Other Support Guidance for NIH Research Performance Progress Reports (RPPRs)

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Other Support (OS) Instructions for NIH Research Performance Progress Reports (RPPRs)

I. Introduction
These instructions were developed to assist you in creating and managing the information required in the National Institutes of Health (NIH) Other Support (OS) page submitted with a Research Performance Progress Report (RPPR). An Other Support page is required for each senior/key personnel when there are certain changes in active award support.

Creating and managing Other Support pages can be complex for the following reasons:

1. Other Support pages are different for Just in Time (JIT) and RPPR submissions. For JIT submissions, current and pending sponsored projects are included. On RPPRs, only active grants are included. Make sure you are following the correct instructions.
2. You may need to go about finding information for the OS page across many different data sources. You may choose to take advantage of publically available search engines such as NIH Reporter.
3. Tracking an investigator’s effort for each project may be complicated if the investigator has a salary above the NIH salary cap, a dual appointment with a Veterans Affairs Medical Center or a multiple research appointment.
4. Tracking an investigator’s effort can also be complicated if effort on a project or projects is cost shared.
5. You will need to determine the cumulative effort across active projects and include the JIT grant. You will need to consider when the JIT grant begins and when any other active grants may end when determining cumulative effort. If the cumulative effort is more than 95% / 11.4 calendar months, you need to address this in the overlap section of the OS page.
6. You may need to resolve discrepancies between the salary source allocation of the investigator on sponsored projects in the Human Resources Tracking System (HRTS) and InfoEd, the research and sponsored project management software system.
7. You may be updating the OS page several times a year and each update is customized for that particular grant submission.
8. The “Overlap” section of the Other Support page must be appropriately addressed for each submission.

The Other Support resources developed by the GCO and described in this instruction set can assist you with these complexities. These Other Support instructions for RPPRs are divided into the following sections:

I. Introduction
II. NIH Instructions
III. Sample Format
IV. Sources for Required Information
V. Tools for Preparing
VI. How to Prepare – GCO’s Step by Step Instructions
VII. Submission Process
VIII. Resources

This document uses the terms “senior/key personnel” and “investigator” interchangeably. Please click here (FAQ #1) for NIH’s definition of senior/key personnel for the purposes of Other Support submission.
II. NIH Instructions

The instructions below are excerpted and adapted from 2.5.1 of the NIH Grants Policy Statement (NIHGPS) and section 6.4 in the NIH RPPR Instruction Guide. Please review complete instructions from the links provided in its entirety.

Other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual’s research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.

Training awards, prizes or gifts do not need to be included.

Note that effort devoted to projects must be included in person-months.
Example: 50% effort = 6 calendar months

Overlap Statement:
For all senior/key personnel, provide details on how you would adjust any budgetary, scientific, or effort overlap if this application is funded.

Other Support for RPPR Applications:
- Information should be submitted only for the PD/PI and for those individuals considered by the grantee to be key to the project when there has been a change in active other support. Indicate what the change has been.
- List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period.
- Do not include Other Support for individuals listed as “Other Significant Contributors” unless their involvement has changed so that they now meet the definition of “senior/key personnel.”
- Submission of other support information is not necessary if support is pending or for changes in the level of effort for active support reported previously.

III. Sample Format

There is no form page for providing other support. A sample format page is available here.

The required pieces of information are labeled below.
Figure - 1
### IV. Sources for the Required Information

**All of the required information except for current calendar month effort and annual direct costs on active sponsored project awards can be found in InfoEd.** However, if you are the PI or delegate of a PI, you will only have access to that PI’s active and pending sponsored projects. Awarded direct costs can be found in notices of grant awards. Currently paid calendar month effort on active sponsored projects can be found in HRTS.

#### A. Table 1 - Where to Find the Required Information

The table below provides a list of other sources where you can find required information. Besides InfoEd, you may wish to use the other sources to locate the information, such as Notices of Award (NOAs), NIH Reporter, or the monthly active award report that is provided to your department administration, as the search may be faster or more efficient.

<table>
<thead>
<tr>
<th>Data Field</th>
<th>Where to Find the Required Information for Active Grants</th>
</tr>
</thead>
</table>
| 1 Project Number (i.e., Agency Number) | - InfoEd  
- InfoEd Monthly Reports  
- NIH Reporter  
- Federal Reporter |
| 2 Principal Investigator    | - InfoEd  
- InfoEd Monthly Reports  
- Sponsored Project Application  
- NIH Reporter  
- Federal Reporter |
| 3 Source (i.e., Funding Agency) | - InfoEd  
- InfoEd Monthly Reports  
- Sponsored Project Application  
- NIH Reporter  
- Federal Reporter |
<table>
<thead>
<tr>
<th></th>
<th>Title of Project (or Subproject)</th>
<th>InfoEd</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Dates of Approved/Proposed Project</td>
<td>InfoEd</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Annual Direct Costs</td>
<td>InfoEd</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Person Months</td>
<td>InfoEd</td>
</tr>
<tr>
<td></td>
<td>The major goals of this project are...</td>
<td>InfoEd</td>
</tr>
</tbody>
</table>

B. **Resources for Preparing an OS page**

1. **InfoEd Access – Role: PI or PI’s Delegate**
   Access PI’s sponsored projects only. Access lay summaries and proposals as well. The lay summary and the proposal will be helpful in writing the “major goals of this project” section. You will not have access to the InfoEd records of other senior/key personnel on the project unless you are made his/her delegate.

2. **Info Ed Access – Role: Administrator**
   Check with your administrator to see if it is appropriate to have viewing access of all the proposals in your department. If so, the administrator would open up a Research IT ticket and request “Department Admin Level III” access. You will be able to to create OS pages for all investigators in your department including having access to lay summaries and proposals as well. The lay summary and the proposal will be helpful in writing the “major goals of this
project” section. Note that if your investigator collaborates with PIs in other departments, you do not have access to the InfoEd records from the other department.

3. Sponsored Project Application
   The application will include standard administrative information such as the budget with the investigator’s committed person months (i.e., % effort), requested direct cost amounts and dates of performance. The application submitted for funding typically has an abstract or another section from which “The major goals of this project are” statement can be written. The final version of the application would be accessible in InfoEd if it was attached prior to routing.

4. Notices of Award (NoAs) or Award Agreements
   The NOA or Award Agreement typically includes standard administrative information such as dates of performance, direct costs and total costs. When the NOA only provides total costs, back out the indirect costs to obtain the direct costs. Please contact allison.gottlieb@mssm.edu to request a tool for backing out indirect costs.

5. Departmental Monthly Report of Active Research and Sponsored Projects – Sent to Departmental Administration
   Concise listing of department’s sponsored projects for standard administrative and budgetary information for OS page; has all info for OS page except % effort and project description. Since the report is run once a month, please also check InfoEd to make sure all the latest active sponsored projects are included.

6. HRTS - Role: Administrator
   The Human Resources Tracking System (HRTS) is a module within Sinai Central. HRTS tracks the investigator’s currently charged % effort across all salary sources. You would convert % effort from HRTS into calendar months (Example: 50% effort = 6 calendar months) for all sponsored projects. Include the currently charged calendar months in the active section of the OS page.

   HRTS also includes project title and fund number. The fund # is not included on the OS page. However, it is useful to add the fund # to an OS tracking sheet such as GCO’s Investigator Other Support Tracker (IOST), which is discussed in the next section, for cross-reference purposes.

   Check with administrator if there are any other roles that are permissible for you in HRTS or if you contact him/her for the current % effort information. Also, check with the administrator if you do not have HRTS access and find out whether the PI is at or above the NIH cap.

7. NIH Reporter
   Public website, look up standard administrative and budgetary NIH grant information; does not include % effort of investigators.
   Useful when Investigator is on an NIH grant administered by another institution or another department.

8. Federal Reporter
   Use Advance Search Option to Search by PI.
   Public website, look up other Federal Awards; Useful when senior/key personnel is on a Federal grant administered by another institution (i.e., a subaward) or another dept. Provides annual total costs rather than the annual direct costs. Back out indirect costs to obtain the yearly
annual direct cost. Please contact allison.gottlieb@mssm.edu for a tool for backing out the indirect costs.

V. Tools for Preparing
This section lists GCO’s recommended tools and documents needed to maintain an Other Support page.

1. Other Support Checklist for JIT and RPPR applications
   Use the Other Support Checklist to create and submit accurate Other Support pages each time you submit.

2. Investigator Other Support Tracker (IOST)
   Track active and pending grants, % effort taking into account the NIH cap, cost shares, and other administrative and budgetary information required for the OS page.

3. Investigator’s Other Support Page for RPPR Submission
   The NIH requires an Other Support page for each senior/key personnel that are included in the NIH application during the JIT process. Other Support pages are also submitted as part of the RPPR application for the PD/PI and senior/key personnel only when there has been a change in active other support. See section II in this document for the NIH instructions on preparing OS pages for RPPRs. Therefore, you will need to customize the OS page for the particular RPPR submission.

4. Other Support Changes Form for RPPR Applications
   The NIH requires that when you submit the OS form in RPPRs, you also annotate the changes from the previous year’s version you submitted. GCO recommends using the Other Support Change form to list the changes. Attach the form as a .pdf with the Other Support pages in section D.2.c of the RPPR application. Please refer to section D.2.c of the RPPR Instruction Guide.

5. Investigator’s Complete / “Master” Other Support page
   Since OS pages must be customized for each submission, it is good business practice to create a Master OS page that includes all active and pending grants. Since it is complete, refer to this Master OS when updating a particular submission.

6. Other Departmental Tools and Resources
   Check with administrator if there are other departmental resources you may have access to. For example, for active sponsored projects, the Sinai Central ledger report is a resource in which both the GCO # (e.g., 11-1234) and the fund # (e.g., 0255-6789) for each award is listed. InfoEd only lists the GCO #. HRTS only lists the fund #. This can be helpful in bridging the information between project data found in InfoEd and HRTS.

VI. How to Prepare – GCO’s Step by Step Instructions
Review and follow the Other Support Checklist in addition to these instructions.

Step 1 – Other support pages are submitted for senior/key personnel only when certain criteria are met. Please review section II of this document to determine whether you need to submit for each senior/key personnel. If an OS page or pages do need to be submitted as part of the RPPR application, proceed with these instructions.
Step 2 - Review Investigator’s Current Salary Source Allocation on HRTS for Current Effort

Remember: You will include the current effort in calendar months for all projects except the RPPR submission. For the RPPR project, you need to report on effort in calendar months for the upcoming year. Review the budget submitted to the funding agency for that information.

See Figure 2 – HRTS Salary Source Transaction

Step 3 - Prepare or update the Investigator Other Support Tracker (IOST) based on HRTS allocation.

Step 4 - Check InfoEd - Proposal Status: “Awarded/Approved.”
If you have access to the department’s monthly active reports or any of the other resources detailed in the previous section, you may wish to refer to that for standard administrative and budget information rather than InfoEd.

Search InfoEd for projects where an individual is the PI as well as key personnel on other projects.

Proposal Status: Awarded/Approved
In the “Additional Search Fields” section, in the “Key Personnel” field, begin typing the person’s name. Then Click on “Locate.”

Figure 3 – Search Info Ed > Key Personnel Awarded/Approved Studies

Step 5 - Compare HRTS with InfoEd.
Are there any differences between the active projects included in the pre-award (InfoEd) system vs. the active projects in the post award (HRTS) systems for the investigator? If the Investigator is only included on 1 of the 2 systems, please resolve by determining which step to follow below.

Note how this is resolved in the notes section of the “Investigator Other Support Tracker.” This will help you keep track of the information each time you prepare an OS page.

A. Investigator % effort included in HRTS but not in InfoEd
Has the project expired in InfoEd?
- If the grant expired, it should not be included on the OS page. Contact departmental administration to remove investigator’s effort in HRTS on the expired project.
- If the InfoEd application is late, contact GCO for clarification if OK to include.

B. Investigator % effort included in HRTS but not in InfoEd
Is the project still active in InfoEd?

In situations where Investigator’s effort is charged (i.e., included in HRTS) but he/she is not listed in InfoEd, please do include on OS page. If he/she is charged, that means he/she is involved in the project.

C. Investigator % effort included in InfoEd but not in HRTS
Check with the Investigator and ask if he/she is actively involved in the project

- If yes, the investigator is involved, include the project on the OS page AND

  Solution #1: Process HRTS transaction
  Speak with departmental administration regarding processing salary source transaction.

  Solution #2: Confirm Cost Share
  Check InfoEd if this is a cost share. Investigator will be listed with % effort but no $s.

- If no, the investigator is not involved, do not include this project on OS page. Confirm prior approval was either not required for removal or, if required, was requested and received.

D. Investigator as PI in Info Ed but no % effort in HRTS
When an Investigator is the PI of a project, he/she must have this project listed on the OS page unless the project does not meet NIH definition for Other Support.

Solution #1: Process HRTS transaction
Speak with administrator regarding processing a salary source transaction to add the PI with effort/salary in HRTS.

Solution #2: Confirm Cost Share
Check InfoEd if this is a Cost Share. Investigator will be listed with % effort but no $s.

Step 6 - Add active projects to Investigator’s OS page according to OS Checklist. If the cumulative effort is more than 95% / 11.4 calendar months including the RPPR grant with prospective effort, you need to address this with specific plans in the overlap section of the OS page. Please refer to the Notes tab of the OS Checklist, which includes suggested template language for different types of overlap.

Step 7 - Prepare or update IOST with pending projects.

Step 8 - The NIH requires that when you submit the OS form in RPPRs, you also annotate the changes from the previous year’s version you submitted. GCO recommends using the Other Support Change Form for RPPR application to list the changes. Attach the Other Support Change form as a .pdf with the Other Support pages in section D.2.c of the RPPR application. Please refer to sectionD.2.c of the RPPR Instruction Guide.

VII. Submission Process
Please find out from designated GCO Grant Specialist if he/she prefers to receive the Other Support pages by email to review first prior to your uploading them on eRA Commons in the RPPR application. If
you or your delegate uploads them to Commons without emailing your Grants Specialist first, please be
sure to let him/her know as the system does not issue an alert.

Step 1
The PI or a person with the “ASST” role for the PI uploads the pages in the RPPR application on eRA
Commons. Please review the relevant Other Support sections of the NIH RPPR Instruction Guide and the
eRA Commons RPPR Module Instructions for more information.

Step 2
Please submit your non-competitive NIH application in InfoEd and submit the RPPR via eRA Commons.
Please refer to these instructions for creating the InfoEd non-competitive application.

Step 3
After the grants specialist reviews the documentation, he/she will notify your designated Authorizing
Organization Representative to submit the RPPR application on eRA Commons.

VIII. Investigators with Other Than Full Time Appointments and K Awardees
This section provides additional guidance for investigators with other than full time appointments or are
K recipients. Also, please review the Notes tab in the Other Support Checklist for suggested template
language to include in the Overlap section.

- Joint University and Department of VA Appointments / Multiple Research Appointments
  List projects by appointment type.
  Example: Icahn School of Medicine at Mount Sinai active and pending sections
  James J Peters VA Medical Center active and pending sections
  Report on person months globally such that the combined total commitment of active projects and
  the JIT award does not exceed 12 CM.

- Part-Time Appointments
  Report on person months.
  Example: A person with a half time Sinai appointment (6 CM) spending 50% of his/her time working
  on research grants has a total commitment of 3 CM. Calendar months effort cannot exceed
  calendar months appointment.

- K Awardees
  The OS page of investigators may appear to be over 12 CM. K awards generally cover between 9
  and 12 CM of an Investigator’s time in order to provide protected time to engage in research and
  other activities in support of a research career such as training and grant writing. K award effort
  includes but is not restricted to the individual project described in the K award. Effort spent on
  other research projects may be subsumed within the K award if they fall within the broad scope of
  the K.

  Or, the sponsored project may be considered outside the scope of the K award and not be
  considered part of the K award commitment. The PI will need to make a determination whether the
  sponsored project is within or outside the scope. Once a determination is conveyed to the NIH, it
  should not be changed. Be sure to use the term “subsumed” (is or is not) in the overlap section.
  See NIH Notice NOT-OD-17-094 for more information.

IX. Resources
GCO
• Other Support Checklist
• Investigator Other Support Tracker (IOST)
• Other Support Changes Form for RPPR Applications
• Other Support JIT Instructions
• GCO Helpful Hints – Summertime and NIH Other Support page
• InfoEd Logon

NIH
• Other Support Resource Page
• Other Support Policy (section 2.5.1 of NIH Grants Policy Statement)
• eRA Commons RPPR Module Instructions
• eRA Commons Log In
• NIH Reporter
• NIH RPPR Instruction Guide
• Sample Other Support page (.doc)

Other Federal Resources
• Federal Reporter