

## NIH Other Support – Harvard Central Reviewer Guide

**Purpose:** This document is intended to guide Harvard Central Administrators within OSP, HMS ORA, and SPH SPA (i.e., Central Reviewers) in reviewing Other Support information and preparing it for submission to NIH. It is intended to be used in addition to the [NIH Other Support instructions and FAQs](#).

Follow your School’s guidance for review of Other Support. Schools may have additional steps for review and handoff of Other Support, particularly for review of foreign agreements. Also note that GMAS entry and/or document upload is required for most submissions (e.g., JIT request, or Continuation request for Other Support submitted as part of an RPPR).

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## Other Support Definition

Per NIH, Other Support includes all resources made available to a researcher in support of and/or related to any of their research endeavors, regardless of whether they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant (i.e., Harvard).

Other Support is required for all individuals designated in an application as senior/key personnel.

Other Support includes:

- **Resources and/or financial support from all foreign and domestic entities that are available to the reporting individual.** This includes, but is not limited to, financial support for laboratory personnel and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.) and start-up funds from institutions other than Harvard.
- **Consulting (outside activities), when the reporting individual will be conducting research** as part of the consulting activities.
- **In-kind contributions**, e.g., office/laboratory space, equipment, supplies, or employees or students supported by an outside source. If the time commitment or dollar value of the in-kind contribution is not readily ascertainable, the recipient must provide reasonable estimates. The effort and dollar value listed cannot both be zero.
- **Current and pending resources.** The updated NIH format and instructions must be followed for all Other Support submissions, both competing applications and RPPRs (progress reports).

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Other Support does not include:

- **Training awards, prizes, or gifts.** Gifts are resources provided where there is no expectation of anything (e.g., time, services, specific research activities, money, etc.) in return. An item or service given with the expectation of an associated time commitment is not a gift, it is an in-kind contribution and must be reported as such.
- **Start-up funds from the submitting institution** (Harvard).
- **Resources that are broadly available.** Examples include Institutional resources, such as core facilities or shared equipment that are made available for more than one researcher or group/lab. These should be listed in the application, within the Facilities and Other Resources section.
- **Consulting, where the reporting individual is not conducting research.**
- **Completed projects or support.** NIH does not require disclosure of recently completed support in Other Support submissions, only current and pending resources.
- **Teaching support.** NIH only requires disclosure of support directly related to an individual's research endeavors.
- **Appointments.** If resources are not being granted as part of a foreign appointment the appointment does not need to be listed. If resources are being granted that support an individual's research endeavors, the resources should be listed as noted above, not the appointment itself.

## Roles & Acronyms

Roles:

**Researcher/reporting individual** = the individual responsible for reporting support to NIH. Includes anyone who is listed on a pending or active NIH award as a PI or other Senior/Key Personnel role.

**GM** = Grants Manager or other departmental administrator who assists researchers with preparing, formatting, and reviewing Other Support documents.

**Central Reviewer/AOR** = Authorized Organizational Representative; a reviewer in one of the three central submitting offices (OSP, HMS ORA, or SPH SPA) responsible for reviewing, authorizing and submitting Other Support information to NIH.

Additional Acronyms:

**OS** = Other Support

**APP** = Active & Pending Projects download from GMAS (formerly CPS, or Current & Pending Support)

**PM** = person months

## Other Support: Initial Review

The Other Support Central Review process begins once the GM routes the OS document to the Harvard central submitting office, either via email or uploaded to GMAS within a JIT or Continuation (RPPR) request.

Note that Central Reviewers can only verify information on sponsored proposals and awards and incoming Billing Agreements in GMAS.

**STEP 1: Check that the reporting individual (i.e., the researcher submitting OS document) has taken the HTP training.**

Central reviewer is only responsible for checking training status of their tub(s) researchers. If training has not been completed, alert the researcher or their GM that the training must be completed before OS is submitted to NIH.

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**STEP 2:** Check that the reporting individual's **name and eRA Commons ID** are listed at the top of the form.

**STEP 3:** Check the **GMAS person profile documents for the reporting individual to see if any foreign outside agreements have been uploaded to the Outside Foreign Contracts and Agreements folder for review.** If there are foreign agreements marked as “review in process,” or which have no designated status, notify GM that such agreements will need to be reviewed to determine whether they require inclusion in the Other Support document. Note that Other Support cannot be finalized/signed until all such foreign agreements have been reviewed.

**STEP 4:** Scan the **OS document to check for all types of support**, including in-kind contributions (such as externally-supported personnel), internal awards, and other sources of support. If the document lists only sponsored awards (i.e., projects in GMAS), ask the GM if they have had a conversation with the reporting individual regarding potential other sources of support.

**STEP 5:** Download the “**Active and Pending Projects**” (**APP**) Excel file from **GMAS** for each Harvard key personnel required to submit Other Support (OS).

**STEP 6:** Using APP, **verify that all ACTIVE and PENDING sponsored awards and incoming sponsored billing agreements are listed** on OS. If there are sponsored awards at other institutions (which may happen with dually appointed individuals), ask the GM to obtain confirmation from those other institutions that the information listed is accurate.

**STEP 7:** **Make sure that effort is expressed in person months**, as either calendar, academic, or summer months. Add up the effort for all Active projects to make sure it doesn't exceed 12 PMs (person months). (Note: Some schools have lower PM thresholds. Please defer to school-level guidance.) See Overlap section below.

### **STEP 8 (RPPR submissions only):**

- OS submission at RPPR is required for any new Key Personnel and those existing Key Personnel for whom there has been a change since the last reporting period. The OS form should include both active and pending support (older formats included recently completed projects and omitted pending ones; the format is now the same for JIT and RPPR submissions). *Note that the current RPPR instructions have not yet been updated to include the new format, but the new format is still required for submissions due on/after 1/25/2022.*
- If there has been a change in the active support since the last reporting period or submission of the reporting individual's OS, check that the changes have been identified within the document. The annotated text should make it clear what has changed from the previous submission.

NOTE: Special instructions for **Mentors' Current and Pending Support in Career Development (K) applications:**

- Submit “Current and Pending support” as part of the application for the mentor(s) only, not for the candidate (PI).
- The Current and Pending Support is limited to 3 pages for each mentor/co-mentor (unless the Funding Opportunity Announcement states otherwise).
- Include only research projects that are relevant to the candidate's research plan.
- For active projects, provide the total award costs for the period of performance, including indirect costs. For pending projects, provide the proposed total costs for the period of performance.
- Do not include percent effort/person months or an overlap statement.

The mentor's **Other Support** document submitted at JIT stage should follow the standard OS instructions.

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**NOTE:** For K awards submitted by another institution, where the mentor is a Harvard faculty member, the mentor's signed Other Support document should be uploaded to their person document repository by the Central Reviewer with a naming convention that includes the Prime PI name and Date of Submission. Also note that there will not be a GMAS request for these submissions.

### Other Support: Individual Section Review

#### PROJECTS/PROPOSALS

Make sure the active and pending projects and incoming sponsored billing agreements in GMAS (from the APP) are listed in this section, with Active projects listed first followed by Pending.

For Internal (Harvard) research awards, and for projects awarded through other institutions where we don't have a subaward or a billing agreement, Central Reviewers will need to rely on the researcher's reporting.

The review notes below rely on the **GMAS APP download** for each Harvard key personnel reporting OS. References to "**Column**" in this section relate to the information in the corresponding column of the APP file.

#### Format:

##### ACTIVE

Title: **Column H:** Title

Major Goals: PI must provide description of goals

Status of Support: Active

Project Number: **Column D:** Sponsor Award Number (if Harvard is a subrecipient, use the prime award number on the segment home page in GMAS)

Name of PD/PI: **Column E:** Principal Investigator (if Harvard is a subrecipient, use the Prime institute PI on the segment home page in GMAS)

Source of Support: **Column F:** Sponsor (Column G: Prime Sponsor if Harvard is a subrecipient)

Primary Place of Performance: **This should be the Harvard School for the reporting individual (even when we are a sub) or where the reporting individual is conducting the work (ie Billing Agreement/off-campus/dual appt with work being done at secondary appointment location)**

Project/Proposal Start and End Date (MM/YYYY): **Column J:** Start Date & **Column L:** End Date

Total Award Amount (including Indirect Costs): **Column S,** Total Anticipated Amount (if Harvard is a subrecipient this should be the subaward total amount)

Person Months (Calendar/Academic/Summer) per budget period: Level of actual effort in person months for the current budget period and proposed level effort for each remaining budget period. (The numerals in the Year column of the chart can be adjusted to reflect the remaining periods.)

In the chart below, Year should be the year that the budget period ends. For example, if your project dates are 3/2021-2/2025, Year 1 would be listed as 2022, Year 2 as 2023, Year 3 as 2024, and Year 5 as 2025. If you are reporting from Year 3 onwards, the first year listed would be 3.

Year (YYYY)	Person Months (##.##)
1.	
2.	

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Year (YYYY)	Person Months (##.##)
3.	
4.	
5.	

**Note: NIH will not accept zero (0.00) or “N/A” effort for projects/proposals**, even if the sponsor of the award does not require an effort commitment. Effort should be displayed even if the award is not charged for the effort. If the reporting individual confirms that there is truly no effort being expended, the project should be evaluated to determine whether it should be included under In-Kind Contributions or Other Resources/Support, or if it should be removed from the OS document.

### PENDING

Title: *Column H: Title*

Major Goals: PI must provide description of goals

Status of Support: Pending

Project Number: *Column D: Sponsor Award Number (if Harvard is a subrecipient, ask the prime for the award number if it's available)*

Name of PD/PI: *Column E: Principal Investigator (if Harvard is a subrecipient, use the contact PI on the segment home page in GMAS)*

Source of Support: *Column F: Sponsor (Column G: Prime Sponsor if Harvard is a subrecipient)*

Primary Place of Performance:

Project/Proposal Start and End Date (MM/YYYY): *Column J: Start Date & Column L: End Date*

Total Proposed Amount (including Indirect Costs): *Column S, Total Anticipated Amount (if Harvard is a subrecipient this should be the subaward total amount)*

Person Months (Calendar/Academic/Summer) per budget period: proposed effort (in submitted application) for each budget period

Year (YYYY)	Person Months (##.##)
1.	
2.	
3.	
4.	

If none to report, list “None” under the header and no other information is needed.

### IN-KIND

Both Active and Pending in-kind contributions must be included in this section. Active should be grouped together at the top, followed by Pending.

Examples of in-kind contributions include, but are not limited to, office/laboratory space, equipment, supplies, trainees or employees supported by an outside source (including collaborators), and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, access to data, etc.).

Materials received from external collaborators within the past 3 years that are still in use must be included.

We rely on the researcher's reporting for in-kind contributions, as these are not captured in GMAS or another Harvard system.

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### Format:

Summary of In-Kind Contribution:

Status of Support (Active/Pending):

Project/Proposal Start and End Date (MM/YYYY), if applicable:

Person Months (Calendar/Academic/Summer) per budget period, if applicable: \*

Estimated Dollar Value of In-Kind Information: \*

\*Reasonable estimates of either **effort** (person months) **or dollar value** must be provided; both are not required.

If there is nothing to report, the reporting individual should mark as “None” under the header and nothing further is needed in this section.

### OTHER RESOURCES/SUPPORT

Any resource which meets the NIH definition of Other Support, but which is not a project or in-kind contribution, should be listed in this section, with the applicable information.

Examples include, but are not limited to, any employment or start-up funds from an institution other than Harvard (e.g., Broad, affiliate hospitals, HHMI Investigators); consulting, when the consulting activities include the conduct of research; private equity financing for NIH SBIR/STTR program or similar (e.g., Mass Life Sciences); travel/living expense reimbursements.

Central Reviewers need to rely on the reporting individual for resources/support in this category.

### Format:

Summary of Activities/Resources:

Status of Support (Active/Pending):

Source of Support:

Start and End Date:

Estimated Total Dollar Value: Consulting activities are reported as estimates for the amount paid, rather than time and effort, and will not count towards the 12CM of effort.

If there is nothing to report, the reporting individual should mark as “None” under the header and nothing further is needed in this section.

### SUPPORTING DOCUMENTATION

If the reporting individual has any outside foreign agreements specific to foreign appointments, employment or affiliations, the agreements must be uploaded to that individual’s GMAS person profile for review and determination as to whether they should be attached to their OS document and included as a source of support on the OS form.

Supporting documentation (foreign agreements):

- Must be translated into English (this is the responsibility of the reporting individual), and both the original version and the English translation should be attached to the Other Support

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- Should not have information redacted (blacked out)
- Must be reviewed by the School prior to submission (check local policy and process for institutional review of foreign agreements for the appropriate office or individual)

It is the responsibility of the Central Reviewer to attach all foreign agreements marked as “Reviewed - OK to submit” to the final version of the Other Support document. If there are agreements that have no status indicated, or are marked as “Review in process,” such agreements must be reviewed before the Other Support document may be finalized.

If the Central Reviewer notes that a resource associated with a foreign affiliation, appointment, or employment (including consulting) of the reporting individual has been included on the Other Support form, and they do not see a corresponding outside foreign agreement in the GMAS repository, they should prompt the GM to discuss the relationship with the reporting individual.

## OVERLAP

The overlap statement should address any potential overlap between the proposed NIH award’s scientific scope, budget, or proposed level of effort and the reporting individual’s projects, activities, resources or foreign positions/affiliations/employments. If there is no overlap to report, the reporting individual should mark as “None” or “N/A”.

**JIT submissions:** If **Total Active Effort plus effort of the pending JIT award** exceeds 12 PM, the overlap statement should describe how effort will be reduced (on which projects) to accommodate the new award. Other Support submitted in RPPRs should not have total active effort over 12 PM. (Note: Some schools have lower person month thresholds. Please defer to school-level guidance.)

## SIGNATURE

Each PD/PI or other senior key personnel must electronically sign their respective Other Support form **after Central review is completed**, prior to submission to NIH.

### Format:

I, PD/PI or other senior/key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Signature & Date: \_\_\_\_\_

## Certification & Submission Steps

Once the Other Support (OS) review is complete (i.e., no other corrections needed):

1. **Central Reviewer/AOR:**
  - a. Attaches “Reviewed, ok to Submit” foreign agreements to Other Support.
  - b. Converts OS document (including any attached foreign agreements) to a single PDF file and sends to GM for coordinating the reporting individual’s signature.
2. **GM** coordinates signature by reporting individual. Locks and routes the GMAS record.

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3. **Researcher** [electronically signs OS](#) and returns to GM.
4. **GM** uploads signed (“certified”), unflattened version of OS document to JIT/Continuation GMAS request
  - a. If the project includes subrecipient Key Personnel, GM uploads the final versions of any subrecipient OS documentation to GMAS, if not already done.
5. **AOR\***
  - a. “Locks” signed, unflattened version of OS document in JIT/Continuation GMAS request;
  - b. Combines and flattens by “printing to PDF” all required submission documents into a single PDF file;
  - c. Submits the combined OS file to NIH:
    - i. For JIT, AOR uploads OS to eRA Commons via the JIT link
  - d. For RPPR, AOR sends flattened copy to GM to be uploaded into the RPPR. [AOR verifies in eRA Commons that the correct version of OS was uploaded prior to submission](#). AOR then uploads the submitted JIT or RPPR to GMAS within the JIT or Continuation request. (Note: if Harvard is a subrecipient, the GM will email the “flattened” OS to the prime recipient and upload the email to the GMAS request.)

*\*Certain schools may have varying processes for submitting RPPR’s, please coordinate with your central reviewer.*

--END PROCESS--



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### Appendix A

#### Sample E-mail Text

#### **Harvard response to NIH GMS request for JIT (when JIT deadline given is less than 10 days from date received)**

To XXX (*name of GMS*),

Thank you for your request regarding JIT information for award XXX (*NIH grant number from GMS email*). I am writing as an Authorized Organizational Representative of Harvard to inform you that we will require sufficient time to collect and review all related documentation, and therefore may not meet the deadline indicated in your email below. We will submit the requested JIT information as soon as our review is complete.

Sincerely,

XXX (*name of AOR*)

#### **Internal communication to GMs (from Central) when JIT request is received from NIH**

Dear [Grants Manager],

Please find below the JIT request received from the NIH in connection with award number XXX (GMAS Project ID# XXX). We ask that you please work with your PI to collect any necessary information and promptly prepare the requested documentation. This includes assisting the PI to confirm that:

- All relevant sources of support have been included on the Other Support form in accordance with NIH formatting requirements;
- Copies of any outside foreign agreements requiring attachment to the submission have been uploaded to GMAS and reviewed; and
- The request is promptly communicated to, and all necessary documentation is collected from, any Key Personnel who are participating via a subaward or Billing Agreement (*see sample email template below*).

**Once prepared, all JIT documentation must be submitted to ORA via a JIT request in GMAS.** Given the increased diligence necessitated by the revised Other Support format and associated requirements, the JIT request should be locked and routed no later than five (5) days before it is due to NIH to allow sufficient time for central review.

Please let us know if you have any questions.

Sincerely,

XXX (*name of AOR*)

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### Subrecipient email template

Dear [sub institution contact],

Harvard has received a JIT\* request from NIH for award number XXX, PI [Harvard PI name]. NIH has indicated that they want the JIT information from Harvard by XX/XX/XXXX. As a subawardee institution on this application, we will need to collect Other Support documentation (and any other applicable information, e.g., Human Subjects Education Certification) from you for [name(s) – usually sub PI].

Please note the new NIH Other Support requirements that have gone into effect January 25, 2022. To this end, please ensure that all Other Support documentation for your Key Personnel has been institutionally reviewed and follows the NIH requirements. Further, please send Other Support (with any required attachments) as “flattened” versions only. Please retain the certified/signed versions of Other Support within your own records should NIH ask for it to be produced.

Sincerely,

XXX (*name of AOR*)

***\*Can be modified for RPPR's***