CLEAR Monthly Meeting
June 8, 2021
Today’s Agenda

• Announcements
• Single IRB InfoEd Update
• Other Support Overhaul: Getting NIH Ready
Sponsored Research Staffing

• Award Management
  – Awards Management Associate (3 positions)

• Contracts & Negotiations
  – Contracts Officer (active recruitment)

• Proposals & Award Acceptance
  – Grants Officer (active recruitment)
## Upcoming NIH Due Dates

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Description</th>
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| **July 5* (Holiday)** | • R01 Research Grants  
• U01 Research Grants - Cooperative Agreements  
  *renewal, resubmission, revision* |
| **July 12 (Monday)** | • K Series Research Career Development  
  *renewal, resubmission, revision* |
| **July 16** | • Other Research Grants and Cooperative Agreements  
  (R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3,  
  UH2/UH3) *renewal, resubmission, revision*  |
| **August 8* (Sunday)** | • F Series Fellowships *Individual NRSAs*  
  (including F31 Diversity) *new, renewal, resubmission* |
| **August 12** | • R13, U13 Conference Grants & Cooperative Agreements  
  *All - new, renewal, resubmission, revision* |
NIH July 5th Deadline: Submit Early

• Submission date falls on a Federal holiday, so deadline is extended to next business day (July 6)
• **Sponsored Research will be closed Thursday, July 1 – Monday, July 5** as per the University’s [Fourth of July holiday weekend extension](#)
• Recommended submission timeline:
  – Administrative components by **Monday, June 28**
  – Full proposal (administrative and technical components) by **Wednesday, June 30**
Single IRB Update in InfoEd
Single IRB Process Flow

• New Single IRB process flow will ensure all applicable proposals undergo Single IRB Consultation before submission

• sIRB Consultation: IRB Office determines whether it is appropriate for studies to use an external IRB or for Northwestern to serve as the single IRB for relying site(s)

• Stay tuned: IRB-focused session in the Fall
Coming Soon: InfoEd Update

• Launch date: June 17

• Proposal Routing Form Change:
  – InfoEd PRF will be updated with additional questions about human subjects in subrecipients

• New upload prompt:
  – If the proposal involves more than one site engaged in non-exempt Human Research, form will prompt the user to upload their Northwestern University Single IRB Letter of Support.
Other Support Overhaul*

Getting NIH-Ready
June 8, 2021

Michael S. Ferguson
Associate Director for Awards Management
Sponsored Research

*noun: overhaul;
ˈəʊvərˌhɑːl/
“a thorough examination of machinery or a system, with repairs or changes made if necessary”
Administrative Burden

There are no two ways about it: Other Support takes time to prepare and can be a heavy lift.

We should (and will) continue to explore ways to make its preparation less burdensome (e.g., system solutions, auto-fill templates, data migration and/or interfaced reconciliation with Northwestern reports).

We must assure full and accurate reporting by utilizing existing reports provided by university systems and reconciling the data with departmental records.
NIH Changes
NIH Resources

Other Support Guidance
https://grants.nih.gov/grants/forms/othersupport.htm

Other Support FAQs
https://grants.nih.gov/faqs#/other-support-and-foreign-components.htm

eRA Commons RPPR Help and Tutorial page
https://era.nih.gov/help-tutorials/rpr

NOT-OD-21-073 – Upcoming Changes to the Biographical Sketch and Other Support Format Page for Due Dates on or after May 25, 2025

NOT-OD-21-110 – Implementation of Changes to Biographical Sketch and Other Support Form Page

NOT-OD-21-122 – Announcing New Inbox for Inquiries Related to Changes to Biographical Sketch and Other Support Format Page
Other Support

From NIH’s Other Support Instructions:

**Other support** includes all resources made available to researchers or senior key personnel in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant.

This includes: resources and/or financial support from all foreign and domestic entities that are available to the researcher. This includes, but is not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemicals, model systems, technology, etc.). Institutional resources, such as core facilities or shared equipment that are made broadly available, should not be included in Other Support, but rather listed under Facilities and Other Resources.

**NOTE:** Other support does not include training awards, prizes, gifts or start-up support provided to the individual by the applicant organization.
Other Support – Format and Expectations as of May 25, 2021

• Updated Requirements for Recipients ([NOT-OD-21-073](#))
• Format changes, including section on “In-Kind” support.

• Supporting documentation, which includes copies of contracts/agreements specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If the contracts/agreements are not in English, recipients must provide translated copies.

• Immediate notification of undisclosed Other Support. When a recipient organization discovers that a PI or other Senior/Key personnel on an active NIH grant failed to disclose Other Support information outside of Just-in-Time or the RPPR, as applicable, the recipient must submit updated Other Support to the Grants Management Specialist named in the Notice of Award as soon as it becomes known.
In-Kind Support

From NIH’s Other Support Instructions:

Other Support also includes in-kind contributions (such as office/laboratory space, equipment, supplies, or employees or students supported by an outside source). In-kind contributions do not constitute a ‘recipient share’ of the expenditures, and do not need to be included in the SF-425 FFR.

- If in-kind contributions are intended for use on the project being proposed to NIH in this application, the information must be included as part of the Facilities and Other Resources or Equipment section of the application and need not be replicated on this form.
- In-kind contributions not intended for use on the project/proposal being proposed in this application must be reported below. If the time commitment or dollar value is not readily ascertainable, reasonable estimates should be provided.

**In-Kind Contributions Section:**
Provide Active and Pending In-Kind contributions for all senior/key personnel.

Enter your in-kind entries so they are grouped together based on the "Status of Support" and are in the order of Active and Pending Support from top to bottom.

*Summary of In-Kind Contributions: Provide a summary of the In-Kind Contribution.*

*Estimated Dollar Value of In-Kind Contribution: Provide an estimate for the value of the In-Kind Contribution. If the time commitment or dollar value is not readily ascertainable, reasonable estimates should be provided.*
In-Kind Support

From NIH’s Other Support

Instructions:

Name of Individual:
Commons ID:

IN-KIND

*Summary of In-Kind Contribution:

*Status of Support:

*Primary Place of Performance:

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

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

<table>
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<th>Person Months (##.##)</th>
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<tr>
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<td>[enter year 4]</td>
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<tr>
<td>5.</td>
<td>[enter year 5]</td>
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</tbody>
</table>

*Estimated Dollar Value of In-Kind Information:
Foreign Institution Agreements/Documentation

From NIH’s Other Support Instructions:

Institutions are required to submit copies of contracts specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If they are not in English, recipients must provide translated copies (see NIH GPS 2.5.1). This does not include personal service contracts, or employment contracts for fellows supported by foreign entities.


Supporting Documentation:

Provide copies of contracts specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If they are not in English, recipients must provide translated copies.

Supporting Documentation should be provided as a PDF following the Other Support form.
NIH Format for Other Support –
Effective May 25, 2021

*Name of Individual:
Commons ID:

IN-KIND

*Summary of In-Kind Contribution:
*Status of Support:
*Primary Place of Performance:
Project/Proposal Start and End Date (MM/YYYY) (if available):
*Person Months (Calendar/Academic/Summer) per budget period

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<tr>
<td>4. [enter year 4]</td>
<td></td>
</tr>
<tr>
<td>5. [enter year 5]</td>
<td></td>
</tr>
</tbody>
</table>

*Estimated Dollar Value of In-Kind Information:

*Overlap (summarized for each individual):
I, PD/PI or other senior/key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

*Signature: ________________________________
Date: ________________________________

Each PD/PI/investigator/senior key personnel is required to sign and date the above certification for submission of their Other Support. This field is located at the bottom of the Other Support page. There can be no recycling of a previously used document.

Signature and date must be present when SR carries out its central office review. If differences are discovered and the document needs to be revised, the corrected document will have to be signed and dated again by the key personnel.
Order of Other Support

Enter your support entries so they are grouped together based on the "Status of Support" and are in the order of Active, Pending, and Completed Support from top to bottom.

- Active
- Pending
- Completed

Enter your in-kind entries so they are grouped together based on the "Status of Support" and are in the order of Active and Pending Support from top to bottom.

- In-Kind
  - Active
  - Pending
Other Support – Format and Requirements as of January 25, 2022

From NOT-OD-21-110:

“To align applicant and recipient systems with NIH's longstanding policy requirements and application requirement updates, NIH expects applicants and recipients to use the updated biosketch and other support format for applications, Just-in-Time (JIT) Reports, and Research Performance Progress Reports (RPBPRs) as of May 25, 2021. NIH will require the use of the updated format pages for the previously mentioned submissions for anything on and after January 25, 2022. Failure to follow the appropriate formats on or after January 25, 2022 may cause NIH to withdraw applications from or delay consideration of funding.

“Please note, applicants and recipients remain responsible for disclosing all research endeavors regardless of the version of the forms used. Therefore, if applicants and recipients choose not to use the updated format pages before they are required, applicants and recipients must still capture all the necessary information. NIH is fully committed to implementing the SciENcv template for Other Support in early FY 2022.”
NIH Sample of Other Support

*Name of Individual: Anderson, R.R.
Commons ID: AndersonRR

Other Support – Project/Proposal

ACTIVE

*Title: Chloride and Sodium Transport in Airway Epithelial Cells

Major Goals: 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.

*Status of Support: Active

Project Number: 2 R01 HL 00000 - 13
Name of PD/PI: Anderson, R.R.
*Source of Support: NHLBI

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

Project/Proposal Start and End Date: (MM/YYYY) (if available): 3/1/2021 – 2/28/2026

* Total Award Amount (including Indirect Costs): $1,492,232

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

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<td>3.6 calendar</td>
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<td>3.6 calendar</td>
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<td>3.6 calendar</td>
</tr>
<tr>
<td>5. 2025</td>
<td>3.6 calendar</td>
</tr>
</tbody>
</table>

Continued on next slide…
NIH Sample of Other Support
(Pending included, so this is a JIT example)

**PENDING**

*Title: Liposome Membrane Composition and Function*

Major Goals: The major goals of this project are to define biochemical properties of liposome membrane components and maximize liposome uptake into cells.

*Status of Support: Pending*

Project Number: DCB 950000

Name of PD/PI: Anderson, R.R.

*Source of Support: National Science Foundation*

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

Project/Proposal Start and End Date: (MM/YYYY) (if available): 10/1/2021 – 9/30/2023

* Total Award Amount (including Indirect Costs): $262,921

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

<table>
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</tr>
</thead>
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<tr>
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<td>2.4 calendar</td>
</tr>
<tr>
<td>2. 2022</td>
<td>2.4 calendar</td>
</tr>
</tbody>
</table>

Continued on next slide…
COMPLETED

*Title: Gene Transfer of CFTR to the Airway Epithelium

Major Goals: The major goals of this project are to identify and isolate airway epithelium progenitor cells and express human CFTR in airway epithelial cells.

*Status of Support: Completed

Project Number: R000

Name of PD/PI: Anderson, R.R.

*Source of Support: Cystic Fibrosis Foundation

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

Project/Proposal Start and End Date: (MM/YYYY) (if available): 9/1/17 – 8/31/20
NIH Sample of Other Support

IN-KIND

*Summary of In-Kind Contribution: Post-doctoral fellow, Dr. John Smith, who conducts research activities in the Anderson lab. Salary supported by Oxford University.

*Status of Support: Active

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

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: $80,000

*Summary of In-Kind Contribution: Cell line XYZ provided by Dr. Jennifer Smith at Cornell University.

*Status of Support: Active

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

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 $1,000

*Overlap (summarized for each individual):

There is scientific overlap between aim 2 of NSF DCB 950000 and aim 4 of the application under consideration. If both are funded, the budgets will be adjusted appropriately in conjunction with agency staff.
How Northwestern University Will Proceed with Implementation

- Encourage faculty and research administrators to prepare their Other Support per the new guidelines as of May 25, 2021.
- Northwestern Requirement (September 1, 2021)
  - Other Support in new format for Active, Pending (for JIT), In-Kind
  - Copies of foreign institution agreements and contracts
  - Signed and dated attestation of the PI
- NIH Requirement (January 25, 2022 and forward)
  - All of the above

Failure to follow the appropriate formats on or after January 25, 2022 may cause NIH to withdraw applications from or delay consideration of funding.
Feedback Received
Resources Departments, Units and Schools Are Using Now

SR recently solicited a handful of representative departments, units and school administrators on how they go about preparing their Other Support. Here is a list of those key resources:

1. GM060 – Active Support by Investigator (Cognos)
2. GM085 – Pending Support by Investigator (Cognos)
3. Proposal Budget Justification
4. Salary/Payroll Plan – to confirm all funding sources currently supporting a faculty member’s research, then reconciliation of effort against Cognos report data, the NoA, and any relevant approvals/communications
5. Certified Effort Reports
6. PI – Disclosure of consulting agreements, in-kind contributions, and foreign affiliations, appointments or contracts
Cognos Reports
Required Cognos Reports for Other Support Preparation

The compliance requirements, greater scrutiny, and personal and institutional liability for the content of the Other Support data translates to rigorous processes for its preparation. The following reports are considered mandatory for the PI/department’s administrative preparation, review and reconciliation of Other Support data:

- GM060 – Active Awards All Roles
- GM085 – Pending Proposals All Roles
- ER001 – Committed and Certified Effort and/or Effort Reporting System (ERS)
- GM084 – Completed Awards Within Three Years
Active Awards All Roles

Investigator’s home department runs the Cognos GM060 report to assure that all awards on it are accounted for in the Other Support.

The GM060 includes the following data for use in the Other Support Format with the GM060 report column heading names indicated in red below.

**Other Support – Project/Proposal**

*Title*: Title

**Major Goals**: Specific Aims

*Status of Support:

**Project Number**: Sponsored Award Number (not InfoEd SP#)

**Name of PD/PI**: Main PI

*Source of Support*: Originating Sponsor / Sponsor (if flow-through, e.g., NHLBI/University of Michigan)

*Primary Place of Performance:

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

* Total Award Amount (including Indirect Costs): Total Anticipated Award Amount

* Person Months (Calendar/Academic/Summer) per budget period. See ER001 report
GM060: When Data Differs from Dept Records or Certified Effort

The GM060 pulls its data from InfoEd. Population of data on the report is subject to rules which can impact results. Here are three things to consider:

1. Flow-through awards without a currently fully-executed subaward agreement and a status of Active in InfoEd for the current year will not appear on the GM060. If you know through effort certification that your investigator is working on such a project and it isn’t on the GM060, you must still include it in the Other Support to assure full reporting. Identify any such awards by SP# in the RPPR InfoEd record by uploading (as a “Supporting Document”) your Word doc original of the Other Support with brief and specific explanation of any reconciliation differences. This explanation will inform any notes SR might have and will become part of the audit record.

2. If your investigator is certifying effort on an award that is not on the GM060, keep that award on your Other Support. If it isn’t a case covered by the flow-through scenario described above, it likely means your investigator was never formally added to the InfoEd record. The home department of the award should be alerted to submit a Change Request (CR) to add the person to the InfoEd record. This will not hold up the submission of the RPPR. The CR can be submitted afterwards, but it’s important that it be done. You can note such awards by SP# in the RPPR InfoEd record as described in the Word doc scenario above.

3. Zero effort is a red flag. All active awards on the Other Support must have effort unless it is clear that the effort is captured on a parent award that is also on the Other Support. An allowable example would be a funded supplement. Zero effort appearing on a GM060 does not mean you are to record zero effort on your Other Support. Always use the actual effort on the Other Support. If reporting an NIH instrumentation grant (S10) or Conference/Workshop grant, annotate the record to explain that these mechanisms do not include commitments of effort.
Identifying Differences
RA Notes in Red

OTHER SUPPORT Reconciliation (Word Document)

Dr. PI

THIS AWARD
R01HL154586 (PI) 09/15/2020-06/30/2024 1.08 calendar
NIH/NHLBI $434,927

*Attenuate inflammation and promote repair after IAV infection*

The goal of this project is to investigate the process of recovery from viral pneumonia with a focus on how the dysregulated production of inflammatory mediators from the lung epithelium prevents epithelial regeneration by inhibiting the reparative function of monocyte-derived alveolar macrophages.

P01HL071433 (Sanford) 09/01/2015-6/30/2021 (NCE) 0.36 calendar
NIH/NHLBI $73,738

*Pathophysiology of lung injury*

The major goal is to provide project investigators with mice that lack or overexpress key genes in the lung and provide investigators with several important, carefully characterized models of acute lung injury (ALI) and the Acute Respiratory Distress Syndrome (ARDS) including a model of pneumonia/ARDS induced by the influenza A virus.

U19AI135294 (Wisston) *Not on GM060, but investigator is working on (SP0012345)*
NIH/NIAID/University of Minnesota 01/17/2018-12/31/2022 0.60 calendar
NIH/NIAID Systems Biology Center $167,941 Project 1

*This innovative integrated systems biology application seeks to delineate the complex host/pathogen interactions that lead to unsuccessful response to therapy in serious pneumonia.*

NEW
R01 HL015222 (Sanger) 04/15/2021-03/31/2025 0.12 calendar
NIH/NHLBI $292,000

*Regulatory T cell function following pneumonia*

By studying how hallmark aging processes control the function of regulatory T cells, we will uncover fundamental mechanisms of recovery from viral pneumonia, which will lead to novel therapies that extend the health-span of our increasingly older population.

OVERLAP
None.
Reporting Effort on Other Support

Effort must be reported for each period of an Active award in table form.

Per NIH’s instructions below, enter “actual” effort for the current year. Enter the “proposed” effort for remaining out years.

Note: Pending support is not relevant for RPPR reporting.

<table>
<thead>
<tr>
<th>Year (YYYY)</th>
<th>Person Months (Calendar/Academic/Summer) per budget period</th>
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</thead>
<tbody>
<tr>
<td>1. [enter year 1]</td>
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<td>2. [enter year 2]</td>
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<td>3. [enter year 3]</td>
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<td>4. [enter year 4]</td>
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<tr>
<td>5. [enter year 5]</td>
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</tbody>
</table>

*Person Months:* Indicate calendar or academic/summer months associated with each project. For an active project, provide the level of actual effort in person months (even if unsalaried) for the current budget period and indicate the proposed level effort for each remaining budget period. Person months should be classified as calendar or academic/summer.

For a pending project, indicate the level of effort in person months as proposed for each budget period. Use either calendar months OR a combination of academic and summer months. If effort does not change throughout the year, it is OK to use only calendar months. However, you may use both academic and summer months if your institutional business process requires noting each separately even if effort remains constant. If effort varies between academic and summer months, use only academic and summer months, and do not use calendar months. In cases where an individual’s appointment is divided into academic and summer segments, indicate the proportion of each devoted to the project.

For completed projects person months are not required.
What is “Actual” Effort?

*Answer:* Certified effort (annualized), which is then compared against the baseline proposed commitment that is recorded in InfoEd and feeds the GM060 report.

**Allowed Variances on NIH Awards:** 1) Actual effort that is greater than the proposed commitment; 2) Actual effort that has been reduced by less than 25% of the proposed commitment for the PD/PIs and any other individual designated as Key Personnel in the Notice of Award (NoA) where a minimum effort has not been set; 3) Actual effort reductions of any amount for Key Personnel not named in the NoA; 4) Effort reductions for any Key Personnel in NIH no-cost extension period.

**Disallowed Variance on NIH Awards:** Actual effort that has been reduced from levels required in the NoA, or effort that is reduced 25% or more from the original commitment for the PD/PIs and any other individual designated as Key Personnel in the NoA. Such reductions require NIH prior approval.

*Note:* InfoEd and Cognos (which pulls its data from InfoEd) reflect the proposed commitment so that the baseline is established and maintained, against which all actual effort certifications can be measured at the thresholds stated above.
Resource for Proposed and Actual Effort

ER001 – Committed and Certified Effort

Investigator’s home department runs the Cognos ER001 report to accurately populate the Person Months table for each project.

https://www.it.northwestern.edu/admin-systems/announcements/effort-er001.html

Effort for current year will be certified “actual” effort. Effort for future years will be committed effort and can be obtained from the proposal.
Cognos Certification & Commitment Report

- The **ER001 report in Cognos** BI displays effort commitments from InfoEd and certifications from ERS in a single report:
  - Check certified effort for a project, including people who are in other departments
  - Look up certified effort for an entire fiscal year (or longer) at once rather than one quarter at a time
  - Check who has committed effort on a project and see whether or not they have certified effort
- Run by any Project or Person (starting FY14) for the entire university
  - There is no row level security restriction
  - In Cognos, go to “Effort Reporting” folder inside the “School” or “Central” folder within FFRA.
  - You automatically have access if you have sponsored program management rights (e.g. if you can run GM045); if you don’t have sponsored program management access already, submit the FFRA express security form
Cognos Certification & Commitment Report

• The ER001 report in Cognos BI displays effort commitments from InfoEd and certifications from ERS in a single report.

• Example for a given person for a given project:

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<tr>
<th>Title</th>
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<th>Financial Department ID</th>
<th>Committed</th>
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<tr>
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<td>5421960</td>
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<td>10/31/17</td>
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</tr>
<tr>
<td>Professor 193</td>
<td>5421960</td>
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<td>10/31/17</td>
<td>0.12</td>
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Run report for a project:

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<table>
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### Person 1

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### Person 2

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<th>Budget Period Start</th>
<th>Budget Period End</th>
<th>Committed Effort Calendar Months</th>
<th>Committed Effort Academic Months</th>
<th>Committed Effort Summer Months</th>
<th>Certification Quarter</th>
<th>Certification Period Start</th>
<th>Certification Period End</th>
<th>Certified Effort Percentage</th>
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### Person 3

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<th>Committed Effort Academic Months</th>
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<th>Certification Quarter</th>
<th>Certification Period Start</th>
<th>Certification Period End</th>
<th>Certified Effort Percentage</th>
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Run report for a person:

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<th>Person 1</th>
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<tbody>
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<th>Certified</th>
<th>Certification Quarter</th>
<th>Certification Period Start</th>
<th>Certification Period End</th>
<th>Certified Effort Percentage</th>
</tr>
</thead>
<tbody>
<tr>
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<td>0</td>
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<td>1Q2017</td>
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<th>Certification Quarter</th>
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<tbody>
<tr>
<td>610</td>
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</tr>
</tbody>
</table>

| | Effort 101 | Northwestern RESEARCH | 40 |
Questions/Support

• Cognos Report Questions/Issues/Support
  – Northwestern IT Support Center:
  – consultant@northwestern.edu / 847.491.4357 (1-HELP)

• Commitment Data Questions / Issues
  – Cognos pulls commitment data from InfoEd; contact OSR to update InfoEd if there are commitment data entry errors

• Certification Data / General Effort Reporting Questions
  – Cognos pulls certification data from ERS; contact your campus effort coordinator for questions about certifications, how to determine if commitments were met, and other general effort reporting questions.
  – Chicago: Erin Farlow (e-farlow@northwestern.edu / 312.503.0323)
  – Evanston: Tina Mete (c-mete@northwestern.edu / 847.491.6755)
Pending Proposals All Roles

Investigator’s home department runs the Cognos GM085 report to assure that all pending proposals are accounted for in the Other Support. All proposals without definitive evidence of a sponsor’s decision not to fund must be included.

*Name of Individual:
Commons ID:

The format is the same as Active.

Other Support – Project/Proposal

*Title:
Major Goals:
*Status of Support:
Project Number:
Name of PD/PI:
*Source of Support:
*Primary Place of Performance:
Project/Proposal Start and End Date: (MM/YYY) (if available):
* Total Award Amount (including Indirect Costs):
* Person Months (Calendar/Academic/Summer) per budget period.

<table>
<thead>
<tr>
<th>Year (YYYY)</th>
<th>Person Months (#,.##)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>[enter year 1]</td>
</tr>
<tr>
<td>2.</td>
<td>[enter year 2]</td>
</tr>
<tr>
<td>3.</td>
<td>[enter year 3]</td>
</tr>
<tr>
<td>4.</td>
<td>[enter year 4]</td>
</tr>
<tr>
<td>5.</td>
<td>[enter year 5]</td>
</tr>
</tbody>
</table>
Completed (or Inactive) Support

Completed Awards Within Three Years

Investigator’s home department runs the Cognos **GM084** report to assure that completed awards in the last three years and all active awards completed since the last reporting period (for RPPRs) are accounted for in the Other Support. (Selected completed projects for the past three years are also to be included in the Personal Statement of the new biosketch format.)

**Note:** For awards where a specific investigator is no longer working on a project that is still active, include those in the Other Support. The Project End date should reflect the actual end date. Therefore you can have an award in your Completed Support section that shows an end date in the future. Add a brief explanatory note to NIH for such cases stating that the investigator has completed their work on this award as of a given date.

No effort table is necessary for Completed awards.
Best Practices & Guidance
Overlap Section

From NIH’s Other Support Instructions:

Overlap Section:
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

NIH Grants Policy Statement Definition of Terms
Overlap Statement

• There are three types of overlap – with NIH definitions below of each:
  o **Commitment**: Commitment overlap occurs when an individual’s time commitment exceeds 100 percent (i.e., 12 person months), whether or not salary support is requested in the application.
  o **Scientific**: Scientific overlap occurs when (1) substantially the same research is proposed in more than one application or is submitted to two or more funding sources for review and funding consideration or (2) a specific research objective and the research design for accomplishing the objective are the same or closely related in two or more applications or awards, regardless of the funding source.
  o **Budgetary**: Budgetary overlap occurs when duplicate or equivalent budgetary items (e.g., equipment, salaries) are requested in an application but already are provided by another source.

• All three should be addressed. But if none to all, can simply state “None.” If one or more (but not all three) are addressed, add a statement about the other(s). This scenario largely impacts Just-in-Time (JIT) submissions where pending support is included and commitment overlap comes into play.
• Pending support is not a component of RPPR Other Support so there should be no mention of pending in the overlap statement.
Overlap Statement

Be **specific**. NIH needs overlap addressed between the Active awards and those Pending awards where funding is imminent or known to be highly likely.

*Never* use generic overlap statements such as, “If all pending proposals are awarded, Dr. X will make adjustments to assure effort is not greater than 12 person months.”

NIH is not concerned about the unlikely scenario where all truly pending proposals become awards. It is looking for a statement that specifically addresses Active and Pending awards where it is known funding is likely or imminent.

The more generic the overlap statement, the likelier it will require back and forth with NIH and multiple revisions.

The more **specific** the overlap statement to the JIT or RPPR at hand and any currently Active or Pending with imminent award-probability, the likelier that NIH will have what it needs to assess the plan to make room for the JIT award or RPPR non-competing continuation and therefore move forward with awarding actions.
What about Subrecipient Other Support?

Subrecipients are under the same compliance regulations as Northwestern and are required to submit complete and accurate Other Support to the lead institution (or Pass-Through Entity / PTE) for inclusion in the annual RPPR. They are to follow their institution’s guidelines for preparation of Other Support and submit only completed documents that have been reviewed and approved in accordance with their local procedures/policy. Those documents must, of course, be fully aligned with NIH’s policies and format.

While a detailed review of the subrecipient’s Other Support is not necessary, best practice is to glance at the documentation to see that it is in the proper format. If you see that it is not, e.g., missing components, contains zero effort on awards, etc., a revised document must be requested.
Even before any requirement to obtain investigator/faculty signatures attesting to the completeness and accuracy of the Other Support, it was understood that this is what was being assured when Northwestern University submits JIT or a RPPR on behalf of the PI.

The Other Support data must be complete and accurate when it comes to the central office for review. The research community and Sponsored Research have access to the same centralized data reports. Those reports are required to be used and differences must be reconciled up-front in communications when the Other Support is sent for review. This will demonstrate institutional standards in our operating procedures and assure consistency in the administrative review checks and balances. It will reduce back and forths for revisions, create greater efficiencies and quicker turn-around times for central office review and submission to the sponsor. Importantly, it also helps protect all parties, including the faculty who will be making the attestation below.

I, PD/PI or other senior/key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

*Signature: ________________________________
Date: ________________________________
PI Signature

- Must be a verified signature displaying a date, such as through DocuSign®, Adobe Sign®, or a wet signature. Cannot be a "stamp" or dropped image. We will monitor NIH’s FAQs on this subject. If wet signatures are deemed unacceptable, we will adjust accordingly.
- If using a wet/original signature, it must be archived by department in the event of a need for verification.
- Document uploaded for submission to NIH must be a flattened pdf. The easiest way to do this is to print-to-pdf.
- NIH further states: "If a PDF for these submissions on or after May 25, 2021 is not flattened before the upload to eRA Commons, this may lead to an error." Always be sure to validate your submission in Commons.
Let’s All Start from the Same Place

The research admin community and SR have access to the same reports. **Start** with the Cognos Reports and identify where there are differences up-front. Communicate those in a Word document version of your Other Support included in your InfoEd record.

The benefits are tremendous:

1. We move away from the current line-by-line comparison review to a model of reconciling identified differences with Cognos reports.
2. Fewer (or no) central office notes about entries where the department already knows there are circumstances to consider and has proactively communicated that information.
3. Greater likelihood that you won’t need to track down faculty for another date and signature because the Other Support has been revised.
4. Ability to share the same reconciliation per investigator when submitting Other Support for investigator(s) who appear on multiple RPPRs at about the same reporting time, or for submissions done by another department.
5. Confidence that the document you asked your investigator to sign is compliant, accurate and complete.
Sponsored Research Resources

- Sponsored Research website: https://osr.northwestern.edu/other-support/
- Email osr-info@northwestern.edu with questions or comments.
- Questions may also be directed to Michael Ferguson, Associate Director for Awards Management, at ferguson-m@northwestern.edu.
Questions