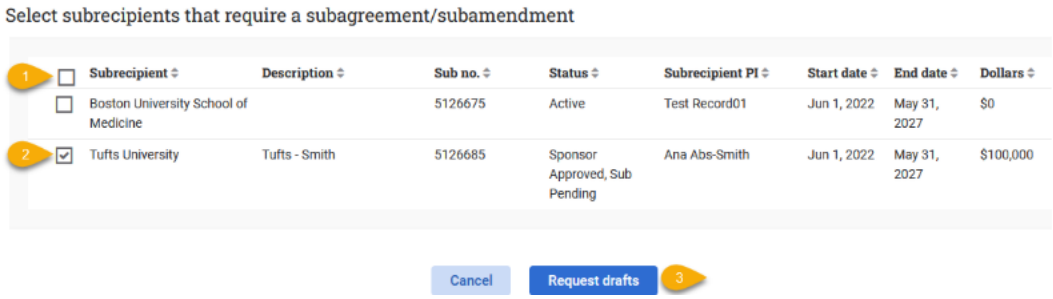
The Subrecipient list page is displayed:

1. If there are any subagreement or amendment drafts in process, they will be displayed in the **Subagreements and subamendments in process** section (this section does not appear if it is not applicable).
2. Any subrecipients associated with the segment that have anticipated end dates in the future are displayed in the **Subrecipients** section.
3. If a subrecipient has an anticipated end date that is in the past, it will appear in a panel at the bottom of the screen titled "**End-dated subrecipients**".
4. Click on the **Actions** button.
5. Select **Request subagreement and amendment drafts.**



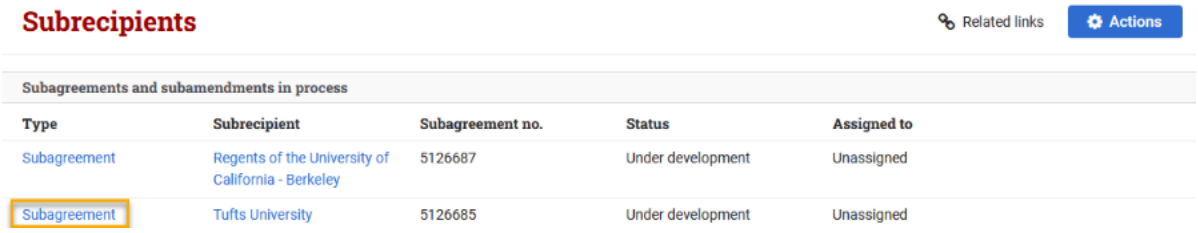
A modal is displayed that includes any subrecipient associated with the segment that does not have a draft request in process (including any end-dated subrecipients). Multiple subrecipients may be selected to initiate multiple draft requests at one time.

1. To select all subrecipients displayed, click the box next to subrecipient column header.
2. To select one or multiple subrecipients, click the box next to the subrecipient name.
3. Click on **Request Drafts.**



The selected subrecipient(s) are now displayed in the Subagreements and subamendments in process section in **Under development** status.

Click on the associated **Type** to go to the subagreement homepage and begin the draft request.



If working on a subamendment, go to Completing a Subamendment draft request.

Completing a subagreement draft request

On the subagreement homepage, note the following:

1. **The Status bar** reflects the status of "**Under development**". This bar will update automatically to reflect the status throughout the workflow.
2. **Completion Priority**: "Normal" is the default value but may be set to "High" by the draft requester. If set to "High", the rationale for the urgency must be

entered. The Central Reviewer will take this into account when prioritizing all subagreements in their queue.

3. **Actions Required**: Like other GMAS requests, you must complete each action required. After selecting "Edit", modals will be displayed with the data fields required to complete the request. Any information that was entered when creating the subrecipient record at proposal (or in other requests) will be pre-populated and may be updated at this point. Once the required data is entered, the "**Action Required**" is no longer displayed, and the data entered is displayed in a panel on the Subagreement homepage.

4. **Central Reviewer Comments**: Displayed for Central Administrators only. Send comment to another *Central Administrator* via automated GMAS notification by entering name(s). Names of those notified will be displayed in Comments panel.

5. **Comments:** Enter any comments that may be helpful as this draft moves through the workflow. Send comment to another GMAS user via automated GMAS notification by entering name(s). Names of those notified will be displayed in Comments panel.

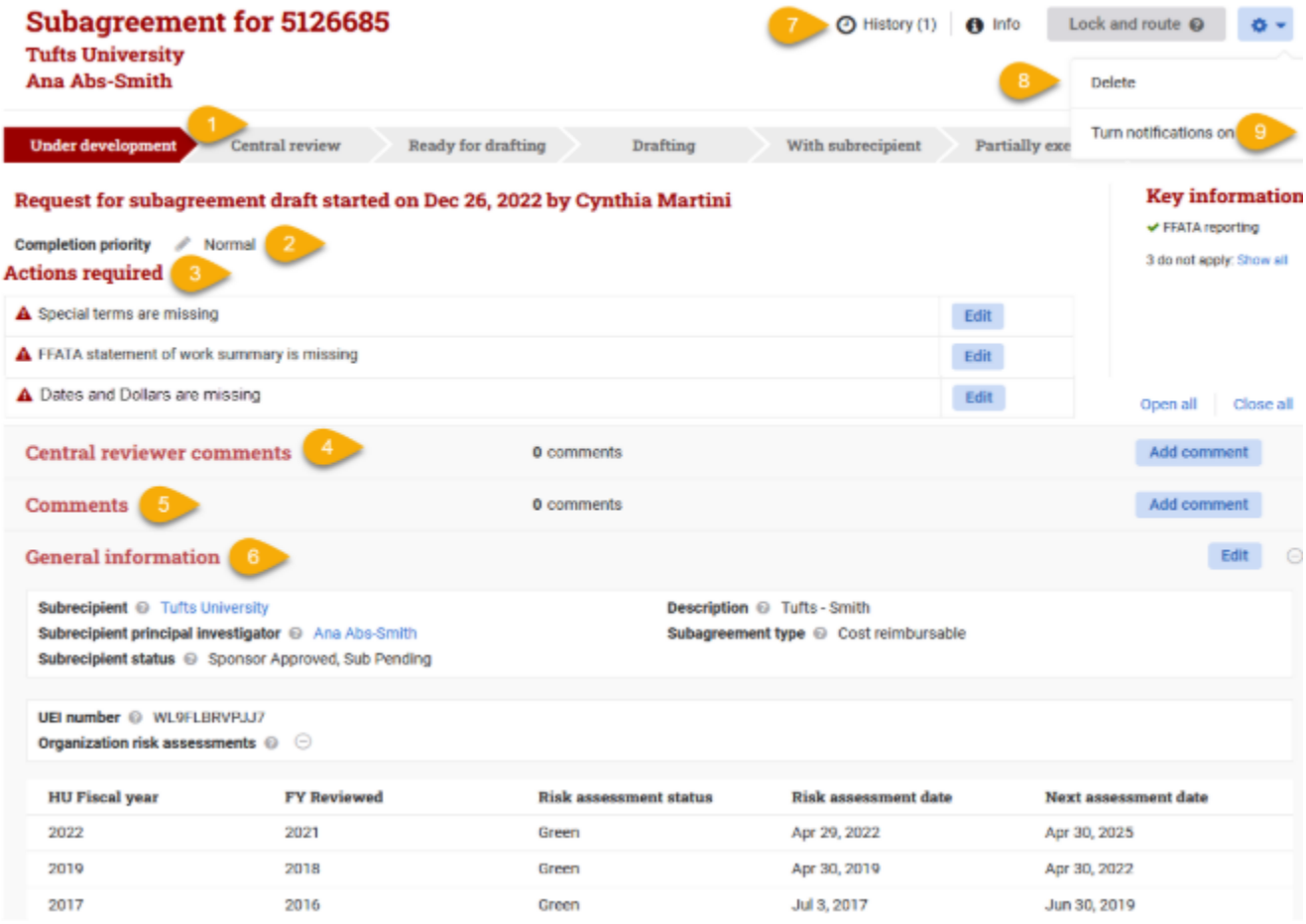
6. **General Information**: Data in this panel is pre-populated with information entered when creating the subrecipient record in a proposal (or in other requests). It may be updated by selecting "**Edit**".

a. **UEI and Organization Risk Assessment** are pulled in from the GMAS Organization record. They are displayed for information purposes and cannot be edited on this screen. For more details about the risk assessments, select the subrecipient link to go to the organization homepage.

7. **History**: Click to see a complete listing of all status transition related information during the life of the subagreement.

8. **Delete**: The subagreement draft request may be deleted when created in error at any point from Under development until Ready for drafting. A draft request may not be deleted once it has been moved to Drafting status.

9. **Turn notifications on**: Click to opt-in to notifications for all status changes and assignments for this specific subagreement or amendment. To opt-in to notifications at the portfolio level (receive notifications for specific events for all subagreements in your portfolio), click on your name in the red bar at the top of the page, then select **Notifications preferences** in the drop down. For details go to the Notifications Preferences job aid.

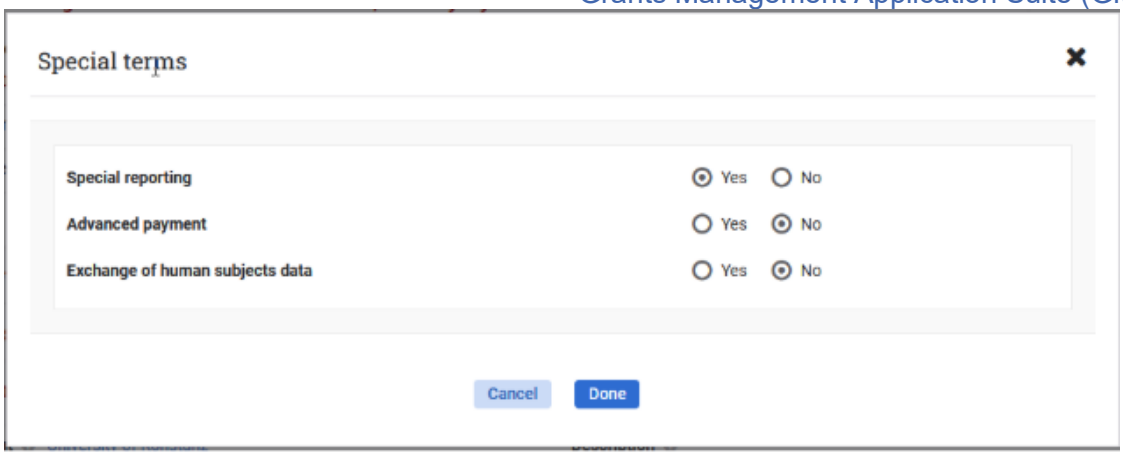


Actions required

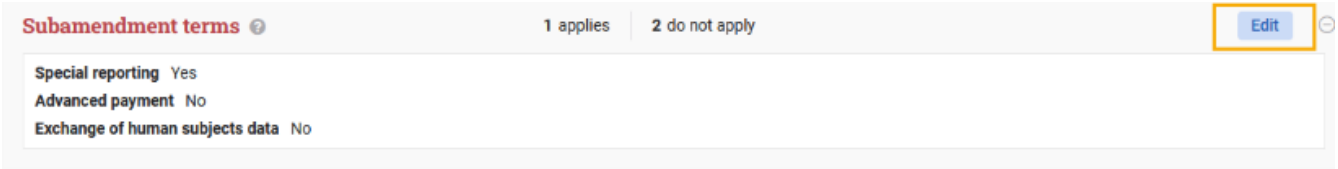
Special terms

After selecting **Edit** associated with the **Special Terms** Action Required, the Special terms modal will be displayed. Use radio buttons to indicate "**Yes**" or "**No**" for the following:

1. **Special Reporting**: Select "**Yes**" if there are any reporting requirements that are outside of the norm for Harvard subagreements – those beyond regular progress reports and a final report.
2. **Advanced Payment**: Select "**Yes**" if Harvard will pay subrecipient prior to completion of work rather than pay based on an invoice at completion of work or on a specific invoice schedule.
3. **Exchange of Human Subjects Data**: Select "**Yes**" if data is flowing from Harvard to subrecipient, subrecipient to Harvard, or both.



After selecting **Done**, the Special terms Actions Required is no longer displayed. Data entered is now visible in the **Special terms panel**. To make any further updates. select **Edit** and the Special terms modal will be displayed again for editing.



Dates and dollars

After selecting **Edit** associated with the **Dates and dollars Action Required**, the Dates and dollars screen will be displayed:

1. **Sponsor approved Dates and Dollars**: Displays the dates and dollars allowable by the sponsor (obligated) in a segment revision. If the award has not been set up this will display as Not applicable.
2. **Sponsor anticipated Dates and Dollars**: Displays the dates and dollars anticipated by the sponsor and anticipated in a segment revision. If the award has not been set up or if no bucket funds were anticipated, this will display as Not applicable.
3. ***Previously Issued (only visible on a subamendment)**: Displays the Issued start and end dates and the sum of amounts issued in any previously fully executed subagreements and subamendments from segment revision.*
4. **Number of Periods**: The number of budget periods will default based on how many budget periods funds have been held aside for the subrecipient in the segment revision. This number will default to 1 if the award has not been set up yet, or if the subagreement was activated prior to the February 27th release. The budget periods can be updated at any time to reflect the appropriate periods for

the subrecipient (they do not need to match the primary award number of periods).

a. If this is a simple subagreement and the department wants to set up only one budget period, it may be set to "1". The end dates will then be extended as each year's funds are issued.

b. For a more complex subagreement, multiple budget periods in line with those anticipated in the segment revision may be preferred. The subagreement budget is flexible to meet the department's needs. It does not need to match the structure of the primary awards dates and dollars (it just needs to remain within the confines of it).

5. **Anticipated start date**: For the first budget period, the Anticipated start date from the segment revision where money has been held aside is displayed and may be updated here using a date picker. Anticipated start dates for any subsequent periods default in as the day after the prior anticipated end date. They are editable to allow budgeting for potential gaps or overlaps in subagreement budget periods. If no money has been held aside yet, the field will be null; enter the date(s).

6. **Anticipated end date:** Anticipated end dates from the segment revision where money has been held aside are displayed and may be updated here using the date picker. If no money has been held aside yet, the field will be null; enter the date(s).

7. **Anticipated dollars**: Anticipated dollars from the segment revision where money has been held aside are displayed and may be updated. If no money has been held aside, the field will be null; enter the dollars.

8. **Issued start and Issued end dates**: Enter the start and end dates for the period for which you are requesting funds to be issued.

a. If the dates and dollars are all in one budget period, the end date would be increased, but the start date would remain the same.

b. If the dates and dollars are broken into separate periods, the start and end dates for the next period can be entered.

9. **Issued dollars**: Enter the amount that you are requesting to be issued.

a. *For a subamendment, if a subrecipient budget was initially set up with only one budget period, to issue additional dollars in subsequent years, simply update the Issued end date and the Issued dollars (which should reflect the* ***total amount issued to date*** *including this amendment).*

10. **Carryforward**: If unused sub funds will be carried forward from one budget period to another, enter a negative amount in the budget period the funds are coming from, and a positive amount in the budget period the funds will be going to.

a. This field is present whether the project has been set up as task or year logic but does not apply if the project is task logic.

11. **Total**: Reflects the earliest Anticipated start date, the latest Anticipated end date, total anticipated dollars, and same information for Issued dates and dollars. The total for Carryforward should always = zero (unless dollars were carried forward from a prior segment).

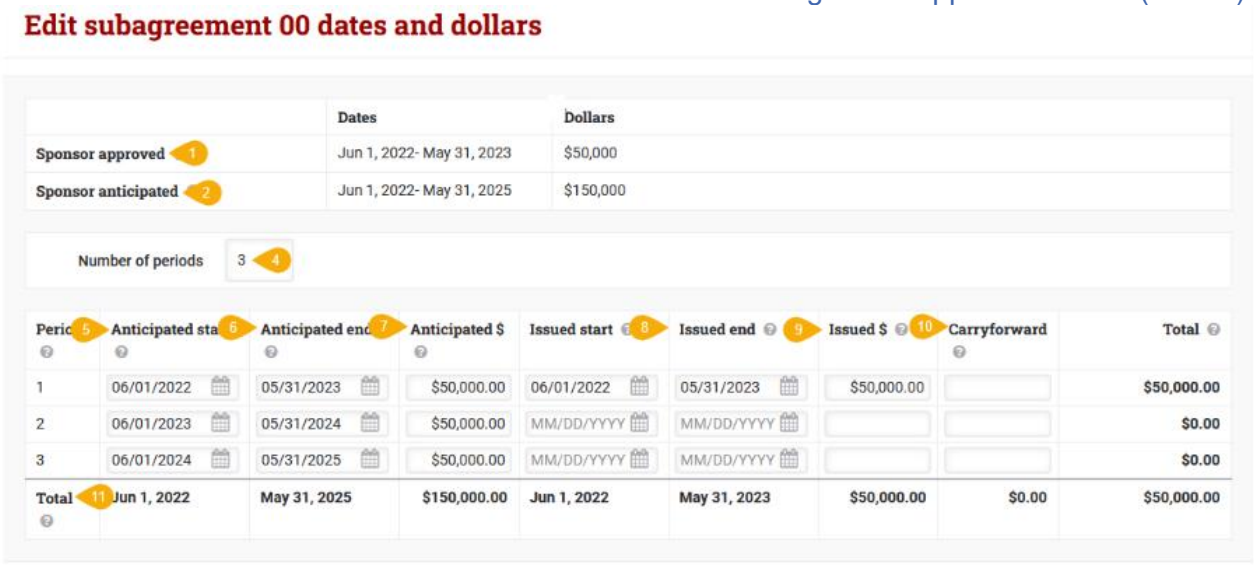
12. ***Change****: Only visible for a subamendment. The* ***Change*** *line is displayed to help identify the impact of the information entered without having to go back to the subagreement homepage.*

a. *Changes to dates will be displayed if the overall anticipated and/or issued start or end dates are changing. If the overall date is not changing, no value will be displayed.*

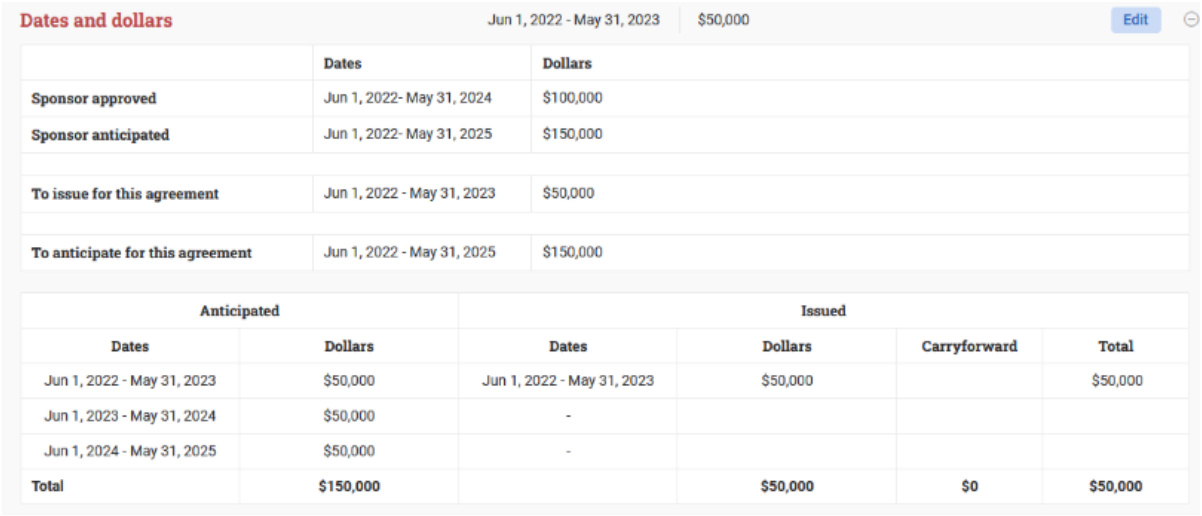
b. *Changes to total Anticipated and/or Issued amounts will display in the change row. This is the difference between the total amount that was previously anticipated or issued and the new amount that is anticipated or issued.*

c. *Any Carryforward amount entered should zero out (negative dollars from a prior period should equal positive dollars in current period. The only time a Carryforward amount should show in the "Change" line is if dollars are carried forward from a prior Segment.*

Select **Done** when information has been completed.



After clicking **Done**, the Dates and Dollars Actions required is no longer displayed. Data entered is now visible in the **Dates and dollars panel**. To make any further updates. select **Edit** and the **Dates and dollars screen** will be displayed again for editing.

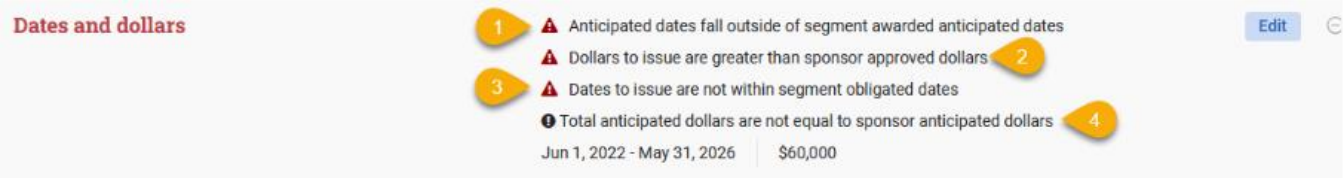


On the **Dates and dollars panel**, if any dates and dollars entered fall outside of the following parameters, warning messages will be displayed.

1. **Anticipated dates fall outside of segment awarded anticipated dates**: Appears when the subagreement anticipated start date is prior to the segment anticipated start date and/or when the subagreement anticipated end date is after the segment anticipated end date.
2. **Dollars to issue are greater than sponsor approved dollars**: Appears when the amount requested to be issued plus any previously issued amounts are

greater than the sum of obligated and carryforward dollars held aside in the segment revision.

3. **Dates to issue are not within segment obligated dates**: Appears when the subagreement issued start date is prior to the segment obligated start date and/or when the subagreement issued end date is after the segment obligated end date.
4. **Total anticipated dollars are not equal to sponsor anticipated dollars:** Appears when the sum of the subagreement anticipated dollars entered in the subagreement draft request dates and dollars is greater than the sum of dollars held aside for the subrecipient in the segment revision.



Warnings 1-3, with red flag, identify issues that must be resolved before signatures can be recorded in GMAS for the subagreement. The draft can still be routed through the workflow up until recording signatures while these error messages appear. Either data entered in the subagreement draft request should be corrected, or a segment revision must be processed to align dollars held aside with dates and dollars to be issued. Warning 4, displayed in black, is informational; it will not prohibit the recording of signatures on the subagreement (or any other part of the workflow). However, Central Reviewers should look at the revision done to anticipate the dollars for the subrecipient to determine if a revision should be completed to align anticipated dollars per the subagreement budget as entered in the subagreement draft request.

*If working on a subamendment, **Completing a subamendment** section of this document.*

For examples of entering sub budgets in Dates and Dollars screen go to Appendix – Dates & Dollars Examples.

FFATA statement of work summary

FFATA (Federal Funding Accountability and Transparency Act) requires that details about subagreements on Federal contracts be reported when a subagreement is fully executed. OSP acts as the FFATA reporter for the University. Included in the information required to be reported in the government reporting system FSRS.gov., is a statement of work with 4,000 character limit. The FFATA Statement or Work Summary facilitates this reporting requirement.

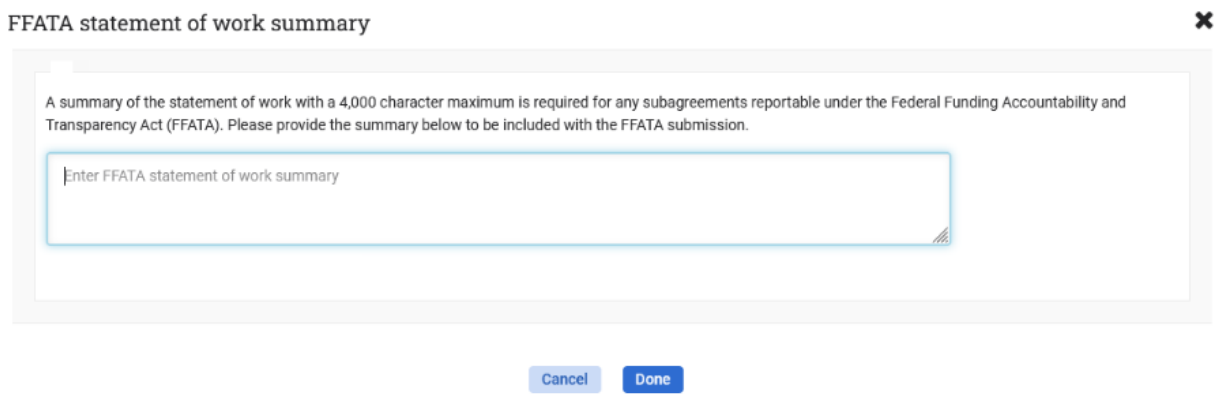
If a department determines that the subagreement is exempt from FFATA reporting requirements, they should contact their Central Office FFATA editors via email to request that the FFATA flag be removed. To find your FFATA editor: from the GMAS homepage, click on “Standing Teams”. Enter “FFATA” to search on Team name. Click on “OSP^FFATA Editor – University wide.

The **FFATA statement of work summary is missing** Action required will only appear when the sponsor of the related project is Federal, and the FFATA Flag in GMAS is set to “Yes”.

After selecting **Edit** associated with the **FFATA statement of work summary** Action Required, the modal will be displayed.

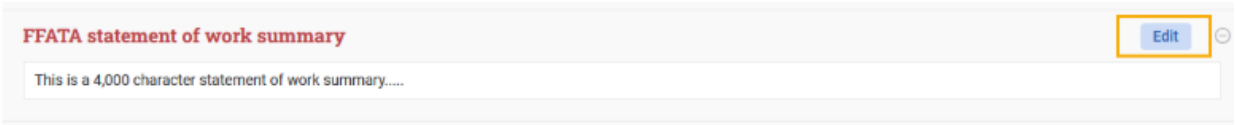
The statement of work (SOW) summary is required to be entered in the modal. This field has a maximum character limit of 4,000 to match that of the FFATA reporting system.

- The current and complete SOW document must *also* be uploaded to the document repository.
- Click **Done** when text has been entered.



For non-federal subs, the current and complete SOW document must be uploaded to the document repository.

After clicking **Done**, the **FFATA statement of work summary** Actions required is no longer displayed. The SOW summary entered is now visible in the **FFATA statement of work summary panel**. To make any further updates, select **Edit** and the FFATA statement of work summary modal will be displayed again for editing.

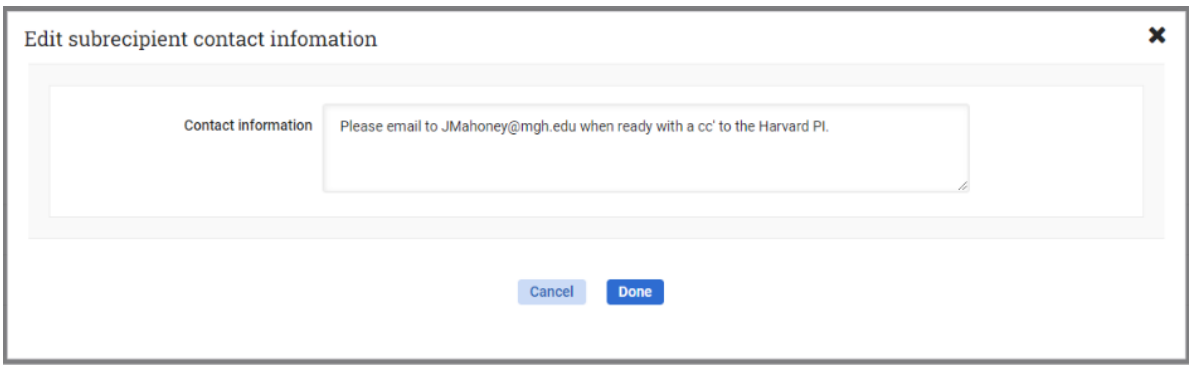


Other panels

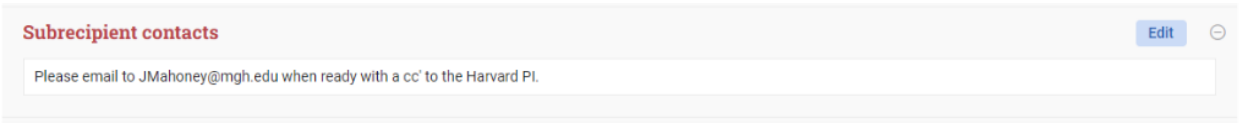
Subrecipient contacts

If known when requesting the subagreement draft, the subrecipient contacts should be entered. After clicking **Edit** associated with the Subrecipient c**ontacts panel** the **contacts model** will open.

- This is a text box. Enter the subrecipient contacts' names, email addresses, or other pertinent information in the text box. Use this to identify any central mailbox to which subagreement documents will be sent. Subrecipient contacts do not need to be associated to the subrecipient organization record in GMAS.



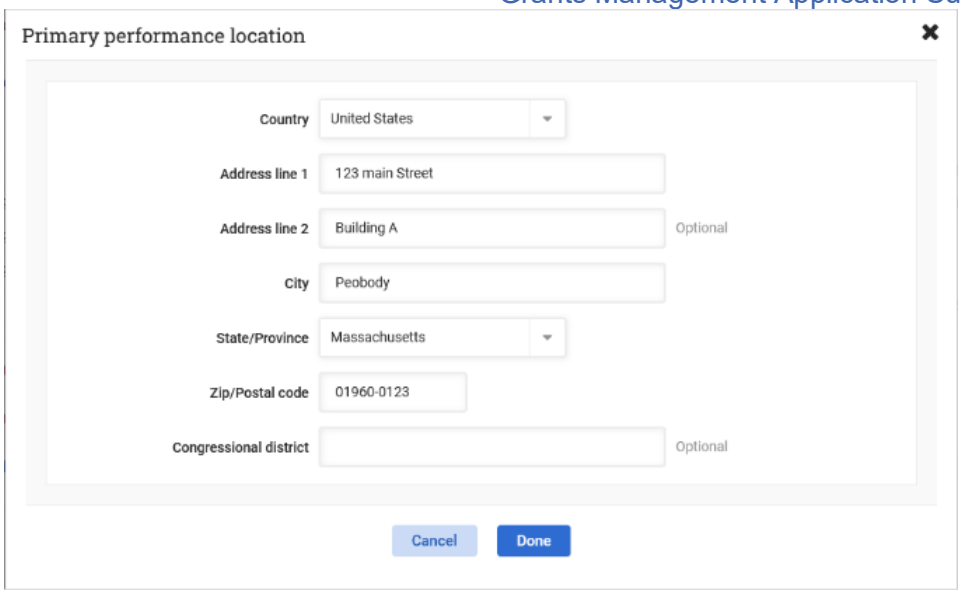
After clicking **Done**, the contacts information is visible in the contacts panel. The contacts will display in all future amendments and can be updated if needed.



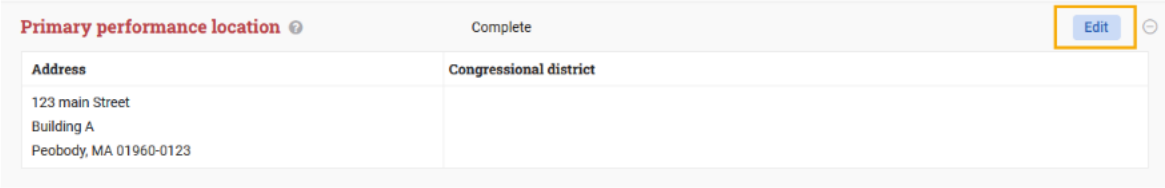
Primary place of performance

If known at this point, the PPL should be entered in the PPL panel. If entered at proposal/request stage, this information will default and should be double checked for accuracy. This information is required for Federal subs where the FFATA flag is set to "Yes" and will prevent the recording of signatures if not complete. For non FFATA subrecipients, the PPL is still an option for entry but will not hold up the recording of signatures. After clicking "**Edit**" associated with the PPL panel, the modal will open.

Zip/Postal Code must be populated for any domestic location using the zip + 4 format. If Zip + 4 is not provided by the subrecipient, please refer to USPS zip code lookup.



After clicking **Done**, the PPL information will be visible in the **PPL panel** on the subagreement homepage.

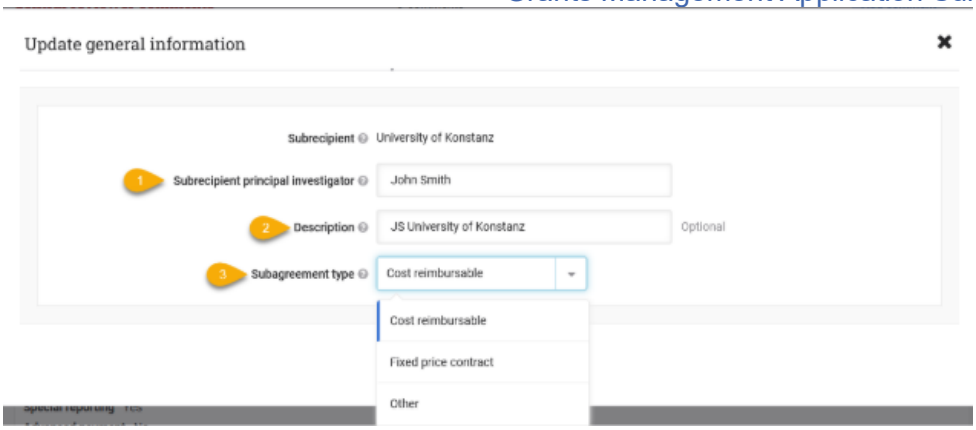


Just as with the FFATA Statement of work summary, if a department determines that the subagreement is exempt from FFATA reporting requirements, they should contact their Central Office FFATA editors via email to request that the FFATA flag be removed. To find your FFATA editor: from the GMAS homepage, click on “Standing Teams”. Enter “FFATA” to search on Team name. Click on “OSP^FFATA Editor – University wide.

General information

Select “**Edit**” to update information in this panel. The **Update general information model** is opened.

1. **Subrecipient PI**: Defaults in from the request. Begin typing to look-up the new subrecipient PI.
2. **Description**: Defaults in if added in the initial proposal or other request and may be updated.
3. **Subagreement Type**: Defaults in as Cost Reimbursable. **If the subagreement type will not be Cost reimbursable, select Fixed price, or Other from the drop-down list.**



In the General Information panel, **UEI number** and the **Organization risk assessment** are displayed, but may not be edited. The information is pulled from the Subrecipient's organization record in GMAS.

4. **UEI number**: If "**none**" please obtain this information from the subrecipient then contact OSP-NewSponsorApprovals@harvard.edu to request that the UEI be added to the organizational profile in GMAS.
5. **Organization Risk Assessment**: All risk assessments associated with the subrecipient organization are displayed here.

a. If no risk assessment has been completed, "**None**" is displayed

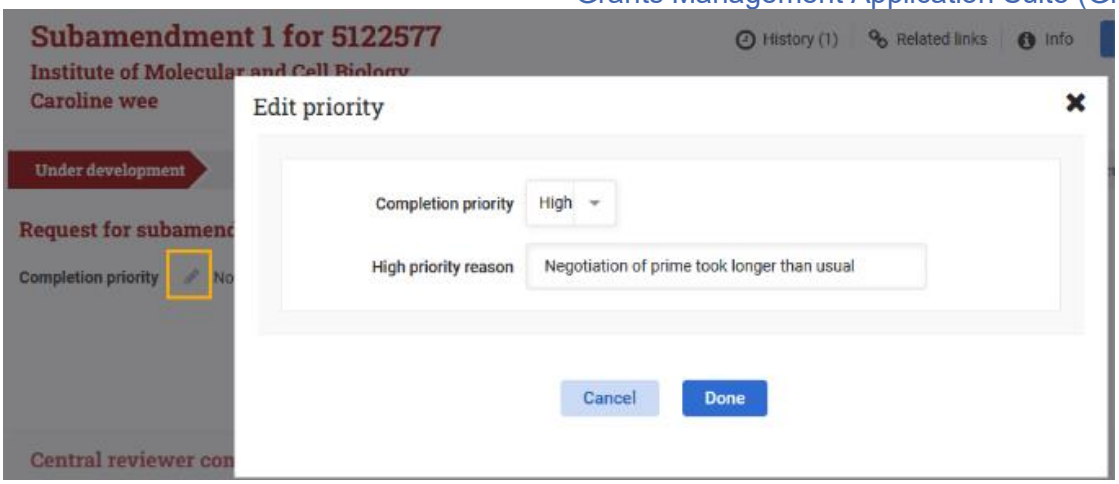
b. If there is an outdated risk assessment due to expired segments and the organization's previous assessment was yellow or red, "Segment Expired, Yellow" and "Segment Expired, Red" is displayed, respectively.

c. If review has been completed and the organization meets the criteria for an exception to the risk assessment requirement, "A**ssessment not required**" is displayed.

d. All others will either display **Red** (high risk), **Green** (low risk) or **Yellow** (medium risk).

Completion priority

The Completion priority defaults in as **Normal**. The department may change the priority to High by clicking on the pencil icon, then selecting **High** in the Edit priority modal. A compelling reason for making the subagreement a high priority is required.



The Central Office will consider this when prioritizing draft requests in their queue and may contact you for more information.

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Locking and routing draft requests

After all **Actions Required** have been completed, and any supporting subagreement documents have been uploaded and categorized, the subagreement draft request should be locked and routed. Click on the **Lock and route** button. No signatures or approvals are required to lock and route a subagreement draft request.

After Lock and Route, departments cannot edit data fields, but they can continue to provide comments and send those comments to the Central Reviewer or other GMAS user, respond to Clarifications requested, and upload and edit documents.

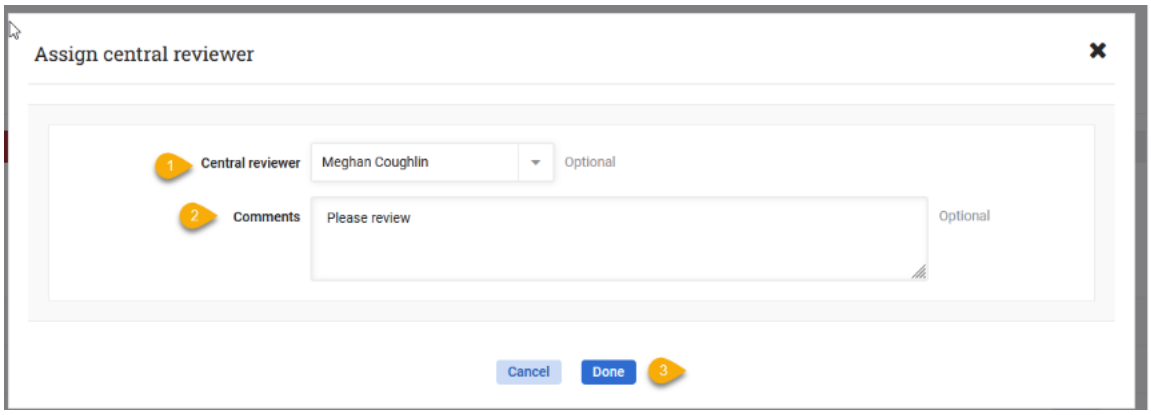


The Assign central reviewer modal will be displayed:

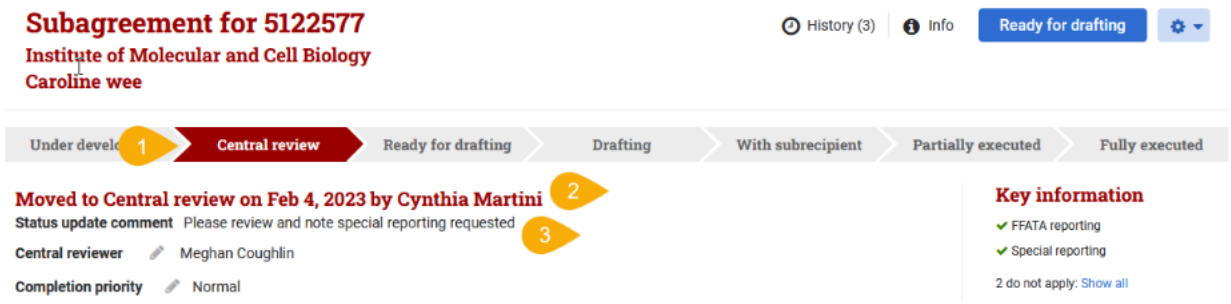
1. **Central Reviewer**: from a drop-down list, you can select the name of your Central Reviewer if known or leave it blank. Central reviewers will see it from the Sub dashboard even if it is unassigned.

2. **Comments**: The comments are optional. If there is any additional information that may be helpful to point out to the central reviewer that is not clear from the data entered and documents uploaded, it can be noted here.
3. Select **Done.**

The status will be updated to "**Central review**".



1. The status will be updated to **Central review.**
2. The status summary identifies who moved the subagreement draft request to central review, and the date it was locked and routed.
3. Status update comments are displayed.



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Completing a subamendment draft request

Subamendment draft requests may be initiated after the initial subagreement or the preceding subamendment for that subrecipient has been fully executed. The steps to

initiate a subamendment draft request are the same as for the initial subagreement. See Initiating a subagreement draft request above.

Actions required

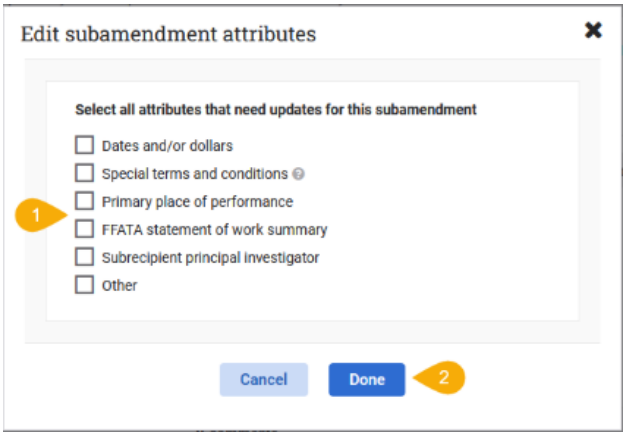
Subamendment attributes

To identify exactly what changes are being requested in each subamendment, requesters are required to identify the attributes they are changing in the subamendment. Click **Edit** associated with **Subamendment attributes must be selected.**

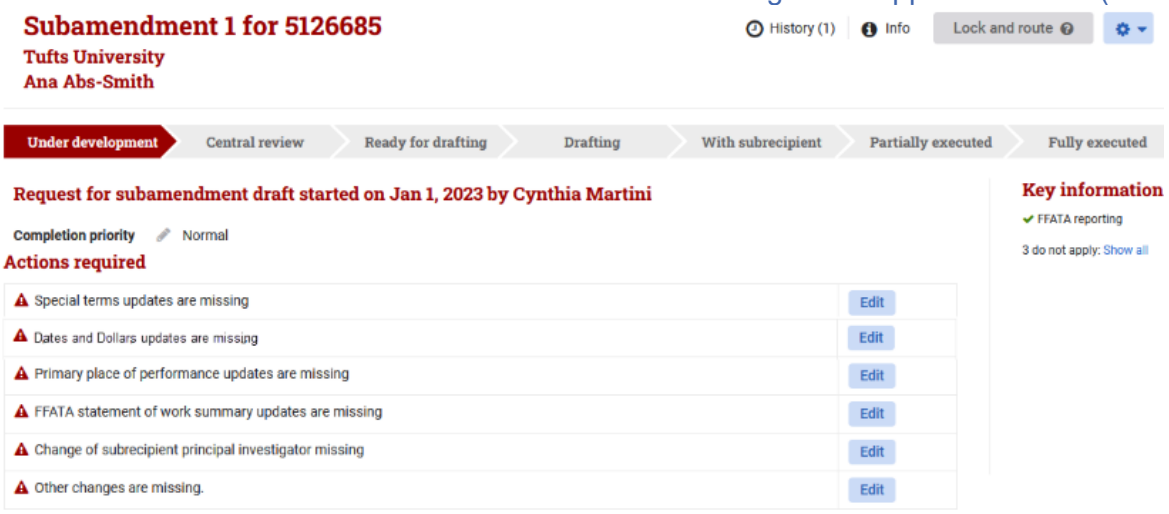


The **Subamendment attributes** modal is displayed:

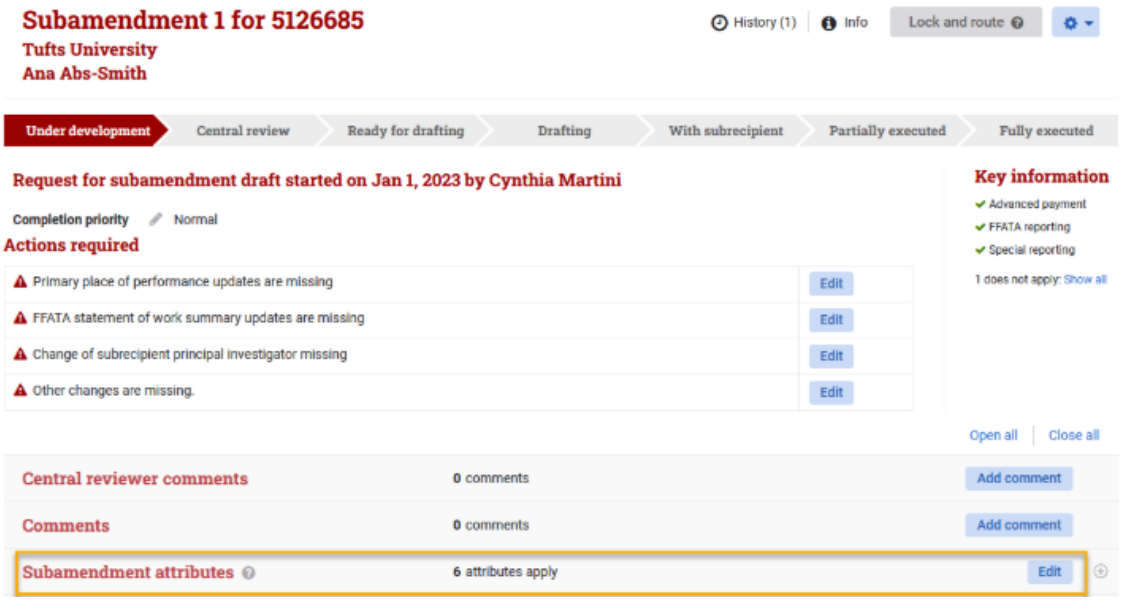
1. Select all that apply. For training purposes, all attributes have been selected below. This would rarely, if ever, occur in real life.
2. Click on **Done.**



New **Actions Required** are now displayed on the Subamendment homepage based on the attributes selected.



After selecting **Edit** for any of the attributes, GMAS will identify if any change to prior values was actually made. If not, the **Actions required** for the unchanged attribute will not disappear. To make a change, enter your updates in the modal. If no changes are made, the **Actions required** for the unchanged attribute will not disappear. If the attribute was selected in error, go to the **Subamendment attributes panel**, click **Edit**, and deselect the attribute.



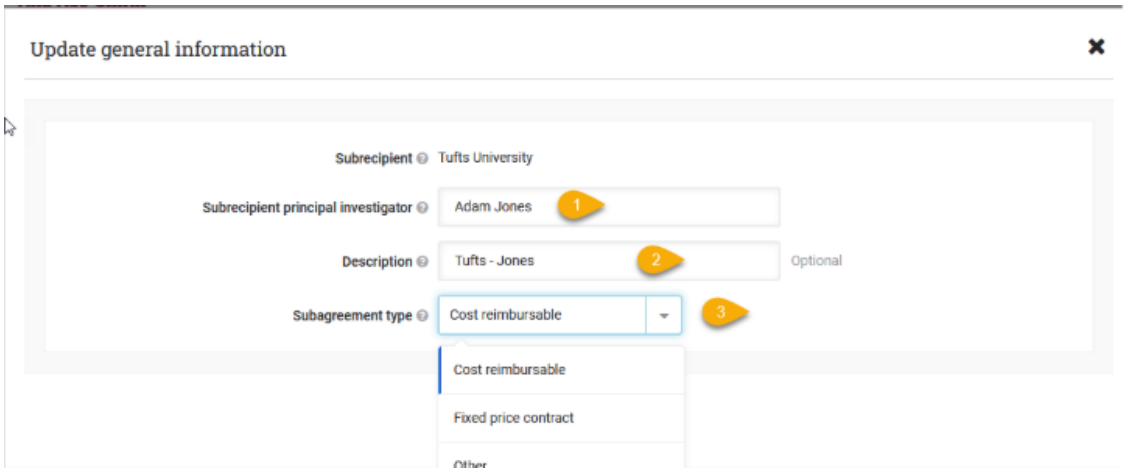
Below, we describe steps for completing **Actions Required** for a subamendment that are not part of Actions required for an Initial Subagreement.

For examples of entering dates and dollars for a subamendment, go to the Appendix – Dates & Dollars Examples .

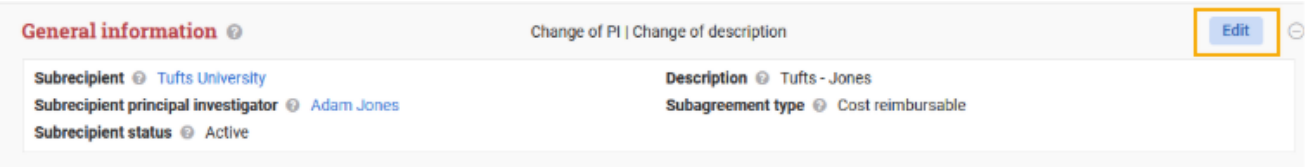
Subrecipient principal investigator

After selecting **Edit** associated with the **Change of subrecipient principal investigator** Action Required, the modal will be displayed. Description and Subagreement type may also be changed in this modal.

1. **Subrecipient PI**: Required input; begin typing to find name.
2. **Description**: Optional input; may be changed if name of PI impacts the name of the subagreement.
3. **Subagreement Type**: Optional Input.



After clicking **Done**, the **Update PI** Actions required is no longer displayed. The name of the PI entered is now visible in the **General Information panel,** as are the **Description** and **Subagreement type** if changed**.** To make any further updates, select **Edit** and the Update General Information modal will be displayed again for editing.



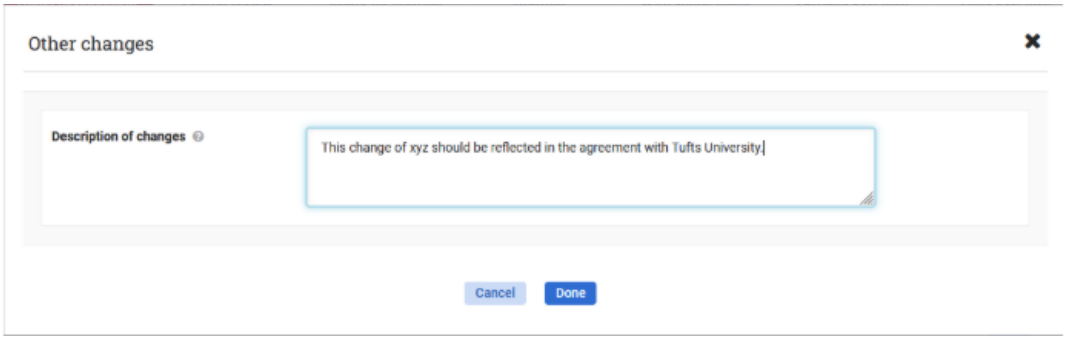
Primary place of performance

In a subamendment, if the primary place of performance is changing, it is included in the Actions required attributes. Although entry of the **primary place of performance** (or Primary Performance location) is *not* an Action required for an initial subagreement, completing the modal is the same. See Primary Performance location in the subagreement section for details.

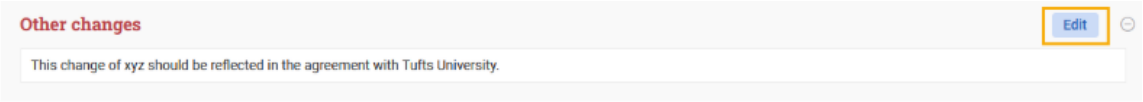
Other changes

For any changes to a subamendment that fall outside of the above listed attributes, **Other** is used.

After selecting **Edit** associated with the **Other Changes** Action Required, the modal will be displayed. Enter the **Description of the change** in the text box and click **Done.**



After clicking **Done**, the **Other Changes** Actions required is no longer displayed. The text entered is now visible in the **Other changes panel.** To make any further updates, select **Edit** and the **Other Changes modal** will be displayed again for editing.



Other panels

Subrecipient Contacts, General Information, and Completion Priority for a subamendment may also be edited as described in the Other Panels of the **Completing an Initial subagreement** above.

Go to the Locking and routing section of this document for instructions on how to lock and route the subamendment draft request. Departments cannot edit any data after Lock and route but can continue to provide comments and send them to their Central Reviewer or other GMAS users, respond to clarifications requested, and upload and edit documents.

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Central review

The Central Reviewer will review data entered, confirm that required subagreement documents have been uploaded to GMAS, confirm that sub fund buckets are adequate

to support the amount requested to be issued, and any other step as defined in each Central Office's review process.

- If the Central Reviewer has questions during the review process, they may select Clarifications Requested to ask the Department or any other GMAS user a question or request more information.
- If the Central Reviewer feels that the draft request lacks key information and needs significant re-work, they may opt to roll back the request to the department. The Central reviewer can enter the name(s) of people who should be notified about the roll back via an automated GMAS notification.
- If work on the subagreement draft request cannot move forward for a period of time, the Central Reviewer may choose to put the request on Indefinite Hold.

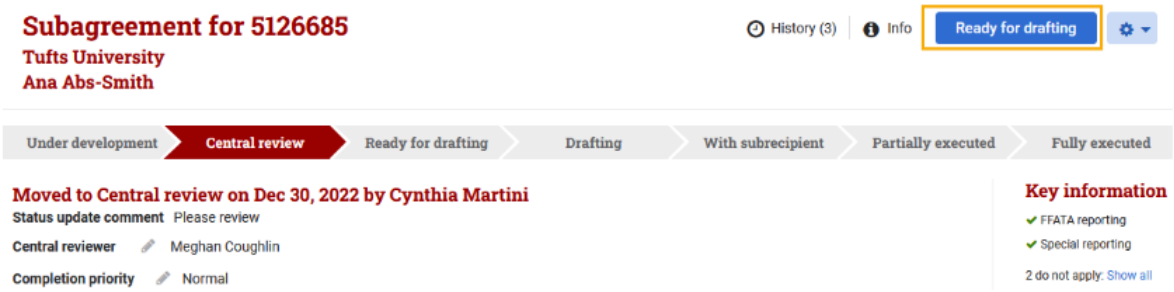
All risk assessments associated with the subrecipient organization are displayed on the subagreement homepage. Central Administrators should contact their Central Office assessors if there are no assessments, or if a risk assessment is not current, or if a risk assessment is in a segment expired status. If your Central Office does not have local assessors, contact subrecipientmonitoring@harvard.edu to request that a risk assessment be completed.

- Organizations that are single audit entities must be assessed every three years. Organizations that are not single audit entities must be assessed annually.
- If no risk assessment has been completed, "**None**" is displayed
- If there is an outdated risk assessment due to expired segments and the organization's previous assessment was yellow or red, "Segment Expired, Yellow" and "Segment Expired, Red" is displayed, respectively.
- If review has been completed and the organization meets the criteria for an exception to the risk assessment requirement, "**Risk assessment not required**" is displayed.
- All others will either display **Red** (high risk), **Green** (low risk) or **Yellow** (medium risk).

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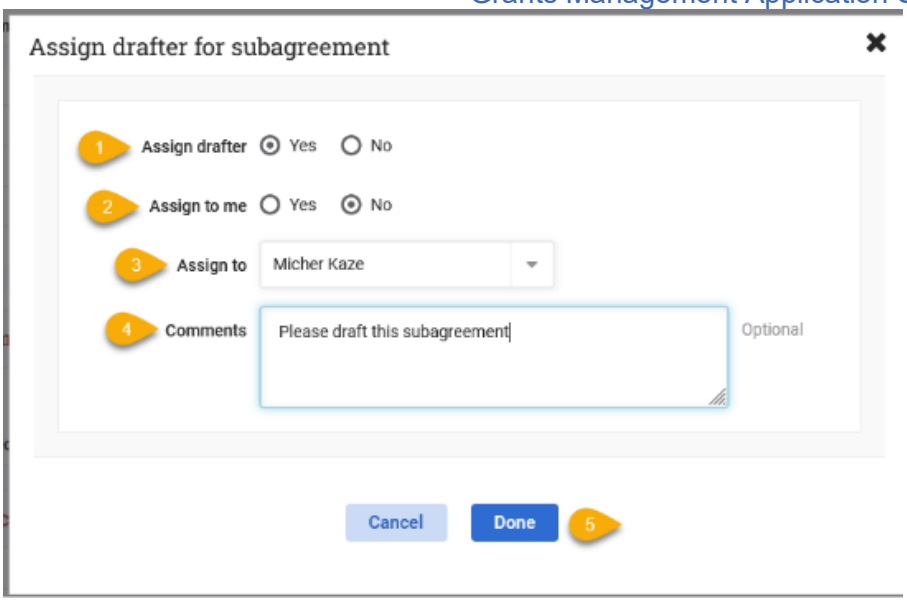
Ready for drafting

When the review has been completed, the central reviewer can click on **Ready for drafting**.



The Assign drafter for subagreement modal is displayed:

1. **Assign Drafter**: Select Yes or No to assign a drafter. Each Central Office will define the preferred approach for assigning a drafter or not at this point. If **No** is selected, optional comments can be entered. If **Yes** is selected, additional fields are displayed.
2. **Assign to me**: The user has the option of assigning themselves as the drafter. If **Yes** is selected, optional comments can be entered. If **No** is selected, the **Assign to** field is displayed.
3. **Assign To**: begin typing to find the name of the Drafter. The list of names in the dropdown comes from those that are on a standing team with the “Central Administrator” role.
4. **Comments**: The comments are optional. If there is any additional information that may be helpful to point out to the drafter that is not clear from the data entered and documents uploaded, it can be noted here.
5. Select **Done** to update the status to **Ready for drafting.**



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Drafting the subagreement

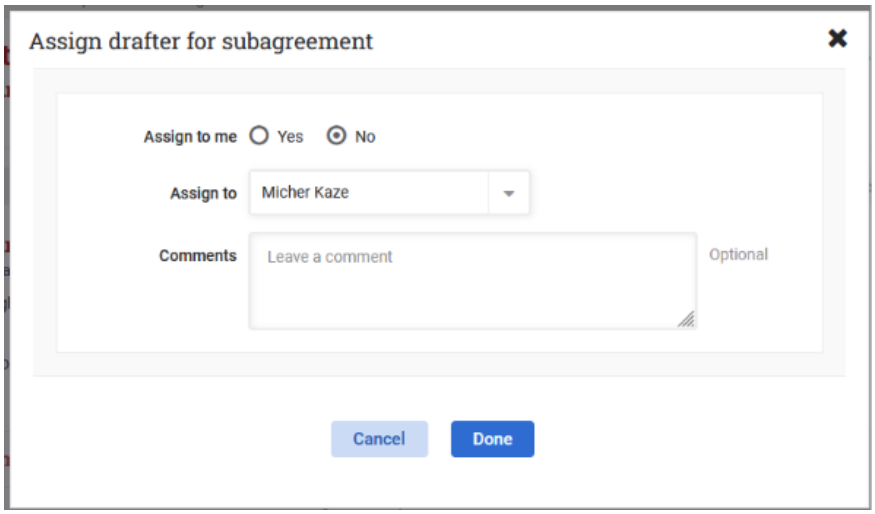
The assigned drafter will receive a notification and will also find the subagreement draft request on the subagreement dashboard, click into it and review to determine if they are ready to begin drafting.

1. The date and the person who moved the draft request to Ready for drafting is displayed.
2. The **Status update comments** are visible if entered.
3. The **Central reviewer's** name is visible.
4. The **Drafter**'s name is visible and may be changed by clicking on the pencil icon.
5. When the Drafter is ready to begin drafting, they will click on **Start drafting.**



The **Assign drafter for subagreement** modal is displayed.

If the drafter had not been previously assigned, they can be assigned now, or the previously assigned drafter may be changed in this screen. Select **Done** to move the status to **Drafting.**



The subagreement homepage now reflects the status of **Drafting.**



The drafter will draft the subagreement outside of GMAS. Each Central Office will determine if draft subagreements will be uploaded in the GMAS subagreement document repository.

If the Central Office requires a Central Review of the draft prior to sending it to the subrecipient, see Secondary Statuses.

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Send to subrecipient

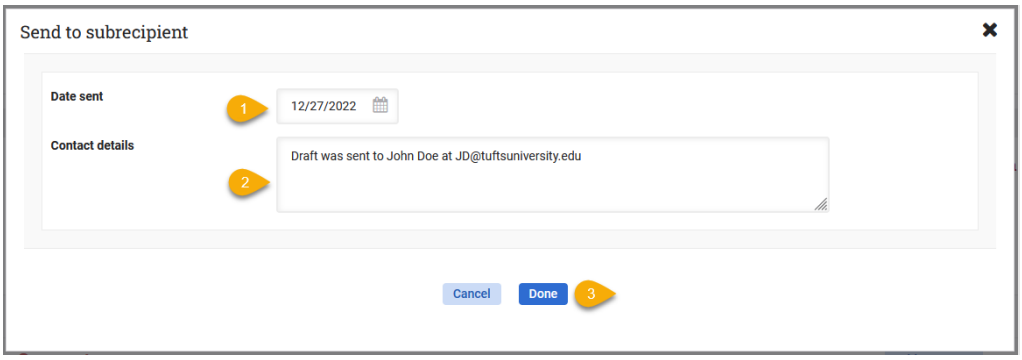
When the draft is ready to be sent to the subrecipient, the Drafter will click on **Send to subrecipient.**



The Send to subrecipient modal will be displayed:

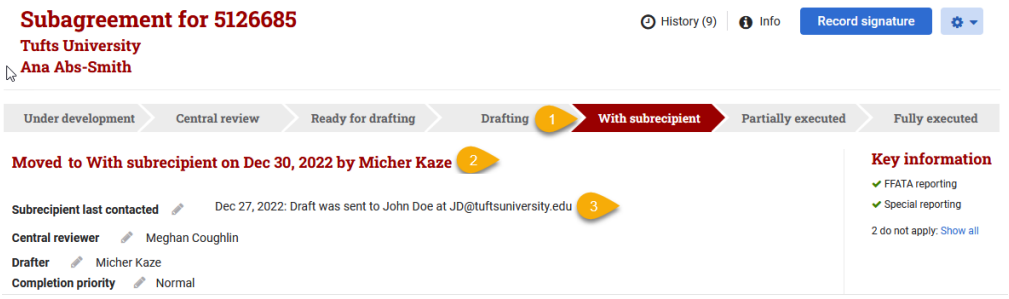
1. **Date sent**: use the calendar or enter the date using the dd/mm/yyyy format.

2. **Contact Details**: enter name, email address, phone number or any other pertinent details. Contact information is not linked to the organization or a person profile.
    a. Contact information entered for a subagreement will be carried forward into subsequent subamendments.
3. Select **Done** to move the status to **With subrecipient.**



On the subagreement homepage:

1. The status bar reflects **With subrecipient.**
2. The date the status was changed and who changed it is displayed.
3. **Subrecipient last contacted**: Displays contact details entered.

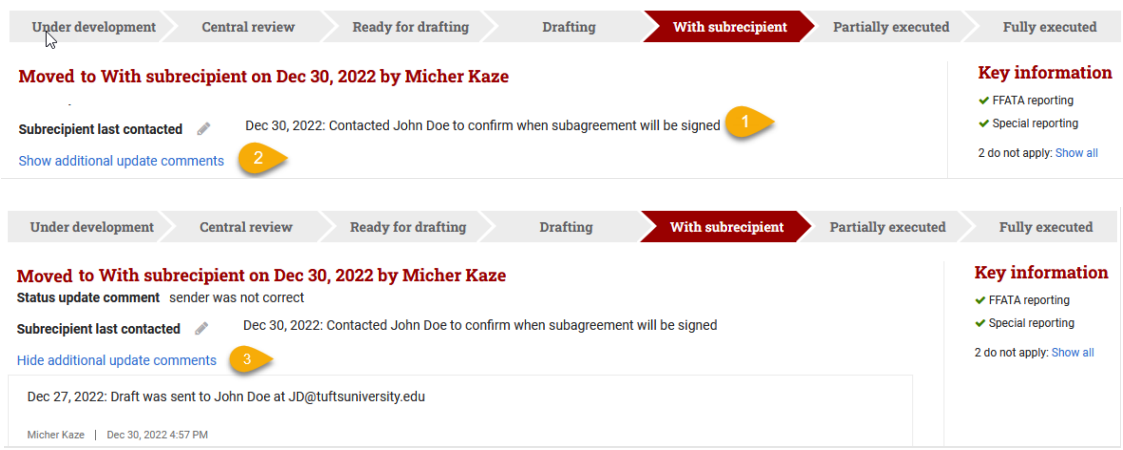


Any Central Administrator may record additional contact details with the subrecipient by clicking on the pencil icon associated with **Subrecipient last contacted.**



1. Each contact entry is displayed on the subagreement homepage.
2. Click on **Show additional update comments** to expand to see prior subrecipient contact notes from newest to oldest.

3. Click on **Hide additional update comments** to collapse the view.



If communication with the subrecipient indicates that negotiation is required, the drafter can set the status to In Negotiation. Go to the Secondary Statuses section of this document for details.

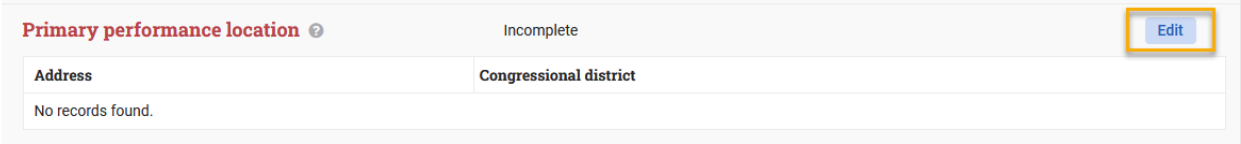
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Recording signatures

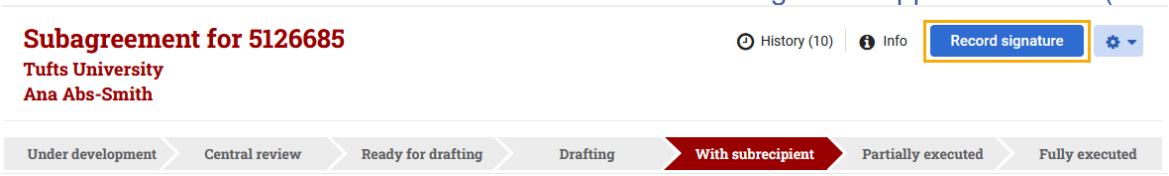
When the signatures have been obtained on the subagreement, the date the signatures were obtained will be recorded in GMAS. The **Record signature** button will be greyed out if:

- The primary place of performance has not been entered for a Federal sub where the FFATA flag is set to yes.
- The sub dates and dollars held aside are not in sync with the amount to be issued.

Any Central Administrator can add the Primary place of performance by clicking on **Edit** on the Primary performance location panel on the subagreement homepage.

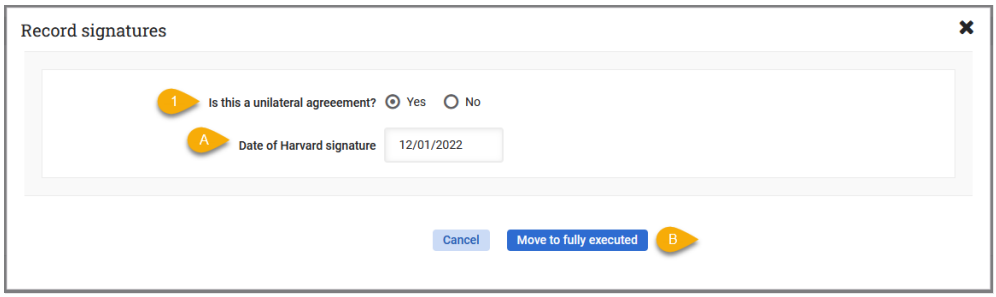


If the subrecipient funds held aside in the segment revision are not in sync with the amount to be issued, a warning will be visible on the budget panel. Each Central Office will follow their process to request a segment revision to adjust the sub buckets if needed or use **Clarification requested** if additional information is needed from the department.
When any open issues are resolved, click on the **Record signatures** button.

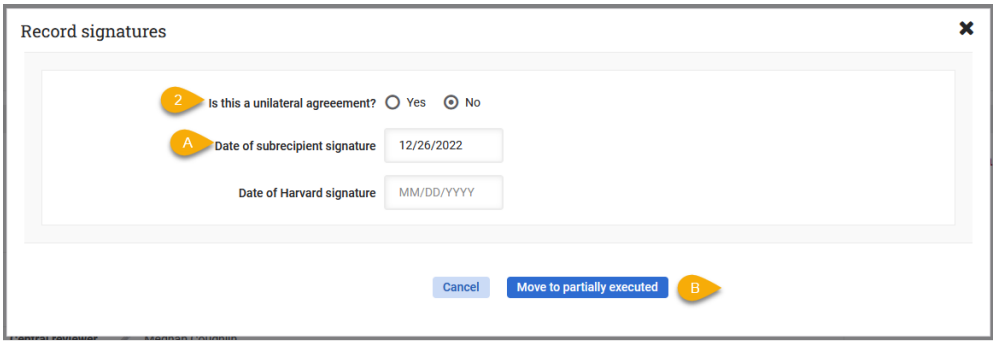


The **Record signature modal** will be displayed:

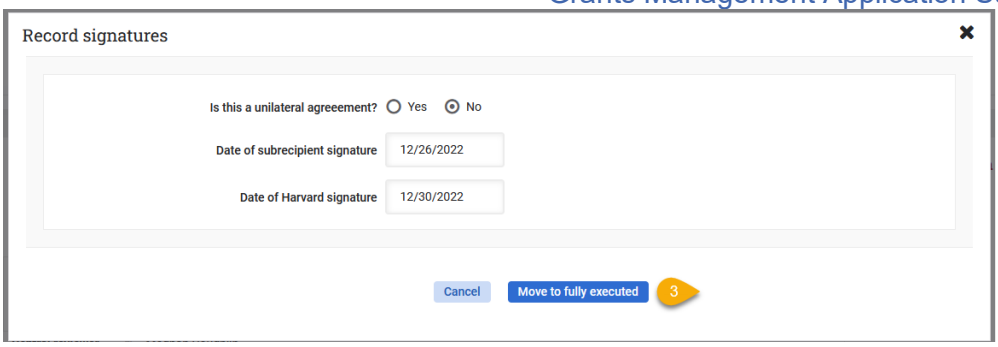
1. Is this a unilateral agreement? – Defaults to **No**. Select **Yes** if *only* a Harvard signature is required.
    a. If **Yes** is selected, only the Date of Harvard signature field is displayed.
    b. When this date is entered, click on **Move to fully executed**.



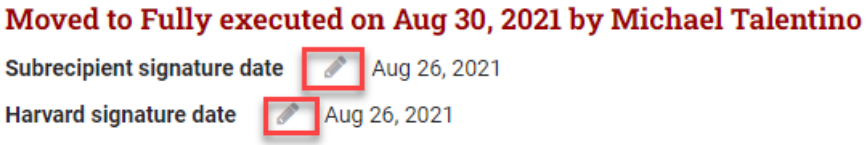
2. Is this a unilateral agreement? – Leave set to **No** if both a Harvard signature and subrecipient signature are required.
    a. If only the subrecipient signature has been obtained at this point, record the date.
    b. Click on **Move to partially executed** to update the status to **Partially executed.**
    c. When the Harvard signature is obtained, simply click on **Record signatures** on the subagreement. homepage again and enter the date of the Harvard signature.



3. When both the subrecipient signature (if required) and the Harvard signature have been obtained, record the dates, and click on **Move to Fully executed** to update the status. Note that you can enter the signature dates of both signatories at the same time if available, and immediately move the status to **Fully executed,** skipping **Partially executed**.



The fully executed subagreement must be uploaded to the subagreement document repository and categorized.
If signature dates were entered incorrectly, Super users can edit the Subrecipient and Harvard signature dates after the amendment has been fully executed by using the pencil icon located next to the dates. The pencil opens a date picker and allows for selecting of a new date.

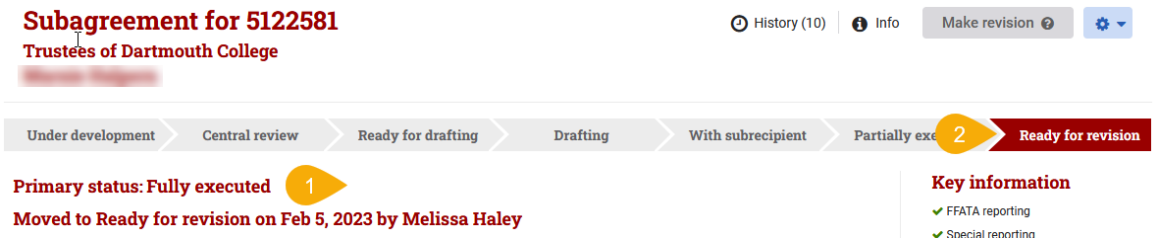


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Requesting a segment revision for a subagreement

When a subagreement is set to **Fully executed**, the secondary status of **Ready for revision** is automatically applied.

1. The primary status of **Fully executed** shows in the Status Summary, along with the date and name of the person who changed the status.
2. The secondary status of **Ready for revision** shows in the status bar.



All Initial subagreements require a segment revision. Only those subamendments that impact dates and/or dollars or accounts require a revision.
The workflow is flexible to allow for the different organizational structure and roles & responsibilities within each of the Central offices.

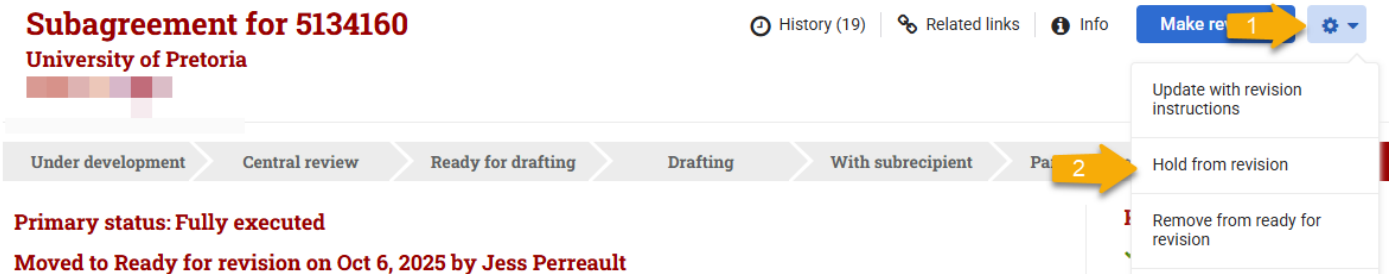
- The person who fully executes the subagreement also completes the revision.

- The person who fully executes the subagreement determines if the subagreement requires a revision. If it requires a revision, they assign it to the person who will complete the revision.
- The person who fully executes the revision assigns it to the person who determines if a revision is required.
- The person who completes the revision also commits the revision.
- The person who completes the revision assigns it to another person to commit the revision.

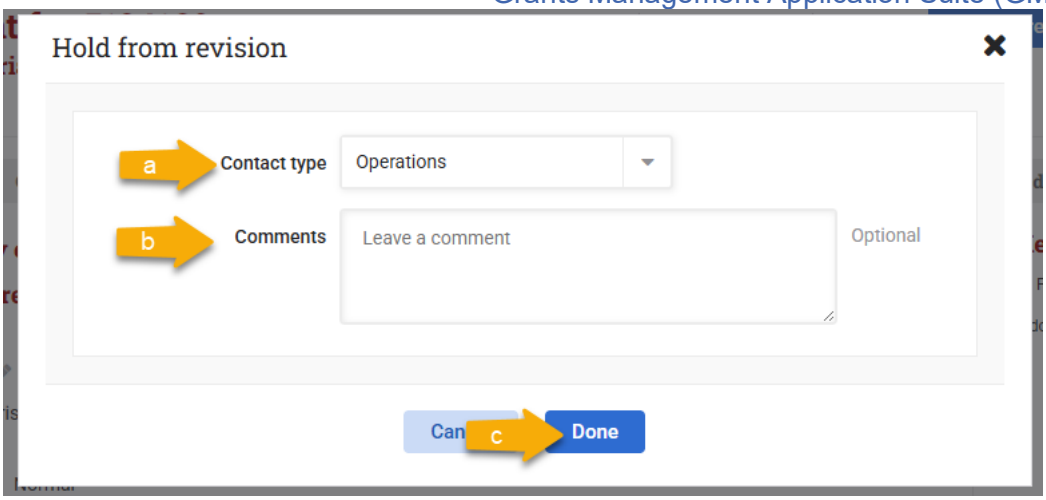
Indicating that a sub should be held from being released in a revision

At times, it may be appropriate to place a fully executed subagreement temporarily on hold from being released in a segment revision. To indicate that a subagreement **Fully executed** that is listed as **Ready for revision** should be held from being released in a segment revision:

1. Click on the **gear** button.
2. Select **Hold from revision.**



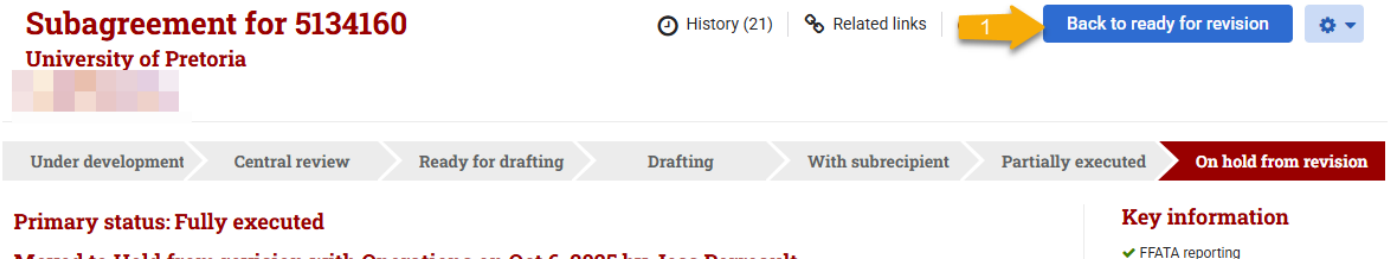
3. Indicate who is responsible for removal of the hold and processing when applicable:
   There are options to assign to a specific person, or to Operations if the person who will complete the revision is unknown:
   a. **Contact Type**:
      i. Select **Internal** to assign to a specific person.
      ii. Select **Operations** if the name of the person who will ultimately be responsible for the revision is unknown.
   b. **Comments**: Enter the reason the fully executed subagreement is being held temporarily from being released in a segment revision to be retained with the history (this is optional).
   c. Select **Done.**



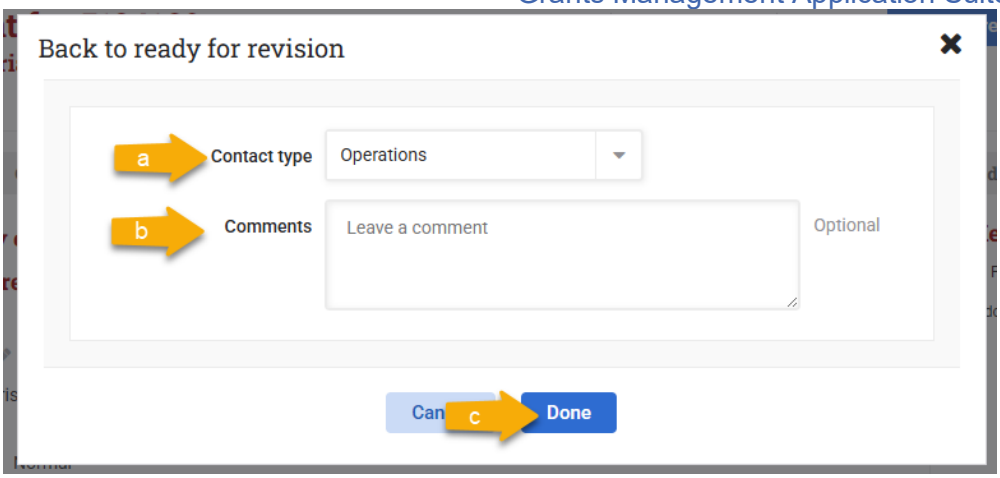
Indicating that a sub placed on hold is now ready for a revision

To indicate that a sub should no longer be held from a segment revision (the next segment revision will include related sub actions):

1. Click on the **Back to ready for revision** button.



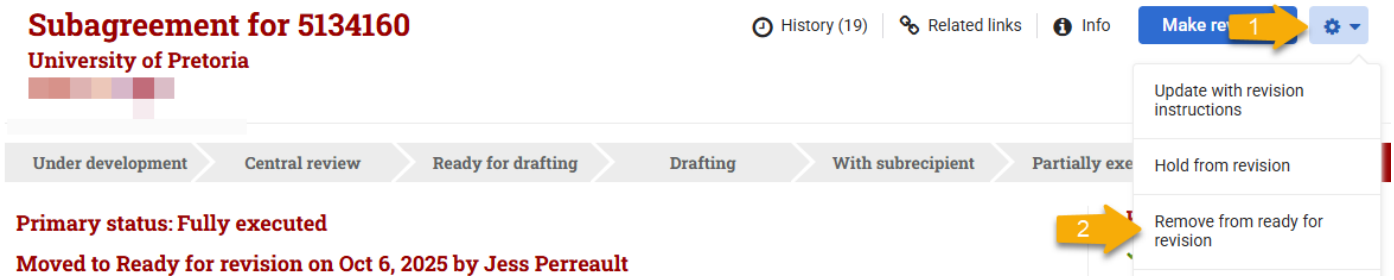
2. Indicate who will be processing the revision if different than who was responsible while the subagreement was **On hold from revision**:
    a. **Contact Type**:
        i. Select **Internal** to assign to a specific person.
        ii. Select **Operations** if the name of the person who will ultimately be responsible for the revision is unknown.
    b. **Comments**: Enter any comments that should be retained with the history of removing the hold (this is optional).
    c. Select **Done.**



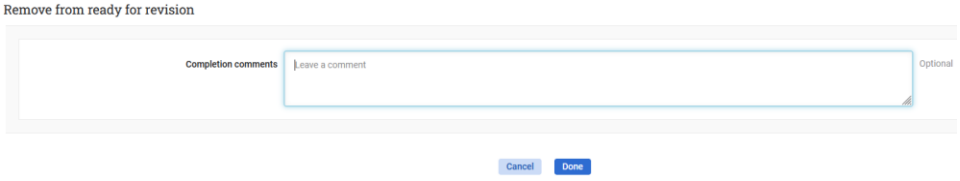
Indicating that a revision not required

To indicate that a revision is not required (an amendment that does not impact dates and/or dollars or accounts):

1. Click on the **gear** button.
2. Select **Remove from ready for revision.**



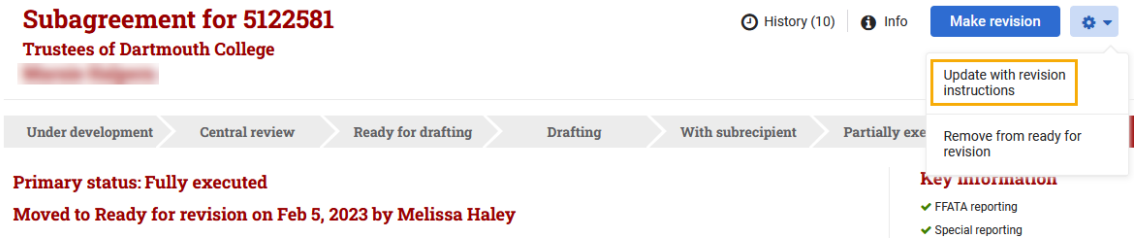
The **Remove from Ready for revision** modal is displayed. Comments are optional. Select **Done** to remove the secondary status of **Ready for revision**.



The workflow is complete, the status bar on the subagreement homepage displays **Fully Executed**, and the subagreement is removed from the subagreement dashboard.

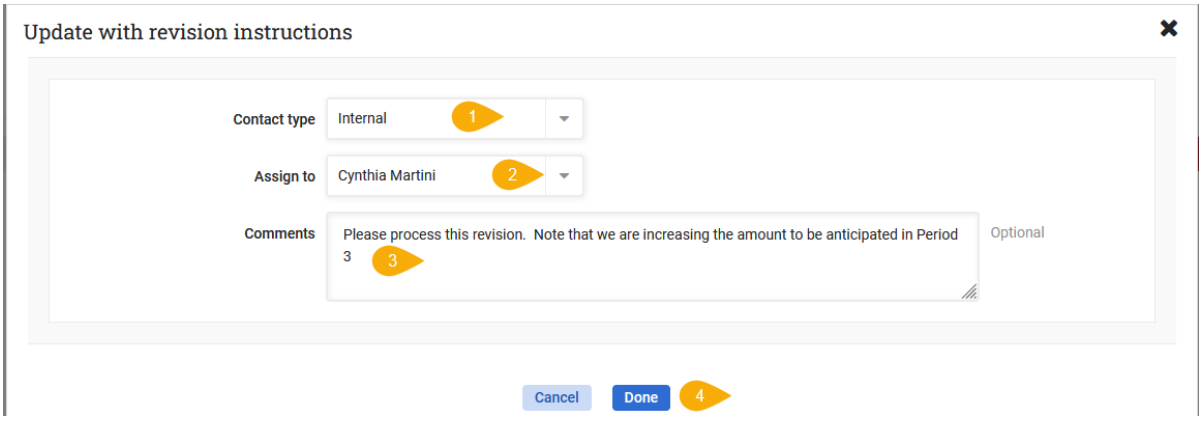
Providing instructions for another Central Administrator/Operations to process the revision

To forward the subagreement to another person in the Central Office who will process the segment revision, from the gear box, select **Update with revision instructions.**



The **Update with revision instructions** modal is displayed:
There are options to assign to a specific person, or to Operations if the person who will complete the revision is unknown:

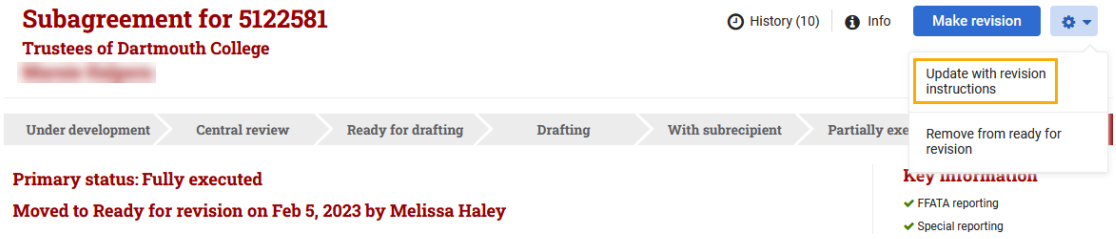
1. **Contact Type**:
    a. Select **Internal** to assign to a specific person.
    b. Select **Operations** if the name of the person who will complete the revision is unknown.
2. **Assign To**: If **Internal** was selected, enter the name of the person who will complete the revision from the drop down list (start typing to scroll).
3. **Comments**: Enter instructions for completing the revision.
4. Select **Done.**



When **Internal** is chosen, and the name of the person who will complete the revision is entered as the Assignee, that person will receive a notification, and the subagreement will be displayed on the assignee's sub dashboard.
When **Operations** was entered as the Assignee, Operations will find the subagreement on their dashboard as **Ready for Revision** and assigned to Operations. A person in Operations will select the subagreement based on their internal process and will assign it to themselves and complete the revision.

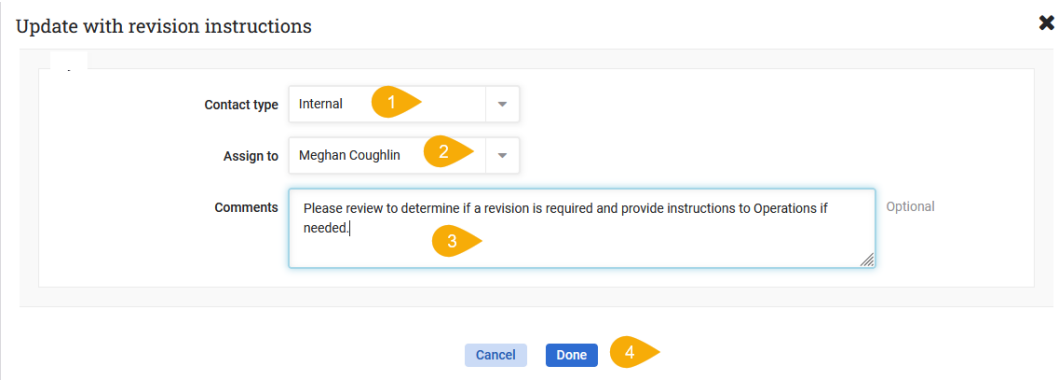
Assigning another person to determine if a revision is required

To forward the subagreement to another person in the Central Office who will determine if the segment revision is required, **Update with revision instructions** is also used.



The **Update with revision instructions** modal is displayed:

1. **Contact type**: select Internal.
2. **Assign to**: begin typing to find name in drop down list.
3. **Comments**: Enter request for review and determination.
4. **Done:** Subagreement is assigned to Assignee. The assignee receives a notification and the subagreement is visible on their dashboard. Status remains Ready for Revision.



The person to whom the subagreement was assigned, will either select **Remove from ready for revision if** they determine that a revision is not required as described above, or they will select "**Update with revision instructions**" if a revision is required as also described above.

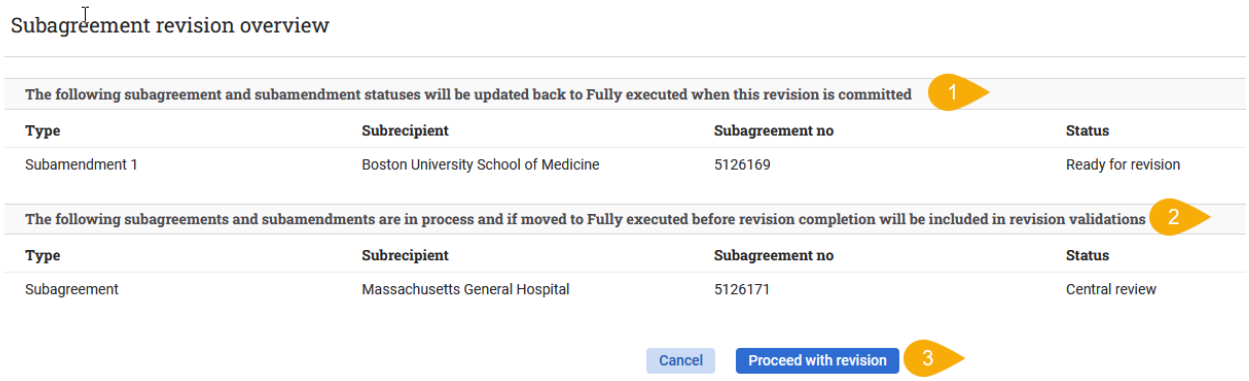
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Completing a revision

To complete the revision, click on **Make a revision**. The Subagreement revision overview modal is displayed, with two sections.

1. Other subagreements on the segment that are in **Ready for revision** status. They will be pulled into the revision about to be processed.
2. Other subagreements on the segment in any other part of the workflow prior to Fully executed. If any of these subagreements move to Fully Executed status before the revision is committed, they will also be pulled into the revision.

3. The user can decide if they want to hold off on completing the revision or **Proceed with revision.**



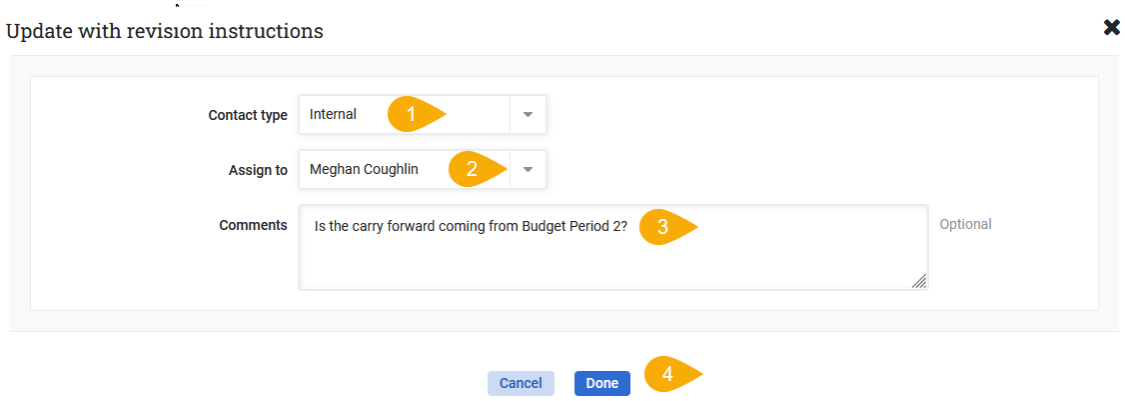
When **Proceed with revision** is selected, you are taken to the existing revision screen in GMAS and will complete the revision following existing processes. When the revision is **committed**, the secondary status of **Ready for revision** is automatically removed. The status bar on the subagreement homepage displays **Fully executed.**

- The workflow is complete.
- The subagreement is removed from the subagreement dashboard.

Asking a question about the revision

When the person completing the revision reviews the subagreement request and any accompanying instructions in the comments, has additional questions, they may use **Update with Revision Instructions**.

1. **Contact type**: select Internal.
2. **Assign to**: begin typing to find name in drop down list.
3. **Comments**: Enter question or information needed.
4. **Done:** Subagreement is assigned to Assignee and is visible on their dashboard. Status remains **Ready for Revision.** The comments will be displayed on the subagreement homepage.



The person to whom the question was assigned, will also use **Update with revision instructions** to respond back to the person completing the revision. A notification will be sent to the Assignee unless the Assignee is Operations.

Committing the Revision

If the person who processes the segment revision for the subagreement also commits the revision, they will select **Commit Changes** on the revision screen. Committing the revision removes the secondary status of **Ready for revision**. The subagreement is removed from the sub dashboard, and the workflow is complete.

If the person who processes the segment revision for the subagreement does not commit the revision based on local business process, they will select **Save and continue later** in the segment revision, then use **Update with Revision Instructions** to assign the commitment of the revision to the appropriate Central Administrator. The assignee will receive a notification, go to the segment revision, and commit it, which automatically removes the Ready for revisions secondary status. If they have further questions before committing, they can again use **Update with Revision Instructions**.

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Secondary Statuses

The following secondary Statuses may be used during the workflow:

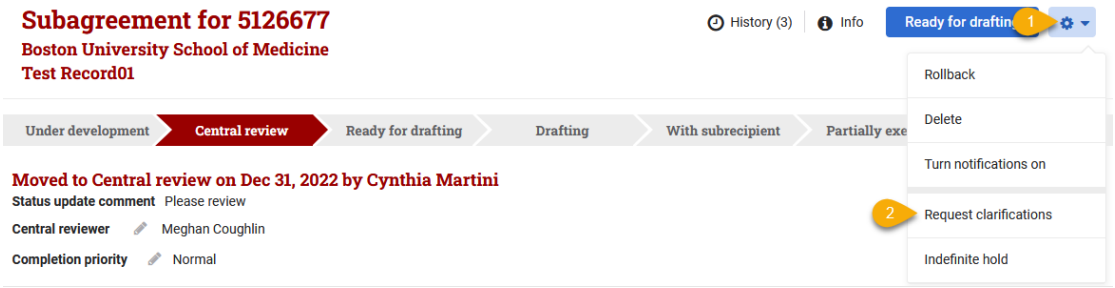
- **Clarifications requested** – There is an open question related to the draft. Moving into this secondary status is available when the draft is between Central review and Partially executed.
- **Indefinite hold** – There is something preventing the draft from moving forward. Moving into this secondary status is available when the draft is between Central review and Partially executed.
- **In review** – The draft needs to be reviewed before it can be sent to the subrecipient. Moving into this secondary status is available only when the draft is Drafting.
- **In negotiation** – The draft is in negotiations. Moving into this secondary status is available only when the draft is With subrecipient.
- **Ready for revision** – The draft has been fully executed and is waiting for a segment revision to be processed. Moving into this secondary status automatically happens when a draft is moved to Fully executed. Moving into this status is also available on the most recent draft if it is in a Fully executed status.

Clarifications Requested, Indefinite Hold, In Review, and In Negotiations **function the same**. The steps detailed below for Clarifications Requested apply to Indefinite Hold, In

Review, and In Negotiation as well. For details on Ready for Revision, go to Requesting a revision for a subagreement

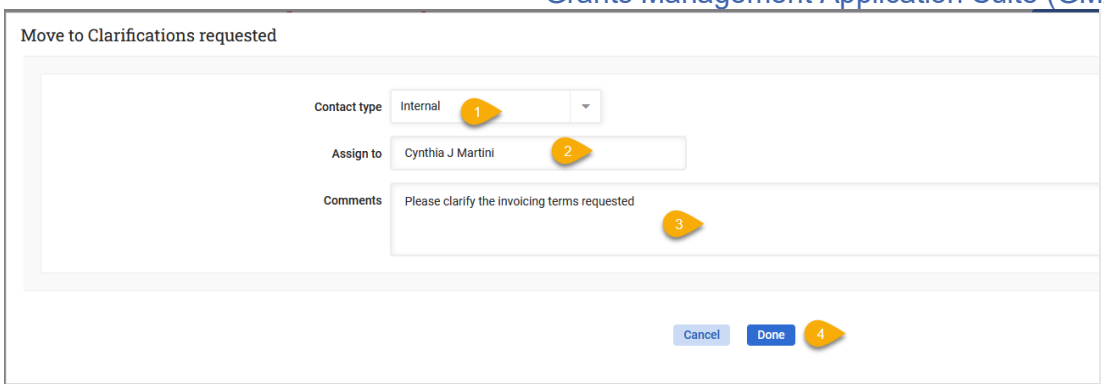
Moving into a Secondary Status

1. Moving into a secondary status can be done by a central office representative by selecting the status they wish to move into from the secondary action menu (gear icon) button. From the subagreement homepage, click on the **gear box.**
2. Click on **Secondary Status** (Example below reflects the use of Clarifications Requested).



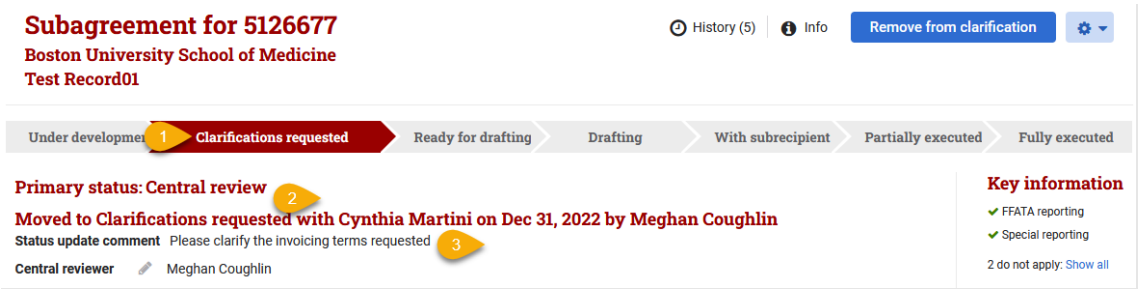
The modal is displayed:

1. **Contact Type**:
    a. Select **Internal** if the assigned contact is a GMAS user.
    b. Select **External** if the contact is not a GMAS user (someone external to Harvard or a Harvard employee who does not have access to GMAS). Communications will happen via email outside of GMAS. However, in order to track the communication in GMAS, the Central Administrator should record responses received in email in GMAS.
2. **Assign to**: Begin typing to find the user's name in the dropdown list if Internal contact type was selected. Enter the user's name if External was selected. If an Internal assignee doesn't have security to access the project, they will receive an email, informing them that they do not have access. The assignee should be added to the project admin team in the Observer role, to respond to the clarification requested.
3. **Comments**: Enter your question or other request for information required.
4. Select **Done.**



The subagreement homepage now reflects:

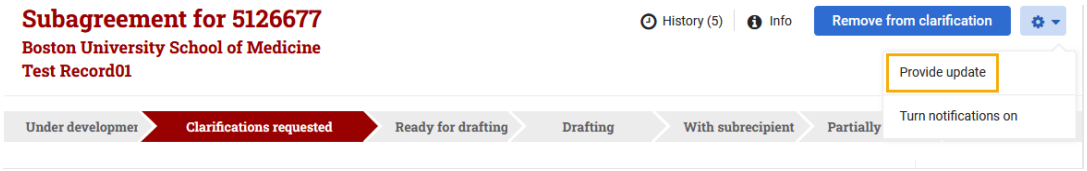
1. **Status Bar**: Updated to Secondary Status – in this case Clarifications Requested**.**
2. **Status summary**: Identifies primary status of **Central Review** and indicates who changed the status and when the change was made.
3. **Status Update comments** are displayed.



The assignee will receive a GMAS notification with a link to the subagreement draft request. The subagreement will be visible on the sub dashboard in clarifications with the assignees name.

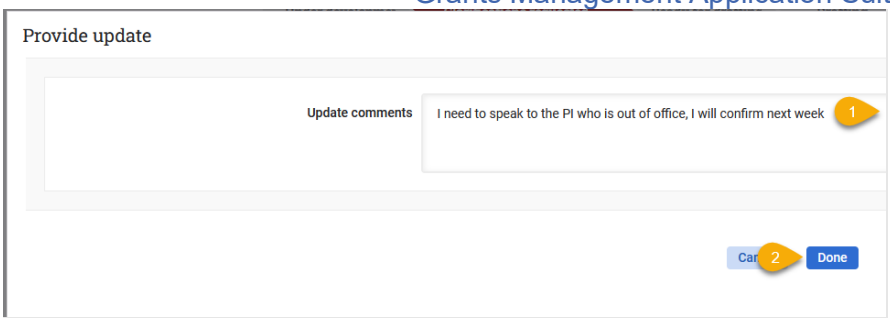
Providing an update for the secondary status

If the assignee would like to provide an update, but does not yet have all information requested, they will use the gear box to select **Provide update.**

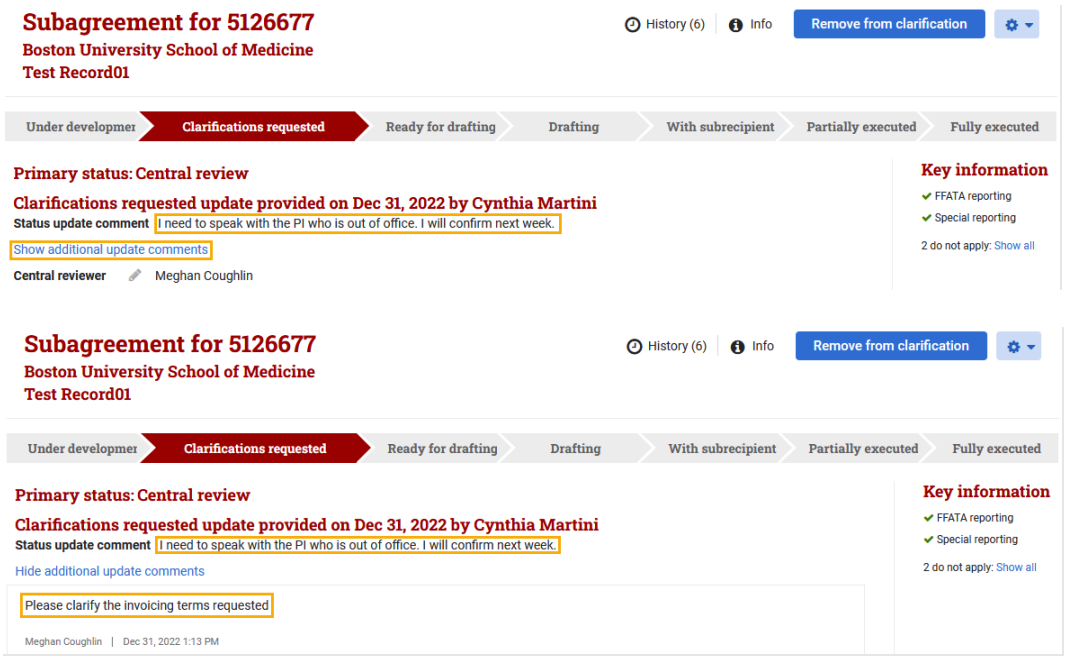


The **Provide update** modal is displayed:

1. Enter **Update comments.**
2. Select **Done.**

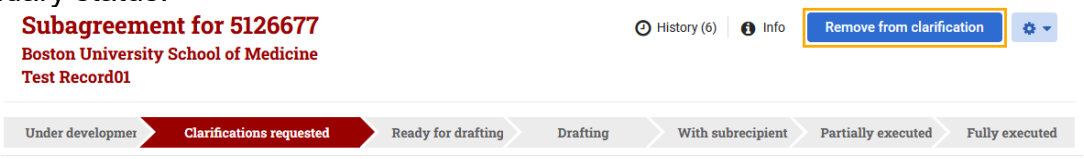


The comments are displayed on the subagreement homepage. Click on **Show additional update comments** to see all status update comments sorted from newest to oldest.



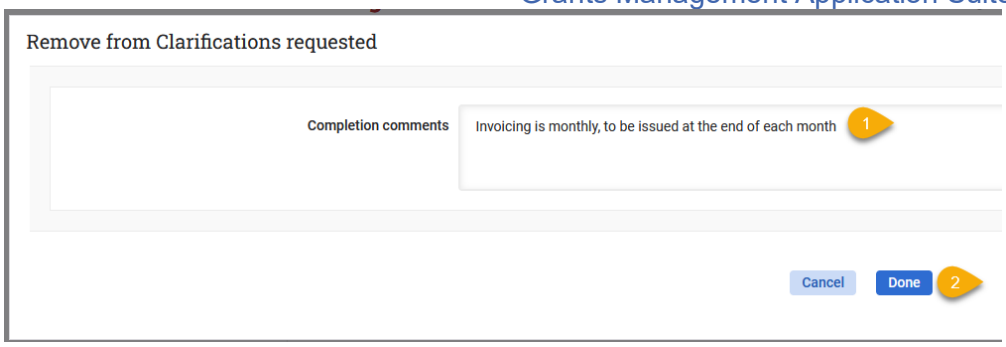
Removing the Secondary Status

When the assignee has the information requested, they will click **Remove** from the secondary status.

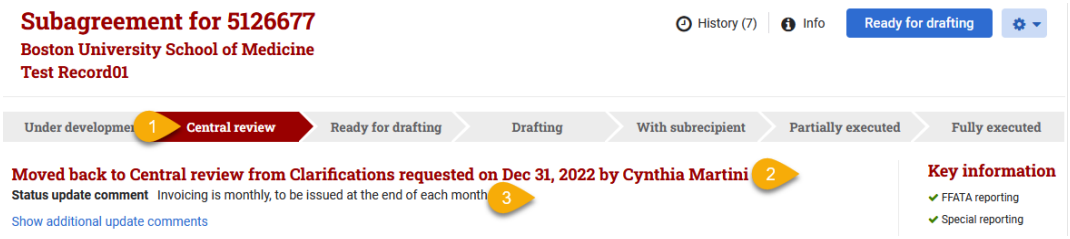


The **Remove** modal is displayed.

1. **Completion comments**: Enter the information requested.
2. Select **Done.**



1. The **Status bar** now reflects the primary status of **Central review.**
2. The **Status summary** identifies who changed the status and when it was changed.
3. The final **Status update comment** is visible (and any previous comments are made visible by clicking **Show additional update comments**).

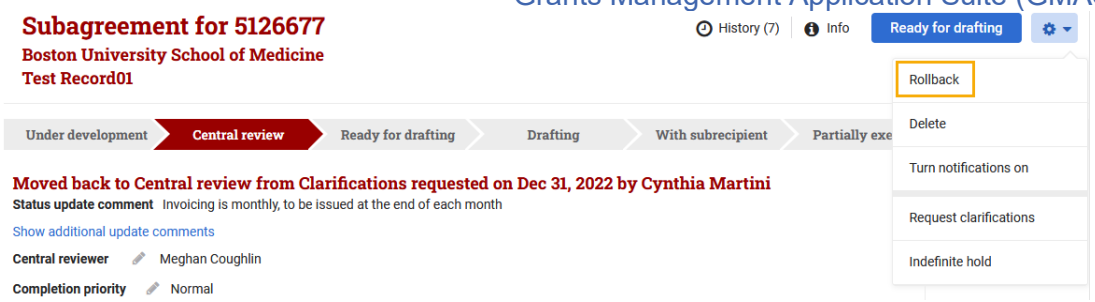


- Note on **In review:** If the department requests to review the draft in addition to the central reviewer before the subagreement is sent to the subrecipient, the Central reviewer may remove it from **In review**, and set it to **In review** again, assigning it to the department contact. The same secondary status may be applied again if needed.

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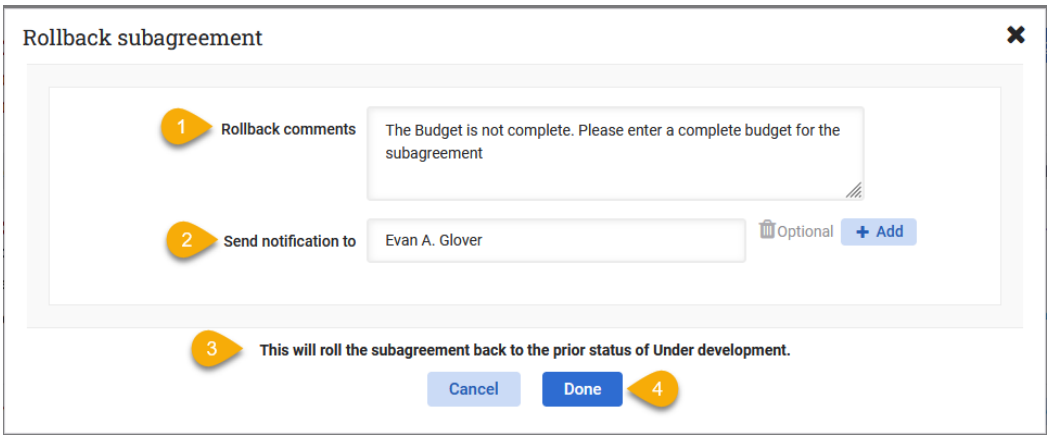
Rolling back a subagreement draft request

A subagreement draft may be rolled back at any point in the workflow between **Central review** and **Partially executed** statuses if the current status was changed in error, or if it is discovered that key information is missing or incorrect. Using the **Gear** icon, select **Rollback**.



The Rollback subagreement modal is displayed:

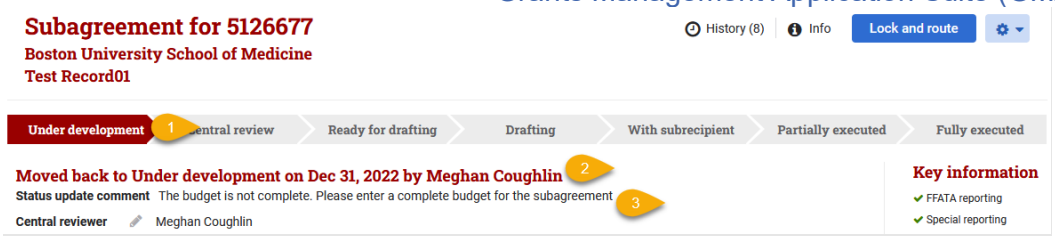
1. **Rollback comments** are required.
2. You may enter the name of one or multiple people you would like to notify about the roll back via an automated GMAS email notification. In **Send notification to** begin typing to find name.
3. A message is displayed, identifying the status that the subagreement will be rolled back to.
4. Select **Done** to complete the rollback.



The subagreement will be visible in the previous status on the sub dashboard for the person responsible for that step of the workflow to pick it up and review. The subagreement can be rolled back more than one step if necessary.

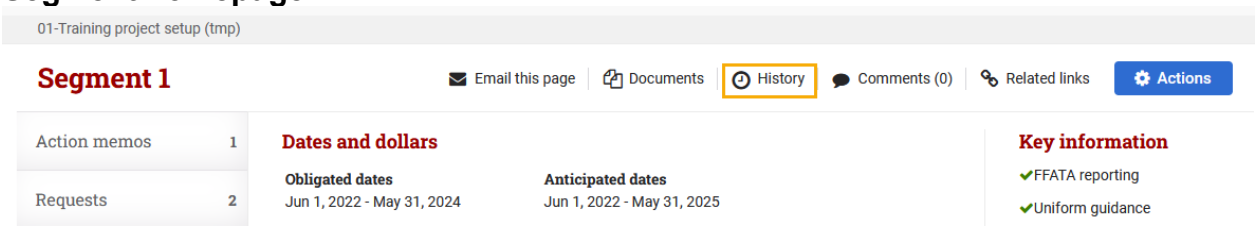
In the example shown below, the subagreement was rolled back from **Central review** to **Under development**.

1. On the subagreement homepage, the **status bar** displays the status of **Under development.**
2. The **Status summary** indicates who rolled it back and when.
3. The **Status update comment** identifies why it has been rolled back and what must be done to address the issue.

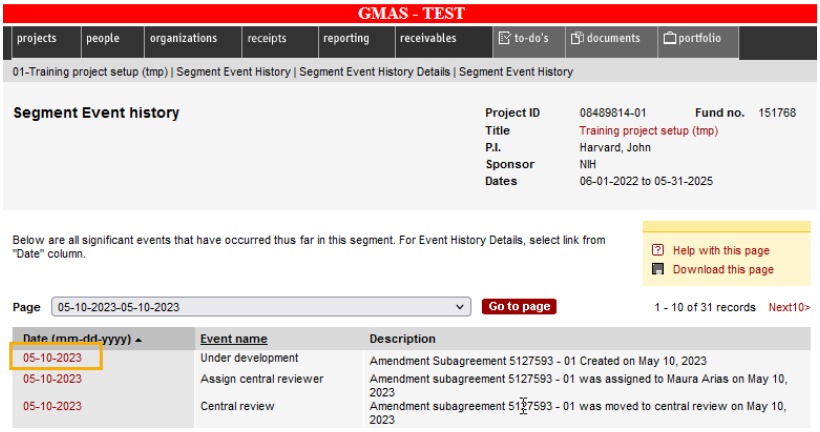


When a subagreement draft request is rolled back to **Under development**, the fields in the subagreement draft request homepage are again *editable by the department*. They will enter the requested information, then **Lock and route** again. The subagreement status is then reset to **Central review** and it continues on through the subagreement workflow.

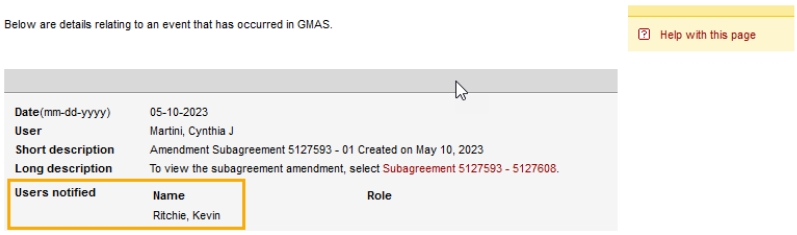
To identify who was notified on a rollback go to the History link at the top of the **Segment homepage**.



Click on the date of the event.



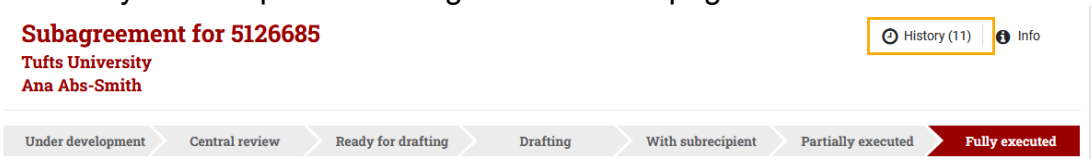
Person notified is displayed:



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Viewing the subagreement History

All actions in the workflow are tracked in the subagreement History. To view the History, click on History at the top of the subagreement homepage.



The History model is displayed, including the date of each event, name of the event, who completed the event, and details such as comments entered, assignment made, and who was notified etc.:

History for Regents of the University of California, San Francisco | subamendment 1 for 5133203

Date	Event	Created by	Details
Feb 5, 2026	With subrecipient	Micher Kaze	Contact information: "Feb 5, 2026:Idonnah.Hipolito@ucsf.edu" Notification recipients: Heidi Smith Pento
Feb 5, 2026	Drafting	Meghan Coughlin	In review completion comment: "Hi Micher, the PTE/Prime Award No should be updated to 5R01AG081273-02. Once that change is made the amendment can be sent to UCSF. Thanks." Notification recipients: Heidi Smith Pento
Feb 5, 2026	Assigned for review	Micher Kaze	Assigned to: Meghan Coughlin Notification recipients: Meghan Coughlin
Feb 5, 2026	Move to in review	Micher Kaze	Status update comment: "Good morning Meghan, Draft Modification had been uploaded to GMAS for your review. Thank you!"
Feb 4, 2026	Drafting	Micher Kaze	Status update comment: "Drafting" Notification recipients: Heidi Smith Pento
Jan 27, 2026	Assign drafter	Meghan Coughlin	Assigned to: Micher Kaze Notification recipients: Micher Kaze
Jan 27, 2026	Ready for drafting	Meghan Coughlin	
Jan 27, 2026	Assign central reviewer	Meghan Coughlin	Assigned to: Meghan Coughlin
Jan 27, 2026	Central review	Meghan Coughlin	
Jan 27, 2026	Under development	Meghan Coughlin	

.

Helpful links

- University wide GMAS Subagreement Business Process
- All Subagreement related Job Aids
- GMAS Subagreement Training for Departments – Course 1
- GMAS Subagreement Training for Departments – Course 2
- GMAS Subagreement Overview course for Central Administrators
- GMAS Subagreement Demonstration course for Central Administrators

System links

- Grants Management Application Suite (GMAS)

Documentation updates tracker

Update date	Description of updates
9/2/2026	Add Notification Recipient information to History section
5/21/2026	Updated links.
10/06/2025	Job aid migrated to new template. Updates made to content to include the addition of the new secondary status “On hold from revision”.

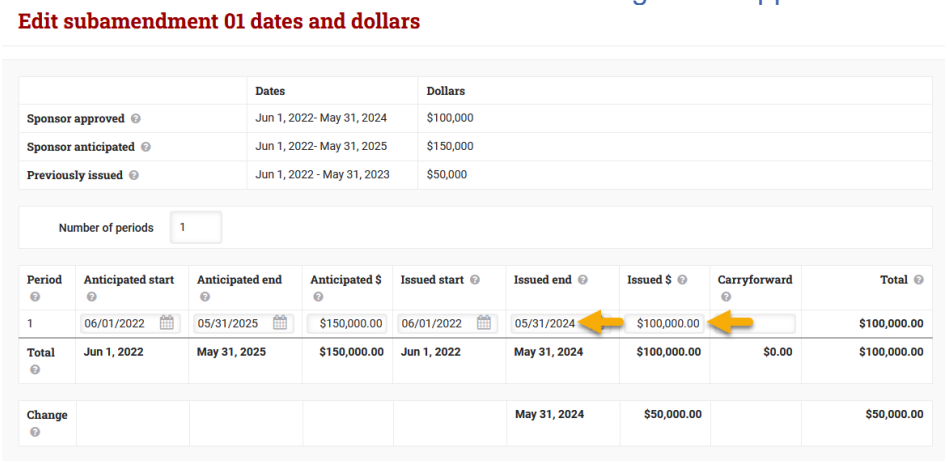
Appendix

Dates and Dollars Examples

One vs. Multiple Budget Periods

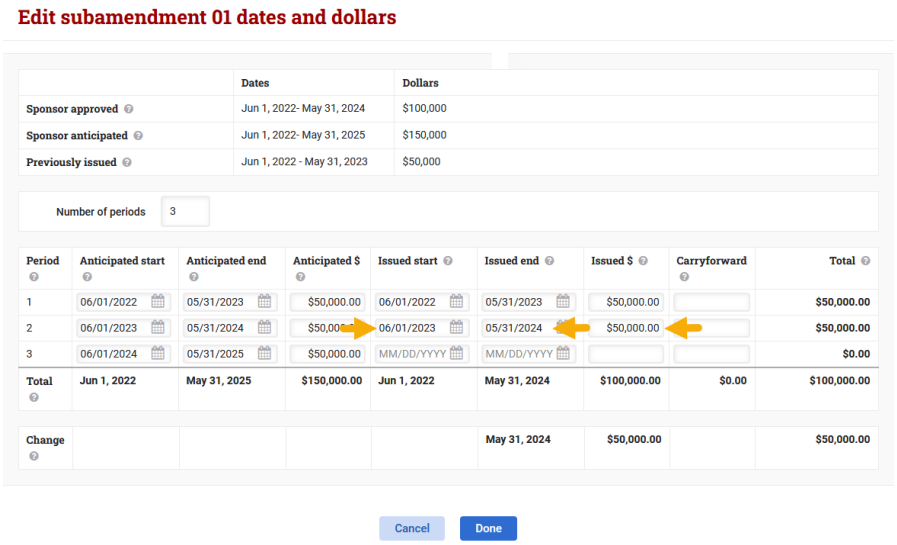
For each budget period, ensure that the anticipated start and end dates reflect the total dates that will be issued to the subrecipient over the life of the award.
Issued dates and dollars for each budget period must be within the dates and dollars identified as anticipated for that period. The issued dates and dollars should total at the bottom to the new total obligated dates and dollars for the subrecipient as of full execution of the current draft.

- If the dates and dollars are **all in one budget period**, with each subamendment the end date would be increased, but the start date would remain the same and the issued amount will be updated to the new total issued amount (including from prior drafts).
  In the example below, the draft is requesting the next year of funding (06/01/2023 – 05/31/2024) with an additional issued amount of $50,000 with the budget set up as 1 period. This results in a change to the issued end date to extend through 05/31/2024 and updates the issued dollars to the new total issued amount of $100,000 (the prior issued amount of $50,000 + the new issued amount of $50,000).



- If the dates and dollars are **broken out into separate periods**, with each subamendment, the start and end dates for the next period can be entered and the amount to issue for the draft can be entered in the new period.

  In the example below, the draft is requesting the next year of funding (06/01/2023 – 05/31/2024) with an additional issued amount of $50,000 with the budget set up as 3 periods. This results in the issued dates and issued dollars being entered in the budget period 2 row reflecting the new time and money being issued.



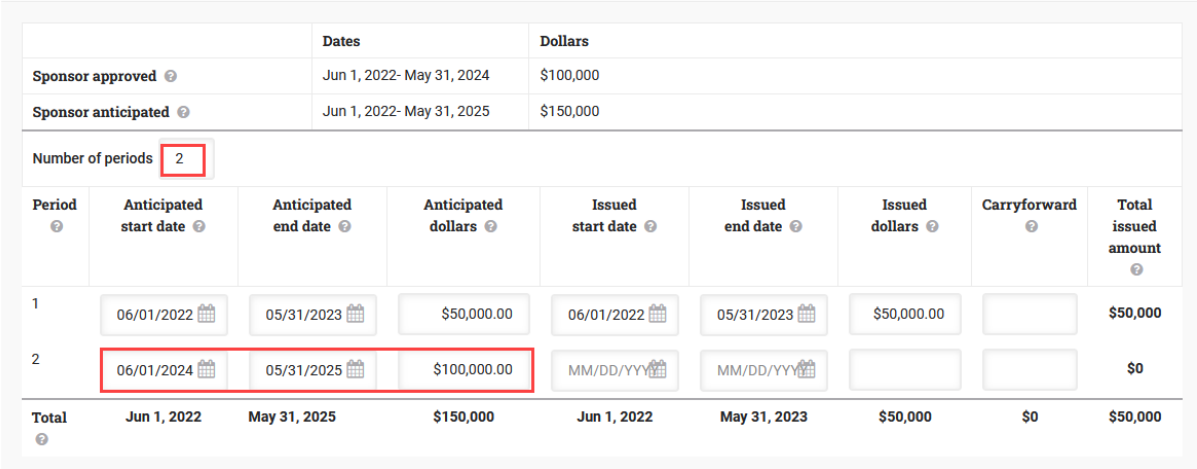
Both examples above result in the same period and same dollar amount being requested to issue.

Gap in Budget Periods

If there is a gap in budget periods (i.e., the sub will perform work in period one and three of the project, but not in period two), update the number of periods if needed and

change the Anticipated start date, end date and Anticipated dollars to reflect the budget for project budget period three, but sub project period two See the example below:

Edit subagreement 00 dates and dollars



	Dates	Dollars
Sponsor approved	Jun 1, 2022- May 31, 2024	$100,000
Sponsor anticipated	Jun 1, 2022- May 31, 2025	$150,000

Number of periods: 2

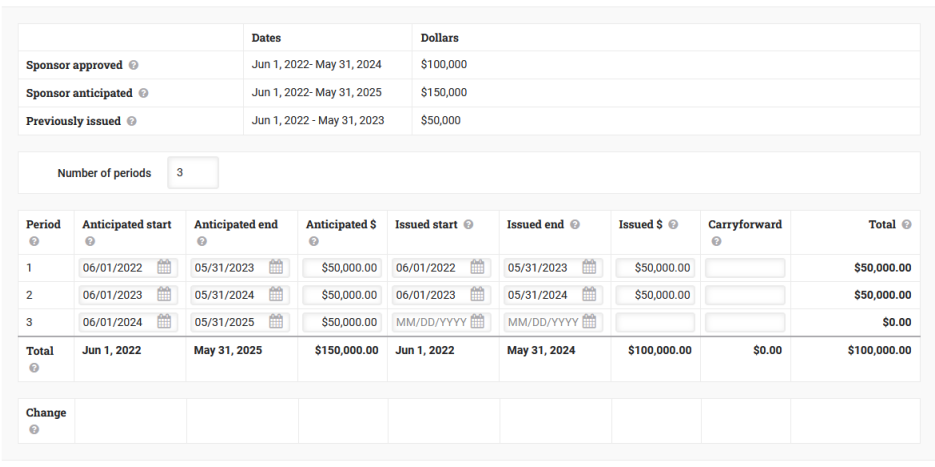
Period	Anticipated start date	Anticipated end date	Anticipated dollars	Issued start date	Issued end date	Issued dollars	Carryforward	Total issued amount
1	06/01/2022	05/31/2023	$50,000.00	06/01/2022	05/31/2023	$50,000.00		$50,000
2	06/01/2024	05/31/2025	$100,000.00	MM/DD/YYYY	MM/DD/YYYY			$0
Total	Jun 1, 2022	May 31, 2025	$150,000	Jun 1, 2022	May 31, 2023	$50,000	$0	$50,000

De-Obligating Funds

To de-obligate funds, enter the amount in the issued dollars column that will bring the total issued to the amount required. In the example below, we have issued $100,000 to date, and have anticipated $150,000 over three years. It has been determined that we are ending work with this subrecipient and the total amount we are issuing is $80,000. Budget period 2 will be de-obligated by $20,000, and budget period 3 will not be awarded.

The dates and dollars screen in the subamendment *initially* appears as below:

Edit subamendment 01 dates and dollars

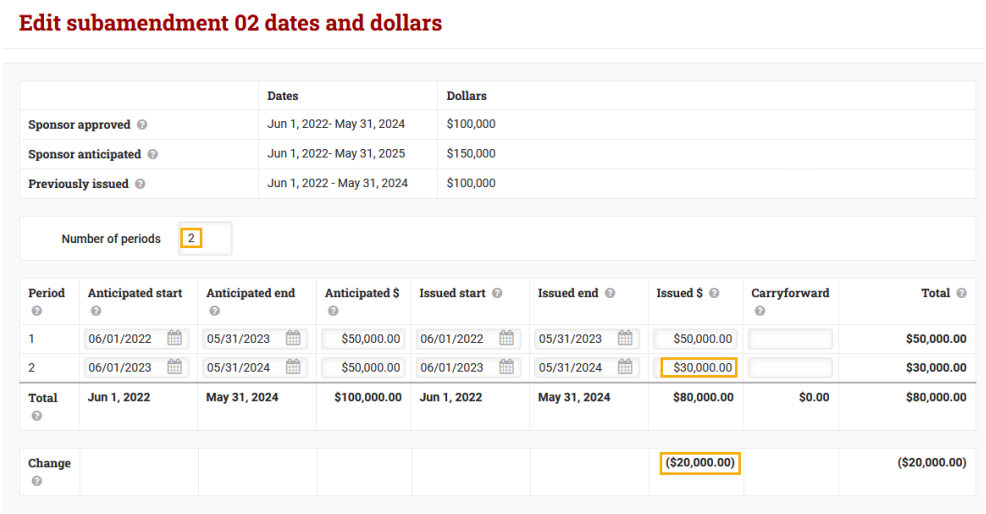


	Dates	Dollars
Sponsor approved	Jun 1, 2022- May 31, 2024	$100,000
Sponsor anticipated	Jun 1, 2022- May 31, 2025	$150,000
Previously issued	Jun 1, 2022 - May 31, 2023	$50,000

Number of periods: 3

Period	Anticipated start	Anticipated end	Anticipated $	Issued start	Issued end	Issued $	Carryforward	Total
1	06/01/2022	05/31/2023	$50,000.00	06/01/2022	05/31/2023	$50,000.00		$50,000.00
2	06/01/2023	05/31/2024	$50,000.00	06/01/2023	05/31/2024	$50,000.00		$50,000.00
3	06/01/2024	05/31/2025	$50,000.00	MM/DD/YYYY	MM/DD/YYYY			$0.00
Total	Jun 1, 2022	May 31, 2025	$150,000.00	Jun 1, 2022	May 31, 2024	$100,000.00	$0.00	$100,000.00
Change								

To request the de-obligation for the scenario described above, enter $30,000 in the Issued dollars field for Period 2, and change the number of periods from 3 to 2. The decrease of $20,000 shows in the **Change** line:



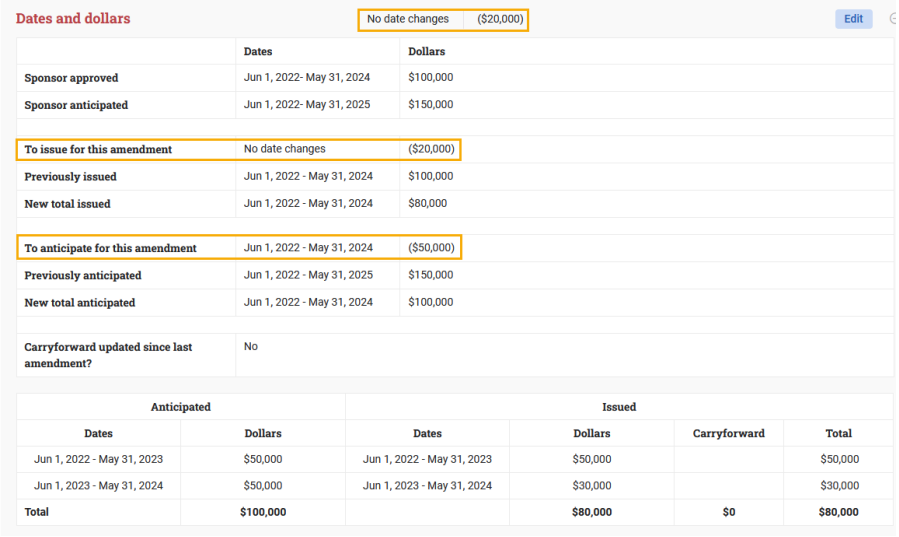
Edit subamendment 02 dates and dollars

	Dates	Dollars
Sponsor approved	Jun 1, 2022- May 31, 2024	$100,000
Sponsor anticipated	Jun 1, 2022- May 31, 2025	$150,000
Previously issued	Jun 1, 2022 - May 31, 2024	$100,000

Number of periods: 2

Period	Anticipated start	Anticipated end	Anticipated $	Issued start	Issued end	Issued $	Carryforward	Total
1	06/01/2022	05/31/2023	$50,000.00	06/01/2022	05/31/2023	$50,000.00		**$50,000.00**
2	06/01/2023	05/31/2024	$50,000.00	06/01/2023	05/31/2024	$30,000.00		**$30,000.00**
Total	**Jun 1, 2022**	**May 31, 2024**	**$100,000.00**	**Jun 1, 2022**	**May 31, 2024**	**$80,000.00**	**$0.00**	**$80,000.00**
Change						**($20,000.00)**		**($20,000.00)**

The panel on the subamendment homepage will also reflect the de-obligated amount of -$20,000 in “To issue for this amendment”. “To anticipate for this amendment” shows a decrease of $50,000, because the total anticipated over the life of this subagreement is now $100,000. The new End Anticipated date is also updated.



Dates and dollars — No date changes ($20,000) — Edit

	Dates	Dollars
Sponsor approved	Jun 1, 2022- May 31, 2024	$100,000
Sponsor anticipated	Jun 1, 2022- May 31, 2025	$150,000
To issue for this amendment	No date changes	($20,000)
Previously issued	Jun 1, 2022 - May 31, 2024	$100,000
New total issued	Jun 1, 2022 - May 31, 2024	$80,000
To anticipate for this amendment	Jun 1, 2022 - May 31, 2024	($50,000)
Previously anticipated	Jun 1, 2022 - May 31, 2025	$150,000
New total anticipated	Jun 1, 2022 - May 31, 2024	$100,000
Carryforward updated since last amendment?	No	

Anticipated		Issued			
Dates	Dollars	Dates	Dollars	Carryforward	Total
Jun 1, 2022 - May 31, 2023	$50,000	Jun 1, 2022 - May 31, 2023	$50,000		$50,000
Jun 1, 2023 - May 31, 2024	$50,000	Jun 1, 2023 - May 31, 2024	$30,000		$30,000
Total	**$100,000**		**$80,000**	**$0**	**$80,000**

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