

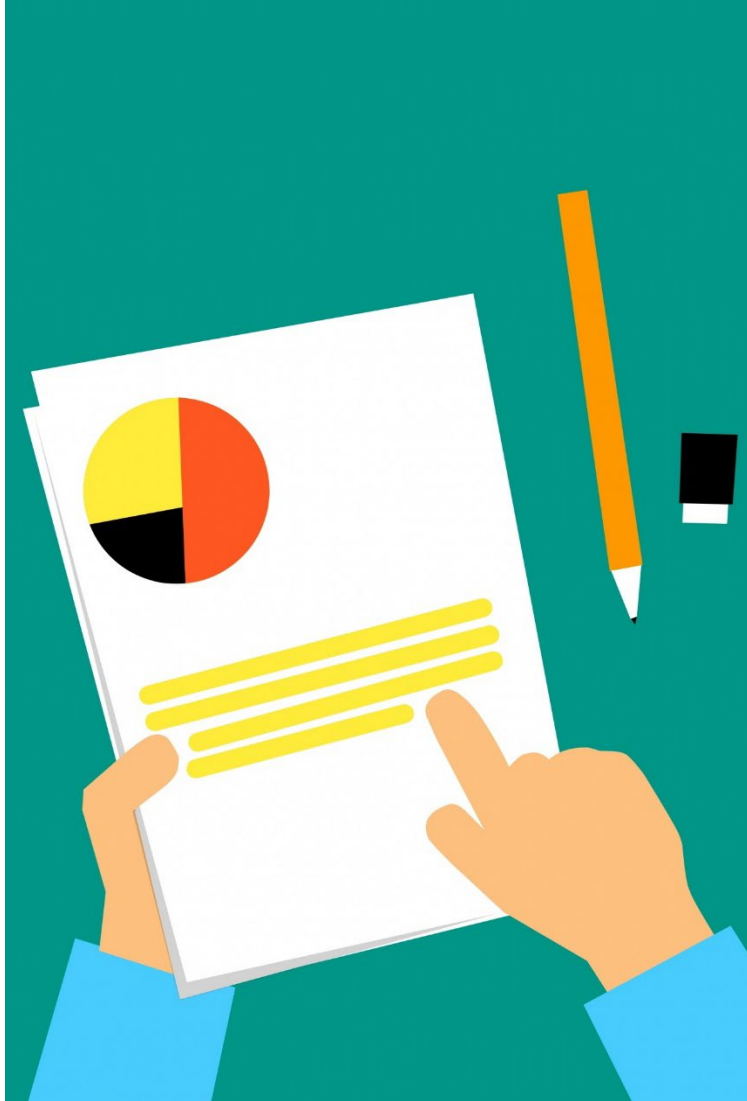
NIH Other Support: Best Practices Refresher

PRESENTED BY:

MELISSA FRANCIS, SENIOR ASSOCIATE DIRECTOR, RESEARCH ADMINISTRATION

Top 9 Issues

1. Active and Pending Projects (APP) Report not being used consistently to prepare OS
2. Research Teams data in GMAS not up-to-date, so the effort listed on APP report is incorrect
3. Overlap Statements not specific (or robust), particularly for JIT submissions
4. Processing Inter-Departmental and Inter-Tub OS requests
5. Use of the wrong form - Standard vs. Mentor OS
6. Data incorrect/formatting or not in “Final” condition
7. Subcontract OS review
8. Unreasonable turnaround times
9. GMAS repository use



Active and Pending Projects (APP) Report

- The APP report should be run every time a GM prepares an OS. Shadow reports should NOT be used.
- Access the APP report in GMAS.
 - Directions found [here](#)
- The SRMs use the APP report to review all OS pages!
 - SRMs will question any deviations from this report in their review
- The best practice is for GMs to insert notes in the APP report and send it along with the OS when asking for SRM review.

Active and Pending Projects (APP) Report

Harvard GMAS

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Links

Melissa Francis

Person >

John Smith

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PI dashboard

Research teams

Active and pending projects x



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Person information

Salutation		University ID	000333222
Name	John Smith	Active in PeopleSoft	Yes
Suffix		Merged ?	No
Official name	John Smith	GMAS user	Yes

Job information

Add +

Email addresses

Add +

Phone numbers

Add +

Active and Pending Projects (APP) Report



Project	Fund	Sub	Org	Sponsor Award Number	GM COMMENTS	Principal Investigator	Sponsor	Prime Sponsor	Prime Award Number	Title	Start Date	End Date	Role	Key	Investigator
8175909-01	112600	275	23520	1R01ES034373-01		Zi, Anna	NIH/NIEHS			Characterizing the link between	9/20/2022	7/31/2027	PD/PI	Yes	Yes
8438969-01	211598	275	23590	DFC1 4548504		Smith, John	Dana-Farber Cancer Institute		R01CA242218-04	Billing Agreement: Precision	9/1/2022	8/31/2023	Principal Investigator	Yes	Yes
7999814-01	117389	275	23590	CON-80004083 (GR117950)		Dean, Fiona	Yale University	NIH	1R01MD016054-01	Air Pollution, Heat, Cold, and	7/24/2022	3/31/2027	Co-Investigator	Yes	Yes
8065108-01	117397	275	23590	SUB00003342		Smith, John	University of Florida	Health Effects Institute	4981-RFA9-2/21-4	Robust statistical approaches	6/1/2022	5/31/2025	Principal Investigator	Yes	Yes
8084610-01	117381	275	23590	SCON-00003706		Smith, John	University of South Florida	NIH/NCI	1R01CA263532-01A	Increasing Access to Genetic	6/1/2022	5/31/2026	Principal Investigator	Yes	Yes
8084610-01	117381	275	23590	SCON-00003706	Duplicate of one above	Smith, John	University of South Florida	NIH/NCI	1R01CA263532-01A	Increasing Access to Genetic	6/1/2022	5/31/2026	Principal Investigator	Yes	Yes
8091124-01	150851	520	46334	1RF1AG074372-01A1		Patel, Chirag	NIH/NIA			The confluence of extreme heat	6/1/2022	5/31/2025	Co-Investigator	No	Yes
8279019-01	211590	275	23590	No Award Number	Ended	Smith, John	Dana-Farber Cancer Institute			Billing Agreement: Managing	1/1/2022	6/30/2022	Principal Investigator	Yes	Yes
8228316-01	211585	275	23590	1057505	Ended	Smith, John	Dana-Farber Cancer Institute	NIH/NCI	R01CA207365-05	Billing Agreement: Precision	9/1/2021	8/31/2022	Principal Investigator	Yes	Yes
7914533-01	117302	275	23590	1(GG017519-02)		Dean, Fiona	Columbia University	NIH/NIA	3RF1AG071024-01S	Short and long-term consequences	4/1/2021	3/31/2024	Research Associate	No	No
8190737-01	211584	275	23590	4555404	Ending tomorrow so I removed	Smith, John	Dana-Farber Cancer Institute	NIH	5R01CA239342-04	Billing Agreement: Statistica	4/1/2021	3/31/2023	Principal Investigator	Yes	Yes
8268486-01	211589	275	23590	9619992	Ended	Smith, John	Dana-Farber Cancer Institute			Billing Agreement: Genetic T	1/1/2021	12/31/2021	Principal Investigator	Yes	Yes
7980632-01	112581	275	23520	4500003573		Zi, Anna	Boston University	NIH	5R01ES029950-05	Evidence to improve heat wave	5/14/2020	10/31/2023			
7782688-01	112576	275	23520	5R01AG066793-03		Zi, Anna	NIH/NIA			National Cohort Studies of A	4/1/2020	11/30/2025	Co-Investigator	Yes	Yes
7501367-01	117285	275	23590	1(GG014961-01)		Dean, Fiona	Columbia University	NIH	5R01ES030616-03	Integrating air pollution prec	3/16/2020	12/31/2024	Co-Investigator	Yes	No
7699587-01	117284	275	23590	1907701	Ended	Smith, John	University of Texas	NIH/NCI	R03CA242562	A Bayesian Meta-Analysis of	3/6/2020	2/28/2023	Principal Investigator	Yes	Yes
7990919-01	211452	275	23590	122058	Ended	Smith, John	Brigham and Women's	Myriad Genetics, Inc.	122058	Billing Agreement: Genetic T	3/1/2020	2/28/2023	Principal Investigator	Yes	Yes
7244707-01	112560	275	23520	5R01ES028033-05		Laffy, Faith	NIH/NIEHS			Relationship Between Multiple	12/15/2017	11/30/2023	Research Associate	No	No
6931003-01	114500	275	23590	4953-RFA14-3/16-4-4	Ended	Dean, Fiona	Health Effects Institute	Environmental Protection Agency	CR-83467701	Assessing Adverse Health Effects	3/1/2016	6/30/2022	Research Associate	No	No
													Total Committed Effort		
Pending Projects															
Project	Fund	Sub	Org	Sponsor Award Number	GM COMMENTS	Principal Investigator	Sponsor	Prime Sponsor	Prime Award Number	Title	Start Date	End Date	Role	Key	Investigator
8461597-01		275	23590			Dean, Fiona	University of Rochester	NIH		Statistical methods to characterize	9/1/2023	8/31/2028	Co-Investigator	Yes	Yes
8254565-01		275	23590			Smith, John	Beckman Research Institute	NIH		Cancer Risk in Hispanic Lynch	7/1/2023	6/30/2028	Principal Investigator	Yes	Yes
8422791-01		275	23590			Smith, John	Beckman Research Institute	NIH		Models of Cancer Genetic Susceptibility	7/1/2023	6/30/2028	Principal Investigator	Yes	Yes
8422852-01		275	23590			Smith, John	Geisinger Health System	NIH		Estimating BRCA1/2-associated	7/1/2023	6/30/2027	Principal Investigator	Yes	Yes
8428857-01		275	23590			Dean, Fiona	Yale University	NIH		Mortality and hospital admissions	7/1/2023	6/30/2028	Co-Investigator	Yes	Yes
8175631-01		275	23590		Not funded, revision above	Dean, Fiona	University of Rochester	NIH		Statistical methods to characterize	4/1/2023	3/31/2028	Co-Investigator	Yes	Yes
8378861-01		275	23590			Dean, Fiona	Boston University	NIH		CAFÉ: a Research Coordination	3/1/2023	2/28/2026	Co-Investigator	Yes	Yes
8266023-01	117395	275	23590	At-Risk	Active section	Dean, Fiona	Yale University	NIH	1RF1AG080948-01	Susceptibility and adverse health	12/1/2022	11/30/2027	Co-Investigator	Yes	Yes
8317677-01		275	23590		This is an active supplement	Smith, John	Columbia University	NIH		Short and long-term consequences	9/1/2022	8/31/2023	Principal Investigator	Yes	Yes
													Total Committed & Pending Effort		

Research Teams Data

- The effort data in the APP report is pulled from the GMAS Research Teams
- If the Research Teams data is not correct, the APP report will not be correct
 - Impacts other post-award effort monitoring
- It is a GM responsibility to edit, confirm, and maintain correct Research Teams data
 - The effort in Research Teams should reflect the committed level of effort, which may differ from the actual effort
 - This would be something to note to the SRM
 - SRMs may assist with this



Overlap Statements

- Overlap statements are required if there is effort, budgetary, or scientific overlap between any of the projects listed in the active and/or pending sections of the OS
- When an OS is being submitted for a **Just-In-Time** request, the Overlap statement must be detailed and specifically outline what changes the PI anticipates making to accommodate taking on the new project to be awarded
 - GMS will push back if sufficient detail has not been provided in an OS submitted for a JIT
- It is the PI's responsibility to provide the details to the GM in order to ensure the overlap statement is complete and accurate



Overlap Statements: Example for JIT

OVERLAP

Once Dr. K's pending 0.60 CM effort starts on the R01 XXXXXX, she will reduce her efforts on R01 XXXXXX to 1.8 CM effective 4/1/23. To meet at least the minimum requirement for her 0.60 CM effort on the "Early life exposures" project will be made up from 0.25 CM from R01 MHXXXXXX and 0.25 CM from U01 MHXXXXXX. Dr. K's pending 0.30 CM effort on the U54 AGXXXXXX segment will be made up from 0.20 CM of her R01XXXXXX effort and 0.10 CM from her R01 MHXXXXXX project while still staying within the NIH mandated 75% of committed effort of each project. Dr. K will seek NIH approval where required for any other changes reflecting a greater than 25% adjustment of effort. If the proposal under consideration is funded, Dr. S will also reduce his effort from 2.4 to 1.2 calendar months on R01-NR000000.

OR

If the proposal under consideration is funded, Dr. D will reduce his effort from 2.4 to 1.2 calendar months on R01-NRXXXXXX . Other projects expire before new effort on proposal in consideration will begin, so no further reductions are anticipated.

OR

There will not be any overlap since R01-AGXXXXXX and R01-CAXXXXXX will both end August 31, 2013 and the pending project would not begin until December 1, 2013.

Overlap Statements: Example for RPPR

OVERLAP

Presently, there are no scientific, commitment and/or budgetary overlaps. If any pending proposals are funded, Dr. X will reduce or request for reduction, if necessary, in committed effort on his active projects.

- Less details: This overlap statement is acceptable for RPPR, but not for JIT!

Cross Department & Tub OS Requests

- ***Inter-departmental Projects:*** When working on a project that requires that a GM get OS documents from another department, the primary GM should notify the secondary GM in the other department immediately.
- The secondary GM should work directly with the SRM assigned to their own department to have the OS reviewed and send the final, reviewed and signed, version back to the primary GM.
- When the primary GM submits all the required documents to the SRM assigned to their department for official review, the GM can note that the secondary departmental OS has been reviewed.
- Within the SRM Team the SRMs will verify that OS documents were reviewed by the assigned SRM to avoid OS documents being re-reviewed multiple times.
- ***Note:*** *Other Support pages should not be signed by the Reporting Individual without first confirming that the Other Support has been reviewed by an SRM.*



Cross Department & Tub OS Requests



- **Cross Tub Projects**: When working on a project that requires a GM to either send or receive OS documents from another tub, the tub with the primary appointment for the reporting individual will be responsible for reviewing that individual's OS.
- The tub managing the project for which the OS is required dictates the process to follow.
 - The GMAS routing/signing processes differ slightly from one tub to the next, however, central office representatives for all tubs involved in the project for which OS are being submitted should be added in GMAS to indicate that they have reviewed their own tub's OS documents.
 - If Harvard Chan is the tub reporting to the sponsor, the GM should ensure the GMs at the other tubs are aware of Harvard Chan's processes for review/lock and route.
 - If another tub is reporting to the sponsor, the Harvard Chan GM, must follow the other tub's process.
 - [Procedure - Cross Tub Involvement OS review](#)

Use of the Wrong OS Form (K): Mentor or Not?

- There are two OS form sets: Standard OS and Mentor version (used with K-Career Development applications)
- Mentors' OS will be included at the proposal stage in K award applications in the mentor format.
 - The NIH application Form G instructions for mentors' Current and Pending Support indicate that the mentor include only the current and pending research support relevant to the applicant's research plan, that percent effort and overlap statement be excluded, and that the document be limited to **3 pages**. NIH recently clarified that the research support for this document is limited to the mentor's projects; they should not include other types of financial support or in-kind contributions on their Current and Pending Support.
 - Additionally, per the NIH Other Support FAQs, mentors must include total costs, rather than annual direct costs, when reporting current and pending support within K award applications. NIH requires that the mentor's Current and Pending Support submitted in a K application include the standard Other Support certification language and the mentor's electronic signature.
- At **JIT** the mentor should be treated as any other reporting individual and a **full Standard OS** (with in-kind, other resources/support, and foreign agreements attached, as applicable) should be submitted along with the applicant's OS.



Incorrect Data & Formatting on OS

- GM should ensure that:
 - Any completed years are removed, the accurate Year numbering is maintained, and that effort table format includes all years of the project, until the year expires;
 - Subsection titles (Active, Pending, In-Kind, Other Support/Resources, and Overlap) are included and “None” indicated if there is nothing to report in the section;
 - Any previous comments, edits/suggestions on OS are integrated, or removed prior to submitting for SRM’s review so that the document is Final;
 - All Active and Pending projects are on the OS by accessing the individual PI’s Active and Pending Projects Excel project list in GMAS. Directions [here](#);
 - NCE’s are indicated correctly on the OS table



Incorrect Data & Formatting on OS, cont.

- GM should ensure that:
 - Effort on Billing Agreements are listed under Active section;
 - Salary support (or effort) on research projects are reported;
 - Reportable consulting activities are listed;
 - When submitting for a JIT, the project being reported on is listed first in the Pending section;
 - Pending awards not funded are removed from OS (and marked as not funded in GMAS); and
 - Proposal/Billing Agreements not yet submitted are not listed
 - Projects in “At Risk” status are listed as pending until fully active
 - If Supporting Documentation, just as foreign contracts, need to be attached, they are listed on the OS



Formatting for OS: Active and Pending

ACTIVE or PENDING format

*Title: Ion Transport in Lungs

Major Goals: The major goal of this project is to study chloride and sodium transport in normal and diseased lungs.

*Status of Support: Active

Project Number: 5 R01 HL 00000-07

Name of PD/PI: Baker, J.B.

*Source of Support: NHLBI

*Primary Place of Performance: University of California, Los Angeles

Project/Proposal Start and End Date: (MM/YYYY): 4/1/2019 – 3/31/2024

* Total Award Amount (including Indirect Costs): \$981,736

* Person Months (Calendar/Academic/Summer) per budget period.

Year (YYYY)	Person Months (##.##)
4. 2023	1.2 calendar
5. 2024	1.2 calendar

Formatting for OS – NCE

NIH has not offered clarification on how to list an NCE beyond noting that:

“Institutions should report on the project period dates and total funding amounts listed on the most recent Notice of Award.”

We believe the best practice would be to list the NCE year as in the example. The example shows Year 5 as the “active year” with the actual effort for the current year. The effort for the NCE year should be the anticipated actual effort to be expended during the NCE in that year, since an NCE year will not have “committed effort” level.

Year (YYYY)	Person Months (##.##)
5. 2023	1.2 calendar
5. 2024 NCE	0.3 calendar

Formatting for OS: In Kind

IN-KIND format

*Summary of In-Kind Contribution: C57BL/6-*ABC1*^{tm1jbp} mice provided by Dr. Joseph Jones at the University of Texas at Austin.

*Status of Support: Active

*Primary Place of Performance: Harvard T. H. Chan School of Public Health, Boston, MA

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

*Person Months (Calendar/Academic/Summer) per budget period: N/A

*Estimated Dollar Value of In-Kind Information: estimate \$4,000



Formatting on OS: Other Resources

We suggest adding a header: “Other Resources/Support”

- Capture resources that are not a project or in-kind contribution, but are in support of investigators’ research endeavors from outside organizations
- If there is nothing to report, this sub header should remain and “None” or “N/A” should be added as a best practice.
- Examples: Investigator funds, start-up packages from outside organizations, private equity, etc.

Formatting on OS: Supporting Documentation

SUPPORTING DOCUMENTATION

List of attached agreements for foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support

Attach copies of active and pending contracts, grants, or any other agreements specific to foreign appointments, affiliations, and/or employment at or with a foreign institution specific to the individual researcher disclosing. Employment includes consulting when the individual will be conducting research as part of the consulting activities.

Agreements should be in English (translated if necessary), and attached as a PDF following your Other Support.

List in this section any documents that are attached, indicate N/A if none.

Formatting on OS: Supporting Documentation

If there are documents in the “Outside foreign contracts and agreements” folder in the GMAS “Person” repository, these should be listed on the OS and the SRM should include these documents with the OS when it is sent back to the GM to request investigator signature.



Person > John Smith

Related links | Info

Open all | Close all

To-dos

Portfolio

Notification preferences

PI dashboard

Research teams

Active and pending projects

Person information

Salutation		University ID	00000000
Name	John Smith	Active in PeopleSoft	Yes
Suffix		Merged	Yes
Official name	Dr. John Smith	GMAS user	Yes

Job information

[Add](#)

Email addresses

[Add](#)

Phone numbers

[Add](#)

Addresses

[Add](#)

Degrees

[Add](#)

Agency credentials

[Add](#)

Teams

Participation agreement

Outside foreign contracts and agreements

1 document

[Upload](#)[Download all](#)

Subcontract OS Review

- When Harvard Chan is the institution submitting and the GM is collecting OS pages from subcontractor key personnel, the GM needs to review:
 - To ensure that no more than 12 CM are being reported in active projects
 - To ensure that the signature is in a format acceptable to NIH
 - Be proactive and send OS back to subcontractor to correct!
- Do not send subcontractor OS documents to SRM that a GM has not reviewed first!



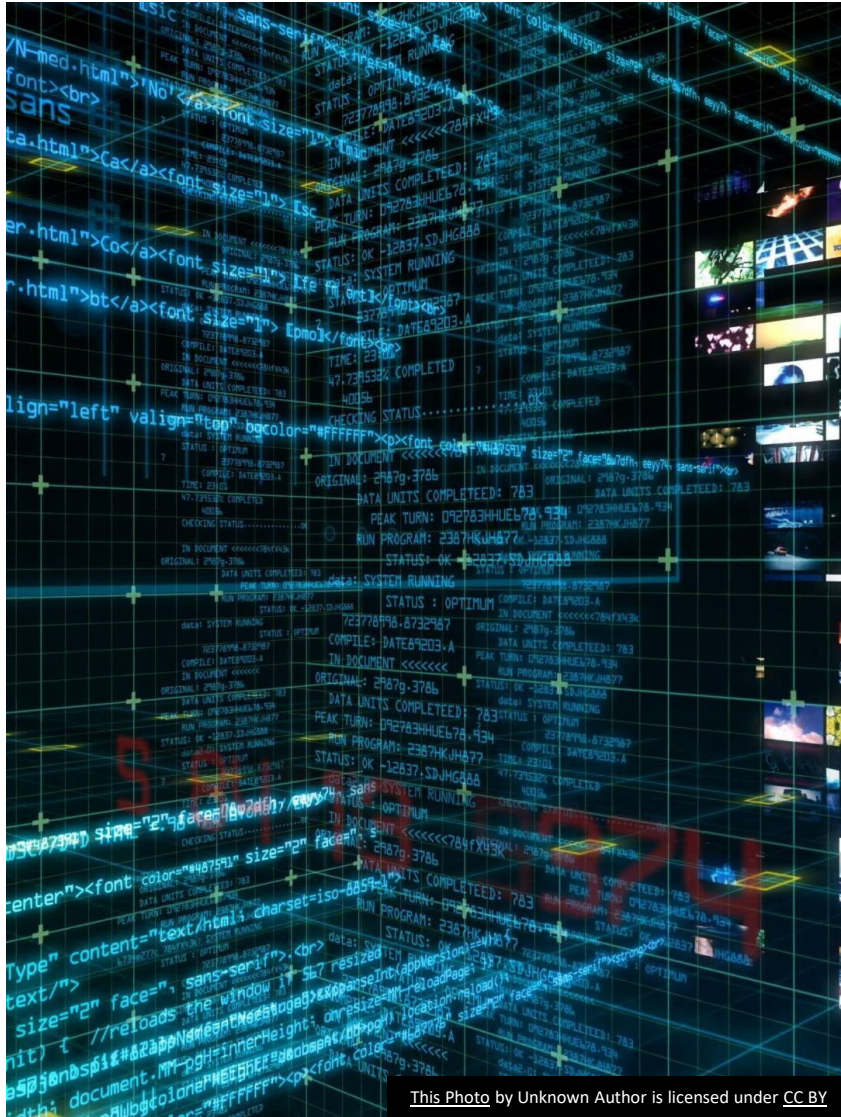


Turnaround Times

Preparation/Review Time: Understanding that preparing and reviewing Other Support pages takes time and effort for all parties, when Harvard Chan is a subcontractor, we urge Grants Managers to push back and ask for more time from the prime institution when the requested turnaround time is less than 5 days, and the requested documents include Other Support pages.

Note: *When Harvard Chan is the Prime, SRMs will reach out directly to the Sponsor, as needed.*

- GMs should enter a GMAS request as soon as they are informed of a JIT/sub RPPR/RPPR even if full details are not clear yet.



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GMAS Repository Use

- GMAS Request repository
 - GM will upload signed, certified OS to the request and SRM will return flattened OS (along with any other applicable materials) to GM
 - GM will submit flattened OS to sponsor (if we are a sub) and upload submission confirmation into the Request repository
- GMAS Person repository
 - The SRMs will upload the most recent certified and flattened OS documents into the Person repository
 - SRMs will also upload OS documents to Person repository when the reporting individual is a Harvard investigator, but Harvard is not the submitting institution (which may happen when a reporting individual is a mentor on a K application)
 - GMs can access the Person repository documents to see what has been submitted and can download copies to use as a starting point for the next time an OS is requested

Related links | Info

- To-dos
- Portfolio
- Notification preferences
- PI dashboard
- Research teams
- Active and pending projects

Open all | Close all

Person information

Salutation		University ID	00000000
Name	John Smith	Active in PeopleSoft	Yes
Suffix		Merged	Yes
Official name	Dr. John Smith	GMAS user	Yes

Job information Add ⊖

Email addresses Add ⊖

Phone numbers Add ⊖

Addresses Add ⊖

Degrees Add ⊖

Agency credentials Add ⊖

Teams

Participation agreement ⊖

Outside foreign contracts and agreements 1 document Upload Download all ⊖

Filename	Category	Size	Uploaded by	Date
07.01.22.pdf Started 7.1.22 and is ongoing	arolinska_Institutet_ Reviewed: OK to submit	189.4 KB	Angela Brazeau	Mar 30, 2023 3:24 PM

Documents 4 documents Upload Download all ⊖

Filename	Category	Size	Uploaded by	Date
NIH Other Support				
2.3.2023_Certified.pdf		201.4 KB	Juliann Phan	Feb 3, 2023 7:46 AM
2.3.2023_Flattened.pdf		144.3 KB	Juliann Phan	Feb 3, 2023 7:46 AM



GMAS Repository Use

Other Support Resources

NIH

<https://grants.nih.gov/grants/forms/othersupport.htm>

[NIH Other Support Instructions](#)

[Other Support sample](#)

Harvard

<https://hcsra.sph.harvard.edu/other-support>

<https://hcsra.sph.harvard.edu/nih-submissions>

<https://research.harvard.edu/faculty-disclosure-guidance/>

FAQs

[*Resources on How to Edit Research Team in GMAS*](#)

https://hcsra.sph.harvard.edu/files/hcsra/files/confirming_research_team_job_aid.pdf

<https://gmas.fss.harvard.edu/research-team>

Questions?

