

# Dean's Approval Form (DAF) Completion Guidelines

**May 24, 2012 (with revised fringe rates)**

Changes from previous versions are highlighted in yellow.

## Preface

These guidelines are intended to clarify the information requested on the Dean's Approval Form ([http://www.fas.harvard.edu/~research/forms/deans\\_approval\\_form.doc](http://www.fas.harvard.edu/~research/forms/deans_approval_form.doc)) that accompanies all sponsored project proposals.

If you have questions, please check with Pam Baker Webber at 495-9840 ([bakerwebber@fas.harvard.edu](mailto:bakerwebber@fas.harvard.edu)) or Elizabeth Lennox at 496-2491 ([elennox@fas.harvard.edu](mailto:elennox@fas.harvard.edu)).

**Please answer all questions on page 1 of the Dean's Approval Form, even if only to say "not applicable," and ensure that the necessary signatures have been provided on page 3.**

**The Faculty of Arts and Sciences Research Administration Services (FAS RAS) normally provides proposal review and approval on behalf of the FAS Dean via the Dean's Approval Form.** In certain science departments DAF approval is ordinarily provided by Laboratory Directors except in the following circumstances:

- a. there is cost sharing other than faculty contributed effort;
- b. the proposal includes a subcontract or subaward;
- c. there is a non-standard facilities and administrative (indirect cost) rate;
- d. the Principal Investigator's appointment ends before the project ends;
- e. the proposal involves research on human subjects, vertebrate animals, or human embryonic stem cells;
- f. the proposal is being submitted to an industrial (or other for-profit) sponsor;
- g. the proposal includes direct charging of administrative/clerical salaries to a federal award; or
- h. the total project budget exceeds \$1 million.

**1. DEADLINE.** Please state the date the proposal must be received at the funding agency. Note that proposals to all sponsors must be submitted for Office for Sponsored Programs (OSP) and Faculty of Arts and Sciences (FAS) approval **at least five business days prior to the deadline**, to allow time for review and any changes that must be made. Please indicate whether the deadline is a "postmark" deadline, a "receipt" deadline, or an "electronic" deadline. Also note that proposals to industrial or other for-profit sponsors will be reviewed by the Office of Technology Development (OTD) (<http://www.techtransfer.harvard.edu/>), rather than by OSP.

**2. PRINCIPAL INVESTIGATOR (PI).** Please specify whether the Principal Investigator is Professor, Associate Professor, Assistant Professor, Senior Lecturer, Senior Research Fellow, or Research Fellow. It is customary to name only one person as "Principal Investigator," with that person assuming ultimate authority for making academic decisions on the project as well as financial responsibility. Others with significant involvement may be listed as "Co-Investigators." Persons holding Research Associate appointments may be named as "Co-Principal Investigator" on proposals submitted by a qualified Principal Investigator.

In line with recent changes in sponsor requirements, if the application is for a Fellowship, please indicate the name of the Fellow in the space indicated by "PI NAME" and the faculty mentor/sponsor name on the line below.

**3. DEPARTMENT NAME.** Please supply the name of the PI's primary academic department or center.

**4. TUB AND ORG.** Indicate the coding for the tub and org to which this award will be assigned.

**5. PROGRAM ANNOUNCEMENT or REQUEST FOR PROPOSALS (RFP):** If the application is being submitted in response to a sponsor or agency program announcement or RFP, please cite the announcement or RFP number (if any) and indicate the URL for the announcement if it is available online. If the announcement or RFP is not available online, please attach a paper copy.

**6. P.I. APPOINTMENT.** If the PI is not a tenured faculty member, please either (1) indicate that the Principal Investigator's appointment continues through the entire time of the proposed project, or (2) explain at note #1 on page 2 of the Dean's Approval Form how the obligation to the sponsor will be discharged once the PI's appointment terminates. (Typically, either the project will be transferred with the PI to the new institution, or the PI responsibility will be transferred to another member of the department.)

**7. TITLE OF PROPOSAL.** Please provide the full name of the project.

**8. PROJECT PERIOD.** Please provide the start and end dates for the entire project period, including day, month, and year.

**9. AMOUNT.** Please supply the total amount requested (direct plus indirect) for all years of the project.

**10. SPONSOR.** Please fill in the full name of the sponsor, and the specific program, if applicable.

**11. AWARD NUMBER.** If an award number has already been assigned by the agency, please indicate it here.

**12. PRIME SPONSOR.** If this proposal is for a subcontract that will be issued to Harvard by another institution, indicate the prime sponsor of that institution's award.

**13. NUMBER OF COPIES:** Indicate the number of copies of the proposal (including the original) that should be sent to the sponsor.

**14. STATUS OF PROPOSAL.** Please indicate whether the proposal is new, a renewal, a non-competing continuation, a no-cost extension, a revision of a previous proposal, a resubmission, a supplement, or other (such as change of PI). Also note whether the proposal includes stimulus (ARRA) funding.

If the proposal is a revised budget for an NSF award, with a budget reduction of 10% or more, please include a budget impact statement that describes the corresponding reduction in the scope of work for the project.

**15. PROJECT TYPE.** Indicate the appropriate type for this proposal. Examples of "Other Sponsored Activity" are listed on page 2 of the Approval Form. Note that "Research" and "Instruction" are separate categories.

**16. LOCATION.** Please specify whether the proposed research will be conducted on-campus or off-campus. This is particularly important in cases where a sponsor places a limit on indirect cost recovery and the stated rate does not necessarily imply where the research is taking place. The off-campus rate must be justified on page 2 of the Dean's Approval Form at note #5, by proving that most of the effort (i.e. at least 50%, and exclusive of subcontracts) will take place off-campus.

**17. FRINGE BENEFIT RATE.** Please check all rates used to calculate fringe benefits in the project proposal budget for all applicable years. The approved fringe and vacation assessment rates are summarized on the Dean's Approval Form. The detailed fringe rates and vacation assessments (approved and estimated) are also indicated in the tables below. **FY 2015 estimated rates should be used for all years beyond FY 2015. If a project spans fiscal years with different rates, the fringe rates should be pro-rated.**

For fellowship grants that do not cover fringe benefits, please include a cost sharing form (if Harvard funds) or memorandum (if another sponsor's funds) indicating the source of support for fringe benefits.

<b>Harvard Fiscal Year 2012: 7/1/11-6/30/12 (approved)</b>	<b>Fringe</b>	<b>Vacation Assessment</b>	<b>Total</b>
Faculty & Other Academic	27.6%	N/A	<b>27.6%</b>
Exempt	33.9%	10.3%	<b>44.2%</b>
Enrolled Students (Undergraduate and Graduate)	N/A	N/A	<b>0.0%</b>
Non-Exempt	46.5%	9.9%	<b>56.4%</b>
Temporary, Unenrolled	10.4%	N/A	<b>10.4%</b>
Graduate Student "Research Assistants"	N/A	N/A	<b>0.0%</b>
HU Post-Docs	25.2%	N/A	<b>25.2%</b>

<b>Harvard Fiscal Year 2013: 7/1/12-6/30/13 (approved)</b>	<b>Fringe</b>	<b>Vacation Assessment</b>	<b>Total</b>
Faculty & Other Academic	27.3%	N/A	27.3%
Exempt	34.1%	10.5%	44.6%
Enrolled Students (Undergraduate and Graduate)	N/A	N/A	0.0%
Non-Exempt	47.1%	10.5%	57.6%
Temporary, Unenrolled	8.3%	N/A	8.3%
Graduate Student "Research Assistants"	N/A	N/A	0.0%
HU Post-Docs	24.3%	N/A	24.3%

<b>Harvard Fiscal Year 2014: 7/1/13-6/30/14 (estimated, for budgeting purposes)</b>	<b>Fringe</b>	<b>Vacation Assessment</b>	<b>Total</b>
Faculty & Other Academic	27.7%	N/A	27.7%
Exempt	34.6%	10.5%	45.1%
Enrolled Students (Undergraduate and Graduate)	N/A	N/A	0.0%
Non-Exempt	48.3%	10.5%	58.8%
Temporary, Unenrolled	8.4%	N/A	8.4%
Graduate Student "Research Assistants"	N/A	N/A	0.0%
HU Post-Docs	25.2%	N/A	25.2%

<b>Harvard Fiscal Year 2015: 7/1/14-6/30/15 (estimated, for budgeting purposes—also for years beyond FY 2015)</b>	<b>Fringe</b>	<b>Vacation Assessment</b>	<b>Total</b>
Faculty & Other Academic	28.1%	N/A	28.1%
Exempt	35.3%	10.5%	45.8%
Enrolled Students (Undergraduate and Graduate)	N/A	N/A	0.0%
Non-Exempt	49.6%	10.5%	60.1%
Temporary, Unenrolled	8.4%	N/A	8.4%
Graduate Student "Research Assistants"	N/A	N/A	0.0%
HU Post-Docs	26.0%	N/A	26.0%

**18. FACILITIES AND ADMINISTRATIVE (INDIRECT COST) RATE.** Please indicate the indirect cost rate reflected in the proposal. **Note that indirect cost rates are negotiated with the Department of Health and Human Services (DHHS). The date of the most recent agreement is December 21, 2010.**

The current indirect cost rates are as follows:

<b>Harvard Fiscal Years:</b>	<b>FY12 through FY15 7/1/11-6/30/15</b>	<b>Subsequent Years</b>
Research	69.0%	69.0%
Other Sponsored Activity	34.0%	34.0%
Off-Campus Activity	26.0%	26.0%

**Indirect cost rates should be pro-rated if a project spans fiscal years with different rates.** The FY 2015 rate should be used for all “out” years.

If you check “Other,” please elaborate on page 2 of the Dean's Approval Form at note #6 and **attach documentation or indicate the online source of information** to show that the rate requested is the highest that the written policy of the sponsor will allow. In such cases, indirect costs should be calculated on Total Direct Costs (TDC) rather than on Modified Total Direct Costs (MTDC), unless prohibited by the sponsor’s written policy. You should also use page 2 of the Dean's Approval Form to indicate if the proposal is a doctoral dissertation improvement grant, which carries no overhead.

Note that sponsored awards from **industrial** or other **for-profit** sponsors must be at the full federal rate.

Some information about indirect cost rates of many non-federal sponsors (foundations and not-for-profits) can be found on the OSP website at <http://osp.fad.harvard.edu/content/non-federal-sources>.

**19. ADMINISTRATIVE/CLERICAL STAFF.** If the proposal includes any administrative or clerical salary expenses, indicate that by checking the appropriate box.

If the proposal includes admin/clerical salaries **and** is being submitted to a federal sponsor, Laboratory Directors will not provide FAS Dean's approval; such proposals must be submitted through FAS Research Administration Services (FAS RAS) to OSP.

**20. BIOHAZARDS or rDNA:** If the research involves the use of biohazardous materials or recombinant DNA, documentation of approval from the Harvard Biosafety Office (<http://www.hms.harvard.edu/orsp/coms/>) must be attached.

**21. HUMAN SUBJECTS.** If the project requires the use of human subjects, the relevant approval date should be supplied and the appropriate approval attached. New proposals or competing continuation proposals may indicate that review is "pending," but approval must be granted before any human subjects involvement, including recruitment, can begin. ("**Pending review**" is **not appropriate for non-competing continuation proposals.**)

Note that Laboratory Directors will not provide FAS Dean's approval for proposals involving human subjects; such proposals must be submitted through FAS Research Administration Services (FAS RAS) to OSP. The Committee on the Use of Human Subjects (CUHS) website may be accessed at <http://cuhs.harvard.edu/>

**22. VERTEBRATE ANIMALS:** If the project requires the use of vertebrate animals, the box indicating that approval will be provided "just in time" should be checked. The only exception to this is for non-competing continuation projects, which must have a current Institutional Animal Care and Use Committee (IACUC) approval. Check with Ellyn Lane, 495-1510, [lane@fas.harvard.edu](mailto:lane@fas.harvard.edu), for details on IACUC approval dates. More

information on the Use and Care of Animals may be found at <http://www.fas.harvard.edu/~research/approvals/iacuc.html>

Note that Laboratory Directors will not provide FAS Dean's approval for proposals involving vertebrate animals; such proposals must be submitted through the FAS Research Administration Services (FAS RAS) to OSP.

When proposals are submitted with IACUC approval status of "just in time," approval must be received from the IACUC office before any funds can be expended, or orders placed, for animals to be used in research.

In addition, animal *per diem* charges must be included in the proposal budget or an explanation provided for how they will be covered at note #9 on page 2 of the Dean's Approval Form. *Per diem* charges are available from the Office of Animal Resources, 496-9989.

**23. HUMAN EMBRYONIC STEM CELLS.** If the research involves the derivation or use of human embryonic stem cells, whether or not they are included on the NIH registry, approval must be obtained from the Embryonic Stem Cell Research Oversight Committee (ESCRO) (<http://www.fas.harvard.edu/~research/approvals/escro.html>).

Note that Laboratory Directors will not provide FAS Dean's approval for proposals involving human embryonic stem cells; such proposals must be submitted through the FAS Research Administration Services office.

**24. SUBAWARD OR SUBCONTRACT.** If the proposed work includes a subcontract or subaward from Harvard to another institution or individual, the proposal must include a written description of the work to be performed at the other institution, a budget, justification for selection of the subcontractor, and correspondence from the subcontracting institution confirming their intent to perform the work. Each subrecipient institution, subrecipient PI, and subcontract period of performance must be listed on page 3 of the Dean's Approval Form. Attach additional pages if necessary.

Do not check this box if the proposal is itself a subcontract *from* another institution. In this case; indicate the institution that will be issuing the subaward to Harvard in the "Sponsor" section on page one of the form. The "Prime Sponsor" is the sponsor that the full proposal is submitted to, and should be indicated in the appropriate space.

**25. CONFLICT OF INTEREST DISCLOSURE.** All investigators applying for National Science Foundation (NSF), American Cancer Society (ACS), American Heart Association (AHA), or Public Health Service (PHS) funding must declare any potential financial conflicts of interest to the appropriate University officials **before a proposal is submitted to the agency**. Note that PHS encompasses all of the National Institutes of Health (NIH) agencies also.

To confirm that all investigators have filed as appropriate, the PI Certification Form ([http://www.fas.harvard.edu/~research/forms/PI\\_cert.pdf](http://www.fas.harvard.edu/~research/forms/PI_cert.pdf)) must be completed by the PI and attached to the Dean's Approval Form for each proposal submitted to one of the above agencies.

In the FAS, potential conflicts of interest are indicated on the Disclosure Form Required for Federal Support which is part of the online Affirmation of Awareness process. (<http://admin-apps.fas.harvard.edu/disclosure/index.html>) Paper forms may also be printed from that site for investigators who do not have a PIN number.

FAS faculty must complete the Affirmation of Awareness at regular intervals and update their information as relevant circumstances change. If there is a question about whether an investigator has a current Disclosure Form Required for Federal Support on file, check with Gearóid (Griff) Griffin, 495-9204, or **Elizabeth Lennox, 496-2491**.

If the proposal involves a subcontract and is funded by any of the above sponsors, all non-Harvard investigators performing on the subcontract must either (a) comply with Harvard's rules for disclosure of potential conflicts of interest, or (b) comply with their home institution's rules for disclosure. In the latter case, certification that the home institution has a written and enforced policy on conflicts of interest will typically be indicated on the "checklist" page of the subcontract.

Further information about the FAS Affirmation of Awareness and FAS and University policies on financial conflict of interest can be found on the FAS Research web site at <http://www.fas.harvard.edu/~research/policy/coi.html> .

**26. NIH SIGNATURE PAGE.** If the proposal is being submitted to the NIH, a separate page must be signed by the Principal Investigator and attached to the Dean's Approval Form, indicating that the PI understands and accepts his or her obligations regarding the proposal and the award. Copies of the form are available at <http://www.fas.harvard.edu/~research/forms/NIHsignature.doc>.

**27. COST SHARING.** If the proposal involves cost sharing in the form of quantifiable effort by the PI or other faculty working on the project, uncompensated by the sponsor, please explain at note #13 on Page 2 of the Dean's Approval Form why this cost sharing must be offered in the proposal (e.g., it is a requirement in the attached RFP) and include a cost sharing form. The cost sharing form should indicate only the faculty member's name and percentage of effort, not the charge coding or salary amount.

If cost sharing other than faculty contributed effort is involved (including cost sharing to be paid from another sponsor's funds), the cost sharing form must indicate the source and amount of funds to be offered as cost sharing.

The cost sharing form and instructions are available at [http://www.fas.harvard.edu/~research/policy/cost\\_share.html](http://www.fas.harvard.edu/~research/policy/cost_share.html)

**28. MULTIPLE SCHOOLS, DEPARTMENTS, or CENTERS.** When a project involves investigators, staff, facilities, or resources from other FAS departments or centers, or other schools or entities at Harvard University, appropriate approval from each other school or entity must be obtained. Details about the other center(s), department(s), or school(s), including administrative contact information, should be indicated on page 3 of the Dean's Approval Form. If another school, department, or center will be administering a part-of account, or will be contributing resources (cost sharing, matching funds, contributed effort, etc.), the Dean's Approval Form should include the signature of the additional PI and the appropriate departmental authority, or a copy of an email acknowledging responsibility for the proposed arrangements should be attached.

**29. OFFICE OF CORPORATE AND FOUNDATION RELATIONS (OCFR) NOTIFICATION—UNIVERSITY MANAGED PROSPECT LIST.** If the proposal is to be submitted to a private foundation or corporation on the *University Coordinated Prospect List*, the University Development Office (UDO) (formerly Office of Corporate and Foundation Relations (OCFR)) must be notified before the proposal is submitted. An email summary should be sent to UDO with the following information: name of foundation/ corporation, principal investigator, title and brief description of project/proposal, specific program at the foundation/corporation from which funding is sought, and level of funding requested.

The University Coordinated Prospect List and UDO contacts may be found at <http://osp.fad.harvard.edu/content/university-coordinated-prospect-ucp-criteria-and-listfoundations-and-corporations>.

**30. INCREMENTAL OR RENOVATED SPACE:** If the proposed project will require additional space, or renovations to existing space, a separate explanation should be attached to the copies of the proposal submitted to FAS RAS and to OSP. Renovations or alterations requiring significant incremental resources must also be approved by Mike Lichten ([mlichten@fas.harvard.edu](mailto:mlichten@fas.harvard.edu), 495-4216) before the proposal is submitted to the sponsor.

**31. DEPARTMENT CONTACT INFORMATION.** Please indicate the name, telephone number, and email address of a person who can answer questions about the proposal -- usually this will be the laboratory or grants administrator.

**32. COMMENTS.** Please indicate any other issues that may be relevant to the particular proposal, using additional pages if necessary. If there are special mailing or deadline requirements for the proposal, they should be indicated here.

**33. SIGNATURES:** Three signatures are required on the Dean's Approval Form, plus any additional signatures or confirming email(s) if the proposal involves other schools, departments, or centers. Note that the signature of the Principal Investigator and of the Laboratory Director (if s/he is signing on behalf of the Dean) may not be delegated.

Although the Dean's Approval Form does not specify each of the following items, **it is understood that the individual who signs on behalf of the department is certifying that:**

1. There is no apparent reason why the faculty member could not conduct the research if the funds were awarded.
2. There is no apparent conflict of interest for the PI or other investigators on the project. It is understood that the signer may not even be aware of reported or obvious conflict, since the FAS policy is to inform the Committee on Professional Conduct directly.
3. The timing and extent of the PI's commitment to the project will not interfere with departmental obligations.
4. Space, equipment, and facilities needed that will not be provided by the sponsor can and will be provided by the department from its existing resources, unless specific other arrangements have been made and approved by appropriate FAS authorities.
5. The budget reflects the full cost of the project, is reasonable, and is mathematically correct.

Several competitive sponsored fellowships, grants, and prizes specify that only a limited number of proposals may be submitted by the University as a whole. In these cases, the Provost will coordinate the selection process on behalf of the University in an effort to ensure equity within the University on the allocation of opportunities. The Provost will appoint *ad hoc* committees to review applications and assist in the selection of Harvard's nominee(s). Please note that it will be necessary to set internal deadlines well in advance of official deadlines set by sponsors to allow adequate time for a review and selection of final candidates.

FAS has outlined the following procedures to be followed in the unlikely event of extended PI inactivity: Laboratory Directors, or other designated individuals in Departments that have no Laboratory Directors, in consultation with the Chairs of their departments, are responsible for general oversight of the activity of PIs. In cases where there is evidence of extended inactivity or other oversight problems exist, these designated individuals are required to bring the matter to the attention of **the appropriate Divisional Dean**, or Patrick Fitzgerald, FAS Associate Dean for Research Administration.

For further clarification of the information requested on the Dean's Approval Form, please call **Pam Baker-Webber at 495-9840, Elizabeth Lennox at 496-2491**, or your OSP departmental contact at 495-5501. A list of OSP contacts is available at <http://osp.fad.harvard.edu/content/contact-osp>.