

# YSM Pre Award Team

## NIH Other Support Process SOP – Revised for DocuSign eff. 8/11/25

### NIH 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/proposals 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 PI/investigator versions should be sent back to Pre-Award Administrators for submission as part of JIT/proposal package and will be maintained in the other support folders on the YSM Pre-Award shared drive.

#### Pre-Award Administrator

1. Locate Last Known Good (LKG) OS document on shared drive, to compare to BI-Portal report, if available.
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>
3. Add internal grants, any missing goals, and subaward PI information as needed to the 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. When receive updated document back from Post Award, route the agreement in DocuSign for investigator’s review and electronic signature.
5. Save the signed document to the Shared Drive once signed document is received.
  - a. Naming Convention: PI Last Name\_OS\_Date
    - i. Ex. Heimer\_OS\_01.06.2025

#### 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 devote effort to 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 investigator’s salary allocation. (Utilize YBT and/or Workday per your DBO’s guidance).
  - c. Remember to include unsalaried effort & 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 investigator 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 to the Other Support and 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 5-10% non-sponsored funded effort to account for administrative activities.**
6. Review total dollars for each grant. (Total award amount for the entire project period)
  - 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. Review completed other support information that will be 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.**
8. Check with investigator to see if they have In-Kind Support to be included and note on the OS document.
9. Check with the investigator to see if they have any Third-Party Agreements (TPAs) that should be included with the submission.
  - a. If yes, collect the TPA from the faculty member in PDF.
  - b. Submit to the TPAL.
  - c. If the document is marked as "Reviewed – Included," then a copy of the agreement should be sent to the Pre Award Administrator, who will then include it with the other support files for the JIT request or proposal submission.
10. Consult with Investigator regarding effort-related Overlap Statements.
  - a. Sample Effort Overlap Statement for JIT: "If this application is funded, I will reduce my effort on grant 5R01CAXXXX-03 to 2.0 calendar months so that my overall research effort does not exceed 12.0 calendar months."
    - i. NOTE: NIH will not accept a general statement for an Effort Overlap Statement, i.e., effort will not exceed 12 calendar months and will be adjusted accordingly.
    - ii. If none, write in "None."
11. Send Other Support back to Pre-Award Administrator and they will obtain investigator signature and compile the OS with other documents needed for the JIT request/proposal.

## 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 TPAL for review.
- 2) The Post Award Administrator should request a copy from the faculty member, upload per below, and follow the tracking.
  - If the document is marked as "Reviewed – Included," then a copy of the agreement should be sent to the Pre Award Administrator, who will then include it with the other support files for the JIT request or proposal submission.

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 decide 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.

## 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 DocuSign signatures are to be used effective August 1, 2025 and the [DocuSign](#) confirmation page must be attached/uploaded with the OS documents.

Staff routing the Other Support for signature should make sure they have been given access to utilize [DocuSign](#) by their department business office/YPAT.

This signature cannot be done by anyone other than the investigator.

**The Pre-Award Administrator collects this signature from the investigator prior to compiling and submitting the Other Support document for a JIT request or proposal.**

## 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 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.

If there are questions or clarifications needed on specific pending proposals, related to OS for an RPPR, reach out to YPAT Pre Award Administrators.

## Other Support Resources

- 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://researchertoolkitdotcom.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](#)
- **NEW** Yale Other Support [Website](#)

- **NEW** Yale SciENCv Transition [Website](#) (NIH's adoption of the Common Form for Current and Pending (Other Support originally scheduled for May 25, 2025 is postponed. Continue to use the NIH-specific format page until further notice.)
- **NEW** Yale Digital Signatures [Website](#)
  
- 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

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**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**