Icahn School of Medicine at Mount Sinai

Grants and Contracts Office

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

Rev. 9/25/19

This document has not yet been updated with the latest NIH guidance. In the interim, please review this information and resources.

Other Support includes *all* resources made available to a researcher in support of and/or related to all of their research endeavors.

- This includes resources and/or financial support from all foreign and domestic entities that are available to the researcher.

- This is regardless of whether or not they have monetary value.

- This is regardless of whether they are based at the institution the researcher identifies for the current grant.

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GCO Resources
NIH Biosketch and Other Support Changes
Grants Forum Slides **l** Video **l** FAQs from ISMMS Research Community

Visit our webpage for additional resources.

NIH Resources
Notices
Implementation of Changes to the Biosketch and Other Support Format Page (NOT-OD-21-110)

Upcoming Changes to the Biosketch and Other Support Format Page Due Dates on/after 5/252021 (NOT-OD-21-073)

Other Support Resource Webpage

Other Support FAQs

Table of Contents

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 **s**ubmitted with a Research Performance Progress Report (RPPR). An Other Support page is required for each <u>senior/key personnel</u> 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.   In addition, the RPPR OS page itself or a cover page contain notes of what changed from the previous year. Make sure you are following the correct instructions.
2. You will need to review the OS pages included in the grant in the previous year to determine if you need to submit an OS page(s) for the upcoming year's RPPR. Or if you have created a separate document the previous year to manage information on the OS page, you can check that document as well.
3. If you are adding new grants, 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.
4. 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.
5. Tracking an investigator's effort can also be complicated if effort on a project or projects is <u>cost shared</u>.
6. You will need to determine the cumulative effort across active projects and include the <u>prospective effort</u> on the RPPR grant. You will need to consider the <u>upcoming</u> budget period of RPPR when determining cumulative effort of all active grants.   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.
7. 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.
8. You may be updating the OS page several times a year and each update is customized for that particular grant submission.
9. 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 <u>effort</u> devoted to projects must be included in <u>person-months</u>.
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.
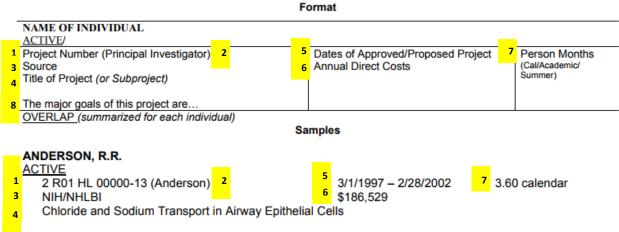
<u>Other Support for RPPR Applications</u>:
- Information should be submitted only for the PD/PI and for those individuals considered by the grantee to be key to the project <u>when there has been a change in **active** other support</u>. <u>Indicate what the change has been</u>.
- List the award for which the progress report is being submitted and <u>include the effort that will be devoted in the **next** reporting period</u>.
- 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 <u>not</u> 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

Format

NAME OF INDIVIDUAL
ACTIVE/

1 Project Number (Principal Investigator)	**2**	**5** Dates of Approved/Proposed Project	**7** Person Months (Cal/Academic/ Summer)
3 Source		**6** Annual Direct Costs	
4 Title of Project *(or Subproject)*			
8 The major goals of this project are…			

OVERLAP *(summarized for each individual)*

Samples

ANDERSON, R.R.
ACTIVE

1 2 R01 HL 00000-13 (Anderson)	**2**	**5** 3/1/1997 – 2/28/2002	**7** 3.60 calendar
3 NIH/NHLBI		**6** $186,529	
4 Chloride and Sodium Transport in Airway Epithelial Cells			
8 The major goals of this project are to define the biochemistry of chloride and sodium transport in airway epithelial cells and clone the gene(s) involved in transport.			

IV. Sources for the Required Information

A. Table 1 - Where to Find the Required Information

Most of the required information can be found in InfoEd. The table below provides a list of sources where you can find all of the required information. You may wish to use the other sources to locate 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.

	Data Field	Where to Find the Required Information for Active Grants
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
4	Title of Project (or Subproject)	- InfoEd - InfoEd Monthly Reports - Sponsored Project Application - NIH Reporter

		- Federal Reporter
5	Dates of Approved/Proposed Project	- InfoEd - InfoEd Monthly Reports - Sponsored Project Application - NIH Reporter - Federal Reporter
6	Annual Direct Costs	- InfoEd - InfoEd Monthly Reports - Sponsored Project Application - NIH Reporter - Federal Reporter - Notice of Award
7	Person Months	For the RPPR grant on the OS page, you must report on effort in the next reporting period. Review : - Sponsored Project Application For all other projects, report on current effort. - InfoEd for Committed Person Months - HRTS for Currently Charged Person Months
8	The major goals of this project are…	- InfoEd - Sponsored Project Application - NIH Reporter - Federal Reporter

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 may 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 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.

9. NIH eRA Commons Access
   Access the OS pages that were included with the previous year's grant submission to determine if there are any changes to the investigator's active support. If you do not have an eRA

Commons Username, please request one by sending an email to grants@mssm.edu and requesting the role of "Assistant." Then ask the PI to delegate you so you will have access to review the OS pages in the previous year's submission. Please refer the PI to the delegate instructions.

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. 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.

4. 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.

5. 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.

6. Previous Year's Other Support Page(s)
   Since you will be comparing last year's submitted OS page(s) with each investigator's current active support, obtain a copy. See the NIH eRA Commons access section for more information about obtaining.

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 <u>current</u> effort in calendar months for all projects <u>except</u> the RPPR submission. For the RPPR project, you need to report on effort in calendar months for the <u>upcoming</u> year. Review the budget submitted to the funding agency for that information.

The Mount Sinai Medical Center
HR Employee Action Summary

ALLISON GOTTLIEB   1234412

REQUISITION # : 2012101   **EFFECTIVE DATE** 02/14/2017   **REQUESTED DATE** 02/1/2017

Position	**Department**	**Title**		
16405	888 Zoological Sciences	TP01 Assistant Professor		

Pay Frequency	**Pay Type**	**Union**	**FTC**	**Exemption**
040 Bi-weekly	Salaried	001 Non-union	FTA Full time appointment	Exemp-exempt

HR Actions: Salarysource
Status: PROCESSED

Changes

	From:	To:
Position	16405	
Department	888 Zoological Sciences	no change
Job Class	AP01 ASSOCIATE PROFESSOR	no change
Hours	80.0 Biweekly (1.0 FTE)	no change

Source				
55.0%	02551234 (4022) SECRET LIFE OF ZEBRAFISH	45.0%	02551234 (4022) SECRET LIFE OF ZEBRAFISH
20.0%	02494321 (4022) AMOEBAE WITH ADHD	20.0%	02494321 (4022) AMOEBAE WITH ADHD
5.0%	02441111 (4022) "CARTS" SCHOOL/Zoo Sci	5.0%	02441111 (4022) "CARTS" SCHOOL/Zoo Sci
10.0%	02552468 (4022) TOTALLY TUBULAR ORGANS IN MOLLUSKS	10.0%	02552468 (4022) TOTALLY TUBULAR ORGANS IN MOLLUSKS
10.0%	02581357 (4022) MULTIGENERATIONAL BORNEAN ORANGUTAN HABITATS	20.0%	02588642 (4022) MULTIGENERATIONAL SUMATRAN ORANGUTAN HABITATS

Object Code 4022 (Salary - Bi Weekly - Faculty)

Approvals

HANNA, JACK	REQUESTOR:
PAN, XIAOCUI	FINANCE
SHMUNKO, YEVGENIYA	FINANCE

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

Step 4 - Check InfoEd - <u>Proposal</u> 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 <u>active</u> 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. <u>Investigator % effort included in InfoEd but not in HRTS</u>
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. <u>Investigator as PI in Info Ed but no % effort in HRTS</u>
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 <u>prospective</u> 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 - 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 <u>prior to</u> 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

X. Significant Changes from Previous Versions

Section	Description of Change
I. Introduction	Added information specific to RPPRs
IV. B. Resources for Preparing	Added NIH eRA Commons Access
V. Tools for Preparing	Added NIH Other Support Page(s) from Previous Year's Submission
VI. How to Prepare	Removed extra step