Tri-University Research Administration Conference

Welcome to the Tri-University Research Administration Conference.

Your session will begin shortly. While you wait, please review the following reminders::

Zoom Troubleshooting

Issues with Audio
Turn off headset/computer speakers and call in by phone for audio

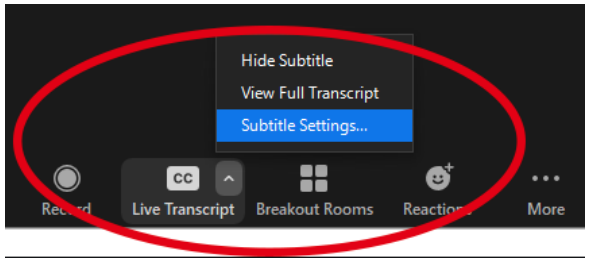
General Issues
Log off and log back in using SSO

Technical Support
Call 480-965-9065 Ext 1.

About this Session

Recording
Today's session is being recorded and will be made available for later viewing

Closed Captioning
The Closed Caption/Live Transcript feature has been enabled. You can show/hide the CC via your meetings controls located at the bottom of your screen.



We'd Love Your Feedback!

To help us plan next year's Tri-University Research Administration Conference, we would love to get your feedback.

If you want to provide feedback for the presenters of today's session, make sure to complete the survey you will receive via email at the end of the day.

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Current & Pending, Other Support, Foreign Influence, and Report

Ekaterina Khaustova, Lael Thompson, and Yang Wen

NSF Current and Pending Support, NIH Other Support, An Overview

Presenter: Yang Wen
RAA, CIDSE

National Science Foundation

Current and Pending Support

- Information must be provided about all current and pending support, including this project, for ongoing projects, and for any proposals currently under consideration from whatever source, irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.

- Current and pending support also includes in-kind contributions such as office/laboratory space, equipment, supplies, employees, students. In-kind contributions **not intended for use** on the project/proposal being proposed also must be reported.

National Institutes of Health

Other Support

- Information on other active and pending support may be requested (often as part of Just-in-Time procedures for grant applications or in progress reports) to ensure there is no scientific, budgetary, or commitment overlap.

- 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.

National Science Foundation

NSF Current and Pending Support

Fillable Template

Revised 05/01/2020 **NSF CURRENT AND PENDING SUPPORT** **OMB-3145-0058**

*PI/co-PI/Senior Personnel Name:

***Required fields**

Note: NSF has provided 15 project/proposal and 10 in-kind contribution entries for users to populate. Please leave any unused entries blank.

National Science Foundation

NSF Current and Pending Support

Fillable Template

Projects/Proposals

1.*Project/Proposal Title :

*Status of Support : ◉ Current ○ Pending ○ Submission Planned ○ Transfer of Support

Proposal/Award Number (if available):

*Source of Support:

*Primary Place of Performance :

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

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

*Total Award Amount (including Indirect Costs): $

*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

NIH

Other Support

Samples

OMB No. 0925-0001 (Rev. 03/2020 Approved Through 02/28/2023)

For New and Renewal Applications – DO NOT SUBMIT UNLESS REQUESTED

PHS 398 OTHER SUPPORT

Samples

ANDERSON, R.R.

ACTIVE

2 R01 HL 00000-13 (Anderson)	3/1/2017 – 2/28/2022	3.60 calendar
NIH/NHLBI	$186,529	
Chloride and Sodium Transport in Airway Epithelial Cells		

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.

PENDING

DCB 950000 (Anderson)	12/1/2017 – 11/30/2019	2.40 calendar
National Science Foundation	$82,163	
Liposome Membrane Composition and Function		

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

OVERLAP

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.

What to report?

National Science Foundation

- All resources made available to the individual in support of and/or related to all of his/her research efforts, regardless of whether or not they have monetary value, need to be reported.
- If the project (or any part of the project) now being submitted has been funded previously by a source other than NSF, information needs to be provided regarding the last period of funding.
- Information on the proposal being submitted should be included.

- Other resource should include 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.
- Other Support doesn't include the proposal being submitted.

When to report?

National Science Foundation

- At the proposal submission stage

NIH National Institutes of Health

- As part of Just-in-Time procedures for grant applications
- In the progress reports

Who should report?

National Science Foundation

- Each individual designated as senior personnel on the proposal (PI, Co-PI, Senior Personnel).

- All individuals designated in an application as senior/key personnel, **except**
  - Program Directors, training faculty, and other individuals involved in the oversight of training grants
  - Individuals categorized as Other Significant Contributors
- All senior/key personnel, excluding consultants, in progress reports when there has been a change in active other support, **except**
  - Program Directors, training faculty, and other individuals involved in the oversight of training grants

Key Information?

National Science Foundation

- Project title
- Status of support
- Source of support
- Primary place of performance
- Project start date
- Project end date
- Total award amount
- Person months

National Institutes of Health

- Project number
- Contact Principal Investigator
- Status of support
- Source of support
- Title of project/subproject
- Dates of approved/proposed project
- Person months
- Major goal

Who are reviewing and what are they reviewing?

National Science Foundation

- Grant management
- Panel reviewers

- IC scientific program and grants management staff will review this information before award to ensure the following:

  - Sufficient levels of effort are committed to the project.

  - There is no scientific, budgetary, or commitment overlap.

  - Only funds necessary to the approved project are included in the award.

Format/Template

- NSF Fillable PDF
- SciENcv (NCBI)

- NIH Other Report Form page

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Questions?

Presenter:

Ekaterina Khaustova
Research Advancement Administrator,
Arizona State University

Effective October 2020, NSF only accept Current and Pending Support PDFs that are generated through the use of an NSF-approved format, such as the NCBI SciENcv website.

- **NCBI SciENcv website**

More than 15 current and pending projects

- **Fillable PDF**

Less than 15 current and pending projects

SciENcv Background:

Science Experts Network Curriculum Vitae (SciENcv) is an electronic system that helps researchers assemble the professional information needed for participation in federally funded research. SciENcv gathers and compiles information on expertise, employment, education and professional accomplishments.

Researchers can use SciENcv to create and maintain biosketches and Current and Pending Support that are submitted with grant applications and annual reports. SciENcv allows researchers to describe and highlight their scientific contributions in their own words.

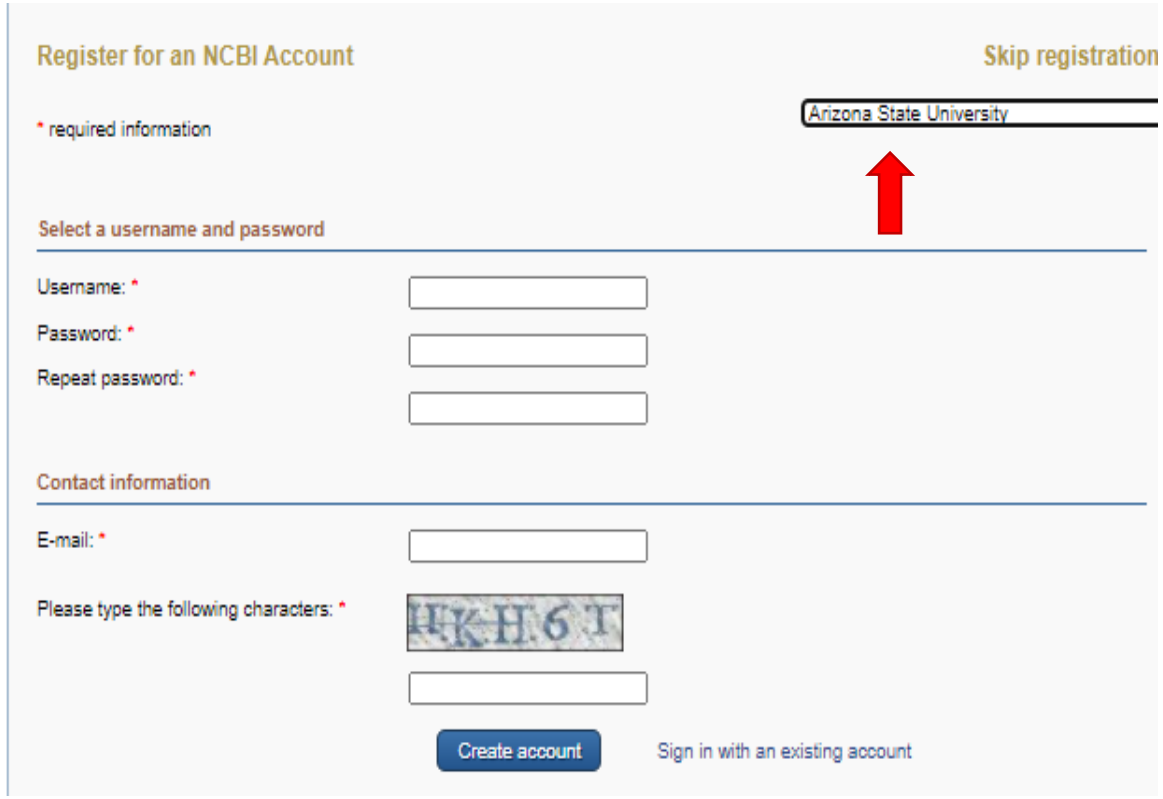
What SciENcv does:

- Eliminates the need to repeatedly enter biosketch information and CP's
- Reduces the administrative burden associated with federal grant submission and reporting requirements
- Provides access to a researcher-claimed data repository with information on expertise, employment, education, and professional accomplishments
- Allow researchers to describe their scientific contributions in their own language

How to set up and work with NCBI account.

Step 1: Login to SciENcv with your NSF Credentials

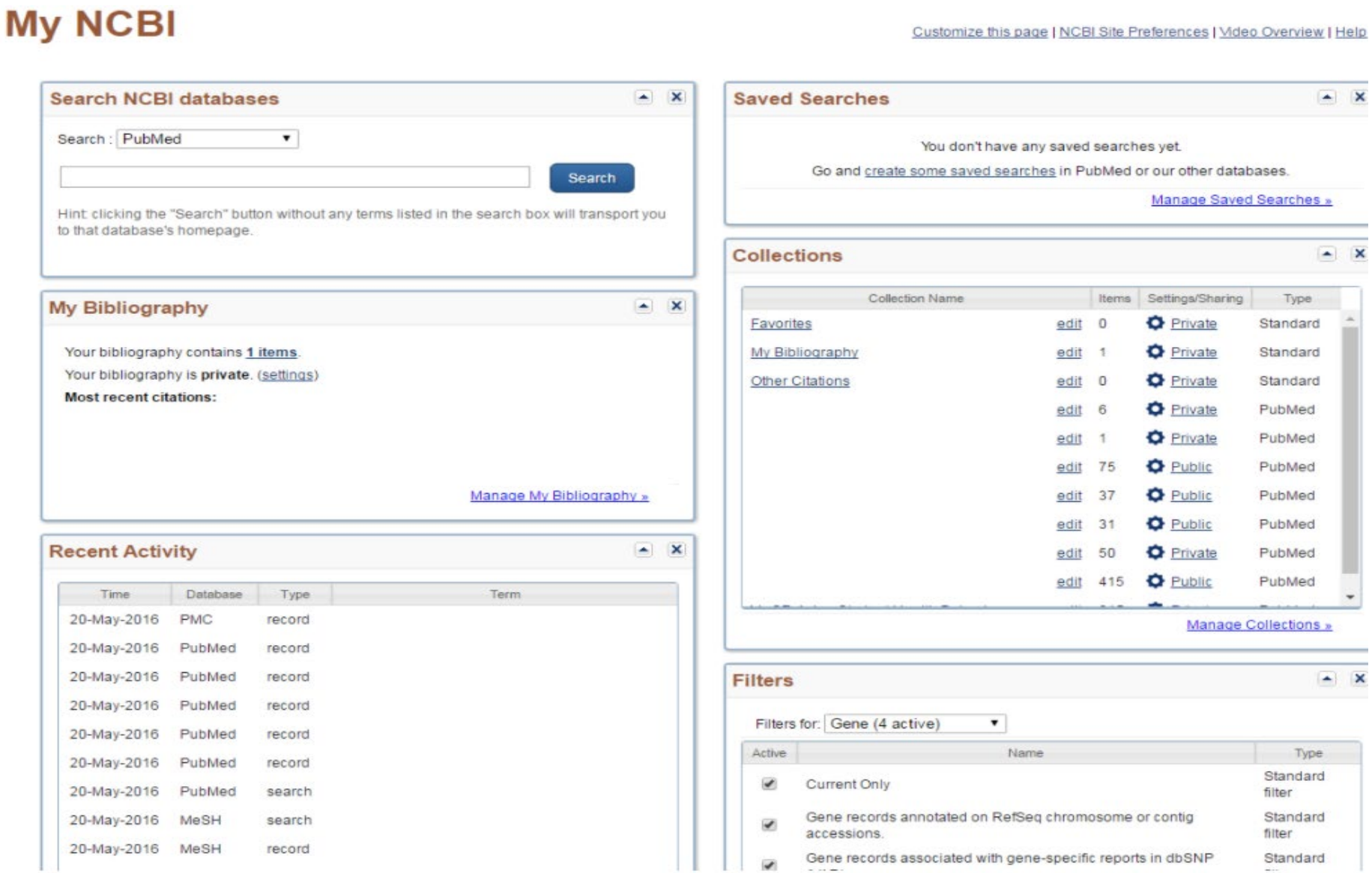
Step 2: Proceed with creating your NCBI account with any email you choose.



How to set up and work with NCBI account.

Step 3:

Once you are registered, you will be directed to your personal NCBI account landing page (also called My NCBI).



Delegation process

Any My NCBI account holder can set up one or more delegates for their My NCBI account. Once a delegate has accepted their invitation, the delegate(s) has the ability to view, edit, and create profiles in the original account holder's SciENcv, as well as edit the account holder's My Bibliography information.

PI steps

To sent a Delegate request

1. Log in to your My NCBI account
2. Select your username in the top-right corner of the screen to access the Account Settings page
3. Under "Delegates," select "Add a delegate"
4. Enter your delegate's email address and select "OK"

RA steps

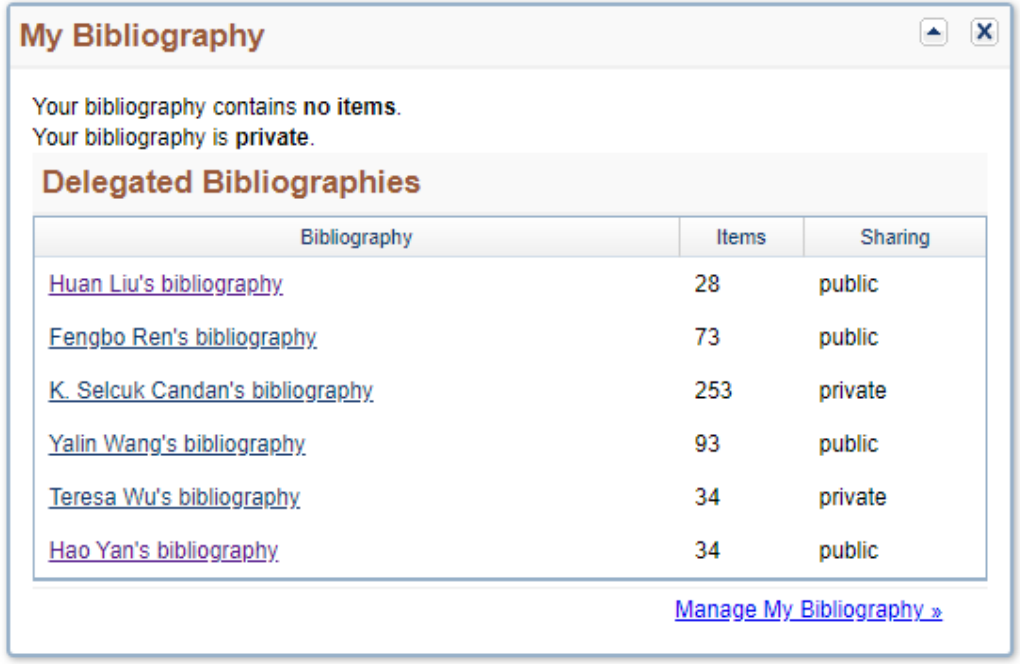
To accept a Delegate request

1. Log in to your My NCBI account
2. Check your email for the delegate request. If you haven't received the request email, be sure to check you spam folder – the email comes from myncbi@ncbi.nlm.nih.gov
3. Use the link in the delegate request email to accept and confirm the delegation

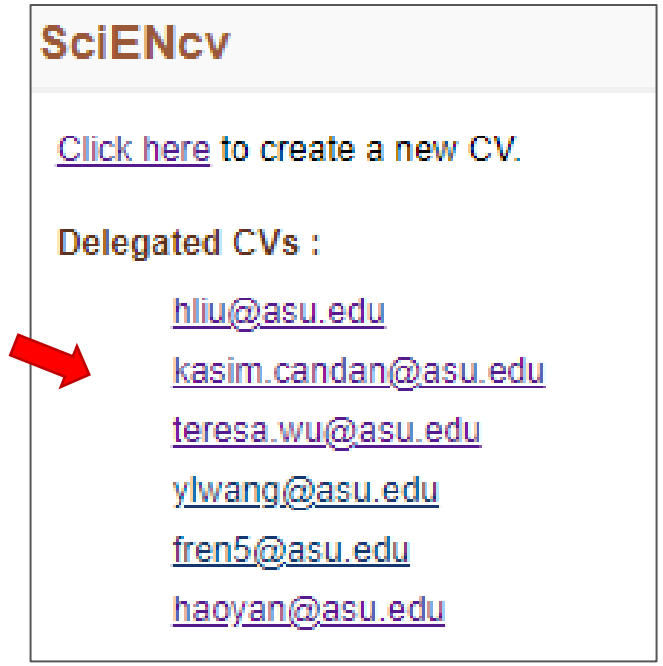
Delegation process

To access your Delegator's SciENcv

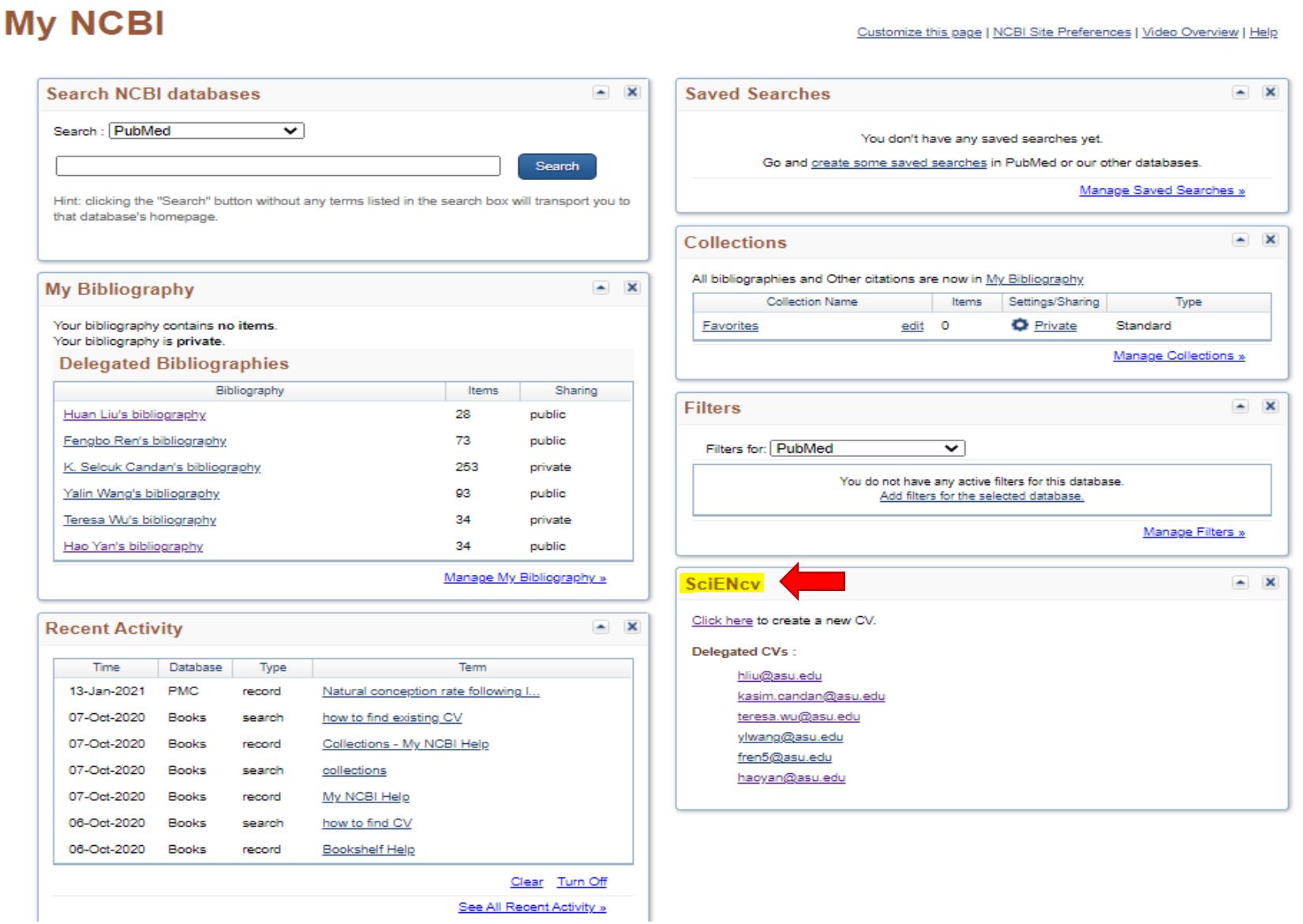
- If you have been granted access to your delegator's My Bibliography and Other Citations collections, you will see those items listed in your collections list:



- If you have been granted access to your delegator's SciENcv, you will be able to access it from your SciENcv portlet:



Working with NCBI generated Current and Pending Form



To access your PI's Current and Pending Support:

1. Log in to your My NCBI account
2. Choose the PI from your SciENcv portlet.

Working with NCBI generated Current and Pending Form

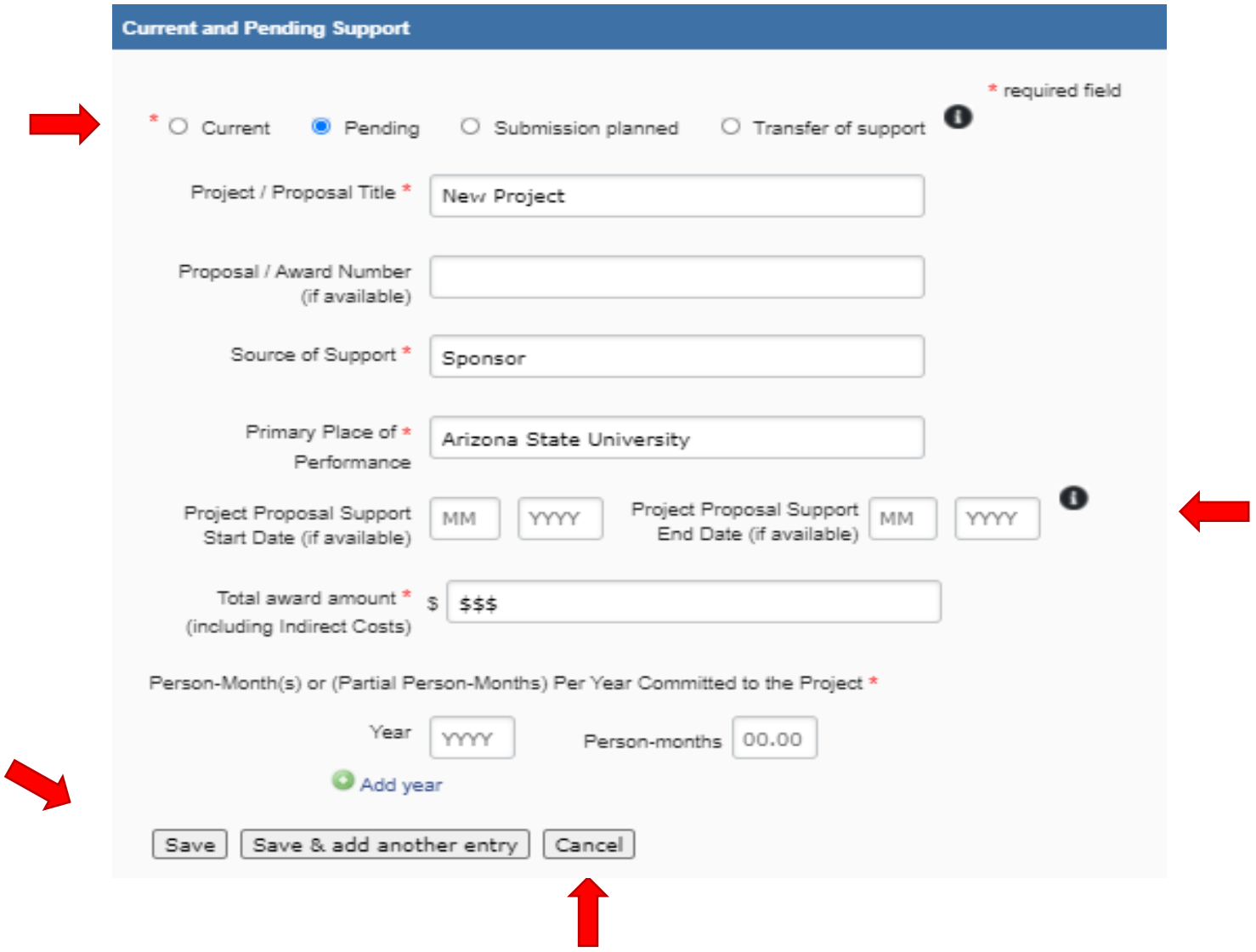
SciENcv documents Edit Create New Document

Last Update	Name	Type	Sharing
Yesterday 5:19 PM	NSF Current and Pending	NSF Current and Pending Support	Private
11-Feb-2021	NIHBiosketchYan	NIH Biosketch	Private
11-Feb-2021	NSFBiosketchYan	NSF Biosketch	Private

Project/Proposal Title	Source of Support	Status of Status	Total Award Amount	Support Start Date	
Project 1	National Science Foundation (NSF)	Current	$1000000	Sep 2021	Delete Edit
THIS PROPOSAL	National Science Foundation (NSF)	Pending	$5000000	Jul 2021	Delete Edit

Add Project/Proposal | Add In-Kind Contribution

Working with NCBI generated Current and Pending Form



To Recap:

NSF-Approved Formats for Current and Pending Support

NCBI website

Create NCBI account

Accept Delegate's request

Create/edit CP's

Download & use

Fillable PDF

https://www.nsf.gov/bfa/dias/policy/cps.jsp

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Questions.

Presenter:

Lael Thompson
Compliance Coordinator, Sr.
Arizona State University

Importance of International Collaboration

U.S. scientists routinely collaborate productively with investigators in foreign countries … We must rely on productive research collaborations with foreign entities.

Individuals violating laws/policies represent a small proportion of scientists working in and with U.S. institutions. We must not reject brilliant minds working honestly and collaboratively to provide hope and healing.

- Enables cutting-edge research that no nation can achieve alone
- Strengthens scientific and diplomatic relations
- Leverages resources including funding, expertise and facilities
- Trains a robust Science and Technology workforce capable of solving global challenges
- International students and scholars contribute significantly to the U.S. research enterprise

Key Concerns

- Failure to disclose substantial foreign resources
  - Foreign employment arrangements
  - Foreign grant support: overlap, duplication, over-commitment
  - In many cases, American institutions unaware
- Non-disclosure of substantial foreign research support (free research labor e.g., visiting scholar/students funded by a foreign source); talents awards
- Unauthorized transfers of information and data
- Failure to disclose significant foreign financial conflict of interest (FCOI), such as equity in foreign companies and patents
- Peer review violations
- Shadow laboratories or other parallel research activities

What are the Risks?

Risks to the Integrity of the Research Enterprise

- Violations of responsible and ethical conduct of research
- Actions that undermine peer review and grant award processes

Risks to National Security

- Hidden diversions of research and/or resources that threaten U.S. leadership in emerging science and technology

Risks to Economic Security

- Hidden diversions of research and/or resources that weaken the innovation base and threaten economic competitiveness

Individual Risks

- Current and future relationships with Sponsors
- Law enforcement concerns
- Intellectual Property

Conflict of Interest in Research
Invention Reporting
Identify Foreign Components
More Related Resources...
Conflict of Commitment
Visiting Scholars
INTERNATIONAL RESEARCH
Restricted Party Screenings
Specific Sponsor Requirements
Exports Controls
Travel Policy
Sponsor Disclosure Requirements
Outgoing Subaward Prior Approval
Other Support

What does the Sponsor Require?

National Institutes of Health

NIH policy requires all individuals included in an application as senior/key personnel – including the program director/principal investigator (PD/PI) and for other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way to disclose “all resources made available to a researcher 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,” and for determination to be made if the project activities include a foreign component, “significant scientific element or segment of a project to be performed outside the United States.”

Foreign engagement and other support should be disclosed in proposals, and in interim and final Research Performance Progress Reports (RPPR). Specific disclosure of "Foreign Components" is to be disclosed on its Research and Related Other Project Information Form submitted with proposals. This disclosure is in Item 6 of the Research & Related Other Project Information Form.

Throughout a project if the need arises to include a foreign component, it requires NIH prior approval and should always be included in the foreign components section of the RPPR Report, Section G.9.

National Science Foundation

NSF policy requires full disclosure of domestic and foreign engagements, regardless if funded or unfunded. Disclosures are to occur in Current and Pending Support; Annual reports; final reports and Biosketches.

Biosketches – domestic and foreign appointments, funded and unfunded (e.g. Scientific Advisor, Consultant, etc.) are to be included in the “Appointment Section.” In addition, submission of an update can occur by your Sponsored Research Officer (SRO) through the "Other request" category in the Notification and Request Module in Research.gov

U.S. Department of Energy

DOE policy requires full disclosure, domestic and foreign engagements/support, regardless if funded or unfunded. Disclosures are to occur in Current and Pending Support as announced in DOE FY 2020 Continuation of Solicitation for the Office of Science Financial Assistance Program. Include as an appendix to the project narrative. **DO NOT** attach a separate file.

National Aeronautics and Space Agency

NASA requires full disclosure, domestic and foreign engagements/support, regardless if funded or unfunded. Disclosures are to occur in Current and Pending Support as outlined in NASA Guidebook for Proposers Responding to a NASA Funding Announcement.

If a co-I is spending more than 10% of his/her time on an active award or pending proposal, regardless if funded or unfunded, it needs to be disclosed on the Current and Pending Support.

A proposal being submitted does not need to be included on the Current and Pending Support, unless the same proposal has been submitted to another agency.

If an Investigator has a NASA contract, terms and conditions should be reviewed as it may have additional requirements.

U.S. Department of Defense

DOD policy requires full disclosure for **all** key personnel, in addition to PI or Co-PI, even if efforts are or are not to be funded by DOD., domestic and foreign engagements/support, regardless if funded or unfunded. Disclosures are to occur in Current and Pending Support as announced in March 20, 2019 memo. This memo applies to new research activities after April 19, 2019 and applies to grants, cooperative agreements, etc.

If an Investigator has a DOD contract, terms and conditions should be reviewed as it may have additional requirements.

Best Practices for Foreign Relationships and Activities

- Check with your Research Administration Office
- Fully and accurately disclose domestic and foreign engagements, including equity interests in foreign entities
- Obtain restricted party screening of foreign collaborators, including foreign visitors
- Include a clear description of all foreign collaborations when developing proposals
- Review Investigator's active awards and pending proposals to ensure all locations outside of the United States have been disclosed to the federal agencies and the Institution
- Ensure that any material transfers, data sharing and confidential information are covered by an agreement
- Be aware of and follow peer review regulations, including confidentiality provisions related to the content provided during the review
- Obtain export control review for incoming and outgoing collaborations, including traveling abroad and international rework requests – whether funded or unfunded

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Questions?

Presentation Resources

- ACD Working Group on Foreign Influences on Research Integrity Update (June 12, 2020)
  - Michael S. Lauer MD, Deputy Director for Extramural Research, NIH
- Foreign Influence and its Impact on Research Integrity – A Four-Part Series | Part 1: What is Foreign Influence?
  - Gloria Greene
- RCR Foreign Influence in Research Workshop
  - Debra Murphy and Heather Clark
- https://researchadmin.asu.edu/international-engagement

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