

YSM Pre Award Team
Other Support Process SOP

Just in Time (JIT) Requests & Proposals that require Other Support

Roles and Responsibilities

- **Pre-Award Administrator:** responsible for updating the Pending grant information section for Other Support needed for JITs and sending the other support document to the Post Award Administrator to review/add information on both Active and In Kind sections.
- **Post Award Administrator/Key Faculty Member:** responsible for Active and In Kind Sections. This includes review of effort, total dollars, dates, overlap statement and making sure all current Yale funding and In Kind (as reported by the Key Faculty member) is reflected. Final versions should be sent back to Pre-Award Administrators for submission as part of JIT package and will be maintained in the other support folders on the YSM Pre-Award shared drive.

Pre-Award Administrator

1. Go to Shared Drive to locate Last Known Good (LKG) OS document.
 - a. If none on file, move to step 2.
2. Run the BI-Portal NIH Other Support report for Key Faculty, located here: <https://your.yale.edu/research-support/office-research-administration/research-enterprise-reporting>
NOTE: Internal grant information needs to be added & any missing goals
3. Update pending section on LKG Other Support document and send to Post Award Administrator to review/add Active and In Kind sections to the report.
NOTE: For Mentor OS that will be included in a career award application, the OS should not include information on “percent effort/person months” or “overlap” and the final PDF must be no longer than 3 pages.
4. Save to Shared Drive once updated document is received back from Post Award.
 - a. Naming Convention: PI Last Name_OS_Date
 - i. Ex. Heimer_OS_01.06.2022
5. Once the Post-Award Administrator returns the Other Support document, the Pre-Award Administrator will reach out to the faculty member to collect their electronic signature.

Post-Award Administrator

1. Review Other Support document (received from Pre-Award Administrator), to ensure all active grants are listed.
 - a. Add any new or missing grants. This includes any grants faculty have effort on at the VA, for those faculty that have a joint appointment with the West Haven VA.
 - i. (Utilize the BI-Portal NIH Other Support report and/or other Workday/internal grant lists to accomplish this.)
 - b. Compare against the PI’s salary allocation. (Utilize YBT and/or Workday per your DBO’s guidance).
 - c. Don’t forget unsalaried effort!
 - d. And grants without salary support – list those with 0 calendar months.
2. Review dates and remove grants that have ended. Use dates from the NOA for project period.
 - a. In case of a No Cost Extension, update revised end date and effort.
3. Reach out to PI or project coordinator for major goals description if not already on file from time of proposal.
*NOTE: The YSM Pre Award Team requests the Major Goals at time of proposal and this information can be found on the Proposal Information Forms (PIFs) if the faculty provided. Please look in the proposal folders and this information should be there if not already noted on the **LKG OS document**. Major Goals are now captured in IRES and appear on the BI-Portal NIH Other Support report for all proposals submitted after January 1, 2022, if they were provided at time of proposal.*

4. Review and update effort in calendar months. Provide the *current and future level of actual effort* (snapshot in time), even if unsalaried.
 - a. The efforts should be listed in the table provided by the template.
 - i. The period, year and calendar months should be listed for the current and future years of the award.

1. For example:

Period	Year	Calendar Months
2	2022	0.6
3	2023	0.6

5. Add **all** the current calendar months on the Other Support to check that effort doesn't go beyond 12 calendar months. **Active efforts should never be at or above 100% grant funded effort (even if there is overlap approval) and generally Instructor and Ladder level faculty should have at least 5% non-sponsored funded effort to account for administrative activities.**
6. Review total dollars for each grant.
 - a. The total costs of all years (i.e. the competitive segment) of the award should be listed.
 - i. (Total costs = indirect + direct for all the years)
 - b. This still holds true for supplements and project cores as well.
 - i. These are to be reported as the entire award – not just the core.
 - ii. Awards and their supplements are to be reported cumulatively
 - c. Subawards are the exception:
 - i. This should be listed as the total amount awarded to Yale – not to the prime recipient.
 1. However, still list the Prime award number, and Prime PI
7. Check with Faculty member to see if they have In-Kind Support to be included.
8. Review completed other support information that is being submitted in career award proposals and work with faculty to remove any active or pending support that is not relevant to the applicant's research to ensure the document is within the 3-page limitation. **Do not include information on "percent effort/person months" or on "overlap" for career awards.**
9. Check with Faculty member to see if they have any Third-Party Agreements (TPAs) that should be included with the submission.
10. Note all In-Kind on OS Document and collect the TPA from faculty member in PDF.
11. Send updated Other Support back to Pre-Award Administrator with any TPAs and they'll obtain signatures from the faculty members, submit the TPAs to the TPAL, and compile the OS documents needed for the JIT request.

Funding Notifications

Funding Notifications should be communicated to all support areas as needed – Pre-Award, Post-Award & PI – don't assume everyone has been notified! This is a collaborative effort.

NOTE: Notifications regarding a proposal's status should be sent to the appropriate GCAT mailbox so the IRES record is updated accordingly.

Third-Party Agreement Library (TPAL) ---- In-Kind

- 1) The faculty member informs the Post Award Administrator that they have an agreement with a foreign entity that was not previously submitted to the TPAL for review.
- 2) The Post Award Administrator should request a copy from the faculty member and send to the Pre Award Administrator.
- 3) The Pre Award Administrator will upload the document per the below and follow the tracking so they know

when it is ready to include with the JIT request.

Yale created this Third-Party Agreement Library to collect, review and return the documents with a decision of include or do not include with the OS document.

How do I access this?

There are two places:

- This is a direct link [here](#)
- Or through the [Safeguards for International Research Collaboration](#) and [Research Performance Progress Report \(RPPR\)](#) pages

The section in the Yale Training on the Third-Party Agreements Library can be found [here](#).

What is the process?

If an agreement needs to be uploaded, a user will first make sure the document being submitted is in English (to date, OSP has said that Google Translate is okay, it's not necessary to pay for a translation), and then the user will:

- select "add new file."
- Fill out the prompts:
 - Upload the file
 - Input External Party Name
 - Include and delegates if applicable
 - And include any comments
 - Click submit

The submitter and the delegate will receive a confirmation email with a link to the file and listing the status of the item as pending.

An Internal Reviewer (ORA or other) will be notified of a document awaiting review. They will review the contract and will make a decision if the document should be included or not. They will change the status of the document to "Reviewed – Included" or "Reviewed – Not Included."

If the document is marked as "Reviewed – Included," then a copy of the agreement should be provided as part of the PDF following the Other Support research pages.

If there are any agreements with foreign entities that need to be submitted, a minimum of 30 days prior to the submission of the third-party agreements will allow ample time for review. The documents must be submitted in English or with a translation. OSP has approved usage of Google Translate which is free to use.

Collecting Signatures

The final piece of the Other Support is NIH has stated that all Principal Investigators and other Senior/Key Personnel must **electronically** sign the Other Support form prior to its submission to NIH, certifying the information is accurate and complete. Only Adobe E-Signatures are allowed and the Adobe confirmation page must be attached/uploaded with the OS documents.

Faculty and staff should make sure they have the latest version of the Adobe Creative Cloud installed on their computers. Call the ITS Helpdesk if needs to be updated.

This cannot be done by anyone other than the faculty member.

The Pre-Award Administrator will be collecting this signature from the appropriate personnel prior to compiling and submitting the Other Support documents for JITs.

Note about Other Supports needed for RPPRs (Research Performance Progress Reports)

NIH Other Support documents are required to use the same format (Pending, Active, and In Kind sections) for RPPRs. Post Award Administrators are responsible for running the BI-Portal NIH Other Support Report and comparing this to the LKG OS document in order to report accurate Pending information, along with Active and In Kind, for OS documents needed for RPPRs. They are also responsible for uploading TPAs and obtaining PI signatures when working on OS for RPPRs.

Only if there are questions or clarifications needed on specific proposals, should the OS document related to an RPPR, be forwarded to YSM Pre Award Administrators.

Other Support Resources for Just In Time Requests

- NIH [Other Support Overview](#)
 - The template is linked as a Word document at the bottom of the above link
 - Instructions are also linked as a Word document at the bottom of the above link
- NIH [Just-In-Time Procedure](#)
- NIH [FAQs on Person Months](#)
- NIH [Definitions](#)
- NIH [FAQs on Other Support](#)
- Understanding Overlap
 - <https://researchtoolkitdotcom.wordpress.com/2014/10/14/understanding-overlap-and-sample-overlap-statements-for-grant-applications/>
 - Also, per the OS Instructions:
 - *After listing all support, summarize for each individual any potential overlap with the active or pending projects and activities, other positions, affiliations, and resources and this application in terms of the science, budget, or an individual's committed effort. For further information on Overlap see the [NIH Grants Policy Statement, Section 1.1.2: Definition of Terms](#)*
- Reminders of NIH Policies on Other Support and on Policies related to Financial Conflicts of Interest and Foreign Components [NOT-OD-19-114](#)
- Yale Training on [Other Support and Third-Party Agreements Library](#)
- Yale [Safeguards for International Research Collaboration](#)
 - Includes FAQs about what to include
 - Breakout for NIH and NSF OS's
 - Includes Key Requirements
 - Other References
 - NIH Guidance – Foreign Influence
 - DOE Guidance
 - DOD Guidance
 - NSF Guidance

ACRONYMS:

SOP – Standard Operating Procedure

JIT – Just in Time

OS – Other Support

LKG – Last Known Good

TPA – Third-Party Agreement

TPAL – Third-Party Agreement Library

RPPR – Research Performance Progress Report