NIH NOT-OD-021-73: CHANGES TO THE BIOGRAPHICAL SKETCH AND OTHER SUPPORT FORMAT PAGE

Presenters:
Erika Wilson, Senior Director
Health Sciences Sponsor Project Pre-Award Office
Rachel Cook, Senior Grant Analyst, Supervisor
Health Sciences Sponsored Project Pre-Award Office
UC San Diego

RESEARCH COMPLIANCE AND INTEGRITY

- Conflict of Interest (COI)
- Dual Use Research of Concern (DURC)
- Export Control and Facility Security
- Institutional Animal Care and Use Committee (IACUC)
- Research Ethics and Integrity (Research Misconduct)
- ClinicalTrials.Gov, NIH Good Clinical Practices (GCP) and Responsible Conduct of Research (RCR) Compliance
- General Research Compliance Activities

Website: RCI.UCSD.EDU
Helpline: (858) 822-4939
Email: rci@ucsd.edu
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Effective January 25, 2022, the National Institutes of Health (NIH) will update its application forms and instructions to support the need for applicants and recipients to provide full transparency and disclosure of all research activities, foreign and domestic. This Notice outlines the following key changes:

- Biosketch and Other Support
- Other Support Certification
- Supporting Documentation
- Immediate Notification of Undisclosed Other Support

Nothing has Changed, Just NIH’s Approach

Nothing has changed, just NIH’s approach where they are clarifying policies and updating forms and instructions, including SciENcv.

- NIH will now provide details on in-kind contributions, defined “gifts”, and outlined the purpose of the Biographical Sketch.
- NIH has updated application forms and instructions for Biographical Sketches and Other Support.

Grants Policy Statement (GPS) updates have been published for FY 2022. There was a new subsection GPS 2.3 created to consolidate the requirements for easier reference that will include: who submits, when it is submitted, and how it is used by reviewers.
Reminder of Why: Openness & Transparency

Commitment transparency is transparency and reporting of ALL research activities, both domestic and foreign

- Openness and transparency enables productive collaboration and helps ensure appropriate disclosure of potential Conflict of Interest (COI) and Conflict of Commitment (COC).
- Failure to disclose substantial contributions of resources from other organizations, including foreign governments, threatens to distort decisions about the appropriate use of NIH funds.
Biosketch and Other Support Changes
Biosketch Format Changes
Non-Fellowship Biosketches Changes

Section A ‘Personnel Statement’ may now include details on ongoing and completed research projects from the past three years that they want to draw attention to, along with still highlighting up to four publications.

Section B ‘Positions, Scientific Appointments, and Honors’ renamed from ‘Positions and Honors.’
• List only current positions and scientific appointments.
• All “Positions, Scientific Appointments, and Honors” should be listed in reverse chronological order.

Section D ‘Research Support’ has been removed.
Non-Fellowship Biographical Sketch Example

B. List in reverse chronological order all current positions and scientific appointments both domestic and foreign, including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary). Past positions do not need to be listed.

Key Personnel may include details on ongoing and completed research projects from the past three years that they want to draw attention to here.

B21 AA999797
Hunt (Ph)
01/01/19-12/31/21
Community-based intervention for alcohol abuse

Citations:


A. Personal Statement

I am an Associate Professor of Psychology, and my research is focused on neuropsychological changes associated with addiction. I have a broad background in psychology, with special training and expertise in ethnographic and survey research and secondary data analysis on psychological aspects of drug addiction. As PI or co-investigator on several university- and NIH-funded grants, I laid the groundwork for the proposed research by developing effective measures of disability, depression, and other psychosocial factors pertinent to the aging substance abuser, and by establishing strong ties with community providers that will make it possible to recruit and follow participants over time as documented in the following publications. In addition, I successfully administered the projects (e.g., staffing, research coordination, budgeting, collaboration with other researchers, and produced several peer-reviewed publications from each project. As a result of these previous experiences, I am aware of the importance of frequent communication among project members and of constructing a realistic research plan, timeline, and budget. The current application builds logically on my prior work. During 2015-2016, my career was disrupted due to family obligations. However, upon returning to the field, I immediately resumed my research projects and collaborations and successfully competed for NIH support. In summary, I have the expertise, leadership, training, experience, motivation, and track record to successfully carry out the proposed research project.

Ongoing and recently completed projects that I would like to highlight include:

R01 DA042367
Hunt (Ph)
09/01/15-08/31/21
Health trajectories and behavioral interventions among older substance abusers

R01 MH82731
Morral (Ph)
08/15/17-11/30/22
Depression, disaster and substance abuse in the elderly
Non-Fellowship Biographical Sketch Example


2 In addition to the contributions described above, with a team of collaborators, I directly documented the effectiveness of various intervention models for older substance abusers and demonstrated the importance of social support networks. These studies emphasized confounders factors in the etiology and maintenance of addictive disorders and the disruptive potential of networks in substance abuse treatment. This body of work also discusses the prevalence of alcohol, amphetamine, and opioid abuse in older adults and how networking approaches can be used to mitigate the effects of these disorders.


3 Methadone maintenance has been used to treat narcotics addicts for many years, but I led research that has shown that over the long-term, those in methadone treatment view themselves negatively and they gradually begin to view treatment as an intrusion into normal life. Elderly narcotics users were shown in carefully constructed ethnographic studies to be especially responsive to tailored social support networks that allow them to eventually reduce their maintenance doses and move into other forms of therapy. These studies also demonstrate the policy and commercial implications associated with these findings.


Fellowship Biosketches Changes

Section A ‘Personnel Statement’ may now include details on ongoing and completed research projects from the past three years that they want to draw attention to, along with still highlighting up to four publications.

Section B ‘Positions, Scientific Appointments, and Honors’ renamed from ‘Positions and Honors.’
- List only current positions and scientific appointments.
- All “Positions, Scientific Appointments, and Honors” should be listed in reverse chronological order.

Section D ‘Scholastic Performance’ has been updated to remove ‘Research Support.’
Fellowship Biographical Sketch Example

### BIOGRAPHICAL SKETCH

Fellowship Biographical Sketch Example provides the following information for the fellowship program and other significant contributors.

**NAME:** Simmons-Gonzalez, Leland

**E-mail:** leslie@nsf.gov

**POSITION TITLE:** Graduate Student Research Assistant

**EDUCATION/Training:** Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training (if applicable. Add space as necessary.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (Applicable)</th>
<th>Start Date MM/YYYY</th>
<th>Completion Date MM/YYYY</th>
<th>FIELD OF STUDY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purdue University</td>
<td>BA</td>
<td>08/2014</td>
<td>05/2018</td>
<td>Biological Chemistry</td>
</tr>
<tr>
<td>UC San Diego</td>
<td>PhD</td>
<td>08/2018</td>
<td>05/2023</td>
<td>Molecular Biology</td>
</tr>
</tbody>
</table>

**A. Personal Statement**

I first became interested in human health and disease in high school when I was awarded an NIH Diversity Supplement to work as a research technician for two summers in Dr. Indi Drennan’s lab at the University of Hawaii. I continued to pursue this interest as an undergraduate at Purdue University, where I conducted research with Dr. Daniel Richardon on the mechanisms of action of a new class of small molecules for cancer treatment. This resulted in ahiphanship and ultimately an invitation to present a poster at the annual Oncology meeting in Denver, Colorado. By the end of my undergraduate career, I knew that I wanted to pursue a long-term career in research. For my graduate training at UC San Diego, I have moved into the field of genetics and biochemistry by studying the signaling and metabolic mechanisms of cancer cells, under the mentorship of Dr. Hem Green. Dr. Green is an internationally recognized leader in the field of cancer genetics and has an extensive record for training productive and postdoctoral fellows. Along with giving me new conceptual and technical training, the proposed training plan outlines a comprehensive set of career development activities and workshops. I will have opportunities to engage in public speaking, conduct literature analysis, and consider biomedical ethics and term about varied career options. For my initial project, I am currently developing a novel protocol for the identification of transcription complex involved in cancer signaling pathways, which I hope to submit as a first author publication in the next few months, and take as a milestone. I am the first in my family to graduate from college, and am excited to continue building a great relationship with the members. Overall, I believe that my current research setting in conjunction with my proposed training plan will provide a solid foundation for my long-term goal to become an accomplished researcher.


**B. Positions, Scientific Appointments, and Honors**

**Positions and Scientific Appointments**

- 2018 – Present: Graduate Research Assistant, UC San Diego
- 2014 – 2015: Member, Association for Women in Science

**Honors**

- 2018: Future Awardee in Colorectal Cancer Research
- 2016: Outstanding Researcher of the Month

**PhD**

- Course Title: ANDREW

**Graduate Research**

- 2014: Introductory Biology
- 2015: Introductory Biology Lab
- 2016: Foundations of Chemical Principles
- 2014: French and Francophone World

**C. Contributions to Science**

1. High School Research: I spent two summers doing research in the laboratory of Dr. Indi Drennan at the University of Hawaii. I was awarded an NIH Diversity Supplement to work as a research technician for two summers. I was interested in the mechanisms of action of a new class of small molecules for cancer treatment. This resulted in a poster presentation at the annual Oncology meeting in Denver, Colorado. By the end of my undergraduate career, I knew that I wanted to pursue a long-term career in research. For my graduate training at UC San Diego, I have moved into the field of genetics and biochemistry by studying the signaling and metabolic mechanisms of cancer cells, under the mentorship of Dr. Green. Dr. Green is an internationally recognized leader in the field of cancer genetics and has an extensive record for training productive and postdoctoral fellows. Along with giving me new conceptual and technical training, the proposed training plan outlines a comprehensive set of career development activities and workshops. I will have opportunities to engage in public speaking, conduct literature analysis, and consider biomedical ethics and term about varied career options. For my initial project, I am currently developing a novel protocol for the identification of transcription complex involved in cancer signaling pathways, which I hope to submit as a first author publication in the next few months, and take as a milestone. I am the first in my family to graduate from college, and am excited to continue building a great relationship with the members. Overall, I believe that my current research setting in conjunction with my proposed training plan will provide a solid foundation for my long-term goal to become an accomplished researcher.


**B. List in reverse chronological order all positions and scientifically appointive positions both domestic and foreign, including affiliations with foreign entities or governments.**

- 2018 – Present: Graduate Research Assistant, UC San Diego
- 2014 – 2015: Member, Association for Women in Science

**D. Scholastic Performance**


**Grades**

- 2014: Introductory Biology
- 2015: Introductory Biology Lab
- 2016: Foundations of Chemical Principles
- 2014: French and Francophone World

**Section D is solely present on the fellowship version of the Biosketch, and no longer includes research support.**
Q: The Biosketch instructions state that all positions and scientific appointments must be provided. Does this refer to active positions and appointments, or all positions a researcher has ever held?

The Biosketch must include all current positions and scientific appointments.
NIH Biosketch Compliance

What does it mean to be compliant with the new biosketch policy?

• All biosketches included in submitted applications must be formatted per the instructions in the application guide (and repeated in online resources), including:

| Completing each section, as applicable (A - Personal Statement; B – Positions, Scientific Appointments and Honors; C – Contributions to Science; D – Scholastic Performance) | Including no more than 5 contributions to science with no more than 4 citations per contribution |
| Ensuring that if you include the optional link to a full list of your published work in a site like My Bibliography that the URL is .gov | Refraining from including information, such as preliminary data, that belongs elsewhere in the application |
| Following NIH guidance on font type, font size, paper size, and margins (See Format Attachment instructions) | Using PDF format for your biosketch attachment |
| Limiting the length of your biosketch to 5 pages or less |

• Beginning with applications submitted for due dates on or after January 25, 2022, failure to follow the appropriate Biosketch format may cause NIH to withdraw your application from consideration.

https://grants.nih.gov/faqs#/biosketches.htm?anchor=question54258
NIH Biosketch Compliance Validations

What application submission validations will eRA systems enforce for biosketches?

eRA systems validate:

• Whether a biosketch is attached for each and every Sr/Key person listed in the application
• That each biosketch is less than or equal to 5 pages
• That your biosketch attachment is in PDF format

Failure to meet these conditions will result in an error preventing successful submission.

All other aspects of biosketch compliance are manually checked post-submission.

https://grants.nih.gov/faqs#/biosketches.htm?anchor=question54258
Other Support Form Changes
Reminder: Why is Other Support Reviewed?

NIH scientific program and grants management staff review Other Support information to ensure that:

- All resources, domestic or foreign, directly supporting the individual’s research endeavors have been reported
- 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 (example is subawards or multi-project awards)
- Any foreign resources that meet the definition of a foreign component have received appropriate prior approval
Other Support Format Page Changes

There is now only one Other Support Format Page for all types of submissions to NIH.

The format page has been re-organized to separate pending and funded projects from in-kind contributions. You do not list completed projects.
In-kind Resources vs Gifts in Updates Forms

Expectations for Reporting In-Kind Resources

- In-kind contributions, e.g. office/laboratory space, equipment, supplies, employees, students.
- If the time commitment or dollar value of the in-kind contribution is not readily ascertainable, the recipient must provide reasonable estimates.

Definition of Gift

Gifts are resources provided where there is no expectation of anything (e.g. time, services, specific research activities, money, etc.) in return. Gifts are not reported to NIH in Other Support.
<table>
<thead>
<tr>
<th><strong>In-Kind Contributions FAQ Highlights</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Do in-kind contributions that will be used for the project being proposed need to be included in Other Support?</strong></td>
</tr>
<tr>
<td>If an in-kind contribution is listed in Facilities and Other Resources or Equipment, does it also need to be included in both Other Support?</td>
</tr>
<tr>
<td>How should researchers list materials (e.g., data, samples, etc.) received from external collaborators on Other Support?</td>
</tr>
<tr>
<td>When disclosing materials received from external collaborators on Other Support how far back in time should recipients go, if they are still in use?</td>
</tr>
<tr>
<td>If an in-kind contribution, such as technology, chemicals, etc. is intended for use on the project being proposed to NIH in the application, the information must be included as part of the Facilities and Other Resources or Equipment section of the application and does not need to be replicated on Other Support.</td>
</tr>
</tbody>
</table>
This specific form is mandatory to use as it provides information on ALL domestic & foreign active and pending funded & unfunded support for personnel on NIH funded projects as well as in-kind contributions.

There no longer are different Other Support Format Pages for both JIT and Progress Report. The same form is now to be used in all instances that require Other Support to be submitted.
Other Support Example

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

**Other Support - Project/Proposal**

### 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 define the gene(s) involved in transport.

**Status of Support: Active**

- Project Number: 2R01 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/DD/YYYY) (if available): 3/1/2021 – 2/28/2028

- **Total Award Amount (including Indirect Costs):** $1,402,222
- **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. 2021</td>
<td>3.8 calendar</td>
</tr>
<tr>
<td>2. 2022</td>
<td>3.8 calendar</td>
</tr>
<tr>
<td>3. 2023</td>
<td>3.8 calendar</td>
</tr>
<tr>
<td>4. 2024</td>
<td>3.8 calendar</td>
</tr>
<tr>
<td>5. 2025</td>
<td>3.8 calendar</td>
</tr>
</tbody>
</table>

### Title: Liposome Membrane Composition and Function

**Major Goals:** The major goals of this project are to define biochemical properties of liposome membranes component(s) and maximize liposome uptake into cells.

**Status of Support: Pending**

- Project Number: DCC 00000
- 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/DD/YYYY) (if available): 10/1/2021 – 9/30/2023

- **Total Award Amount (including Indirect Costs):** $265,021
- **Person Months (Calendar/Academic/Summer) per budget period:**

<table>
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<th>Person Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. 2021</td>
<td>2.4 calendar</td>
</tr>
<tr>
<td>2. 2022</td>
<td>2.4 calendar</td>
</tr>
</tbody>
</table>
### Other Support Example

**Example of a Paid Direct Post Doc in a research lab. This is considered In-Kind Support and must be listed on your Other Support**

<table>
<thead>
<tr>
<th>Name of individual:</th>
<th>Commons ID:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>IN-KIND</td>
</tr>
</tbody>
</table>

**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**: $0.000

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**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

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**Summary of In-Kind Contribution: C57BL/6-JACI (mice) provided by Dr. Joseph Jones at the University of Texas at Austin.**

**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

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**Overlap (summarized for each individual)**

There is scientific overlap between aim 2 of NSF DCS 050000 and aim 4 of the application under consideration. If both are funded, the budgets will be adjusted appropriately in conjunction with agency staff.

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<table>
<thead>
<tr>
<th>Name of individual:</th>
<th>Commons ID:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Signature: [Name] [Signature]**

**Date:** March 25, 2021
Other Support Certification
A signature block has been added, for Program Director/Principal Investigator as well as for all other Senior/Key Personnel to certify the accuracy of the information submitted. Each PD/PI or senior/key personnel must **electronically sign** their respective Other Support form as a PDF prior to submission.

A wet signature, then scanned will **NOT** be accepted by NIH.

Note, applicants and recipients must maintain supporting documentation to reasonably authenticate that the appropriate individual signed the form. Recipients must and make the documentation available upon request in accordance with 45 CFR Part 75.364.
Other Support Certification & e-Signature Example

Other Support submissions must be submitted as a flattened PDF, after all signatures are obtained (see Format Attachments for more details). Recipients and applicants may use the electronic signature software of their choice, and in alignment with their institutional practices. At UC San Diego, you can use electronic signatures found in Adobe Acrobat or DocuSign. A typed name is not an electronic signature and is not acceptable.
Other Support & Supporting Documentation

For Other Support submissions that include foreign activities and resources, recipients are required to submit copies of contracts, grants or any other agreement specific to senior/key personnel foreign appointments and/or employment with a foreign institution as supporting documentation.

- If they are not in English, your Central SPO will use Google Translate to translate these documents, then upload them along with the original documents into eRA Commons.

- This supporting documentation must be provided as part of the Other Support PDF following the Other Support Format page when submitting JIT.
Internal Timeline for Supporting Documentation

At UC San Diego, we are allowing a maximum of 15 days* to obtain, translate, review, and submit the foreign supporting documentation to NIH, via eRA Commons.

*When close to NIH’s fiscal year end, this timeline may be decreased due to NIH reduced timeline for these required documents.
Immediate Notification of Undisclosed Other Support
Immediate Notification of Undisclosed Other Support

NIH is allowing no more than 30 days to notify and to submit any new or previously undisclosed Other Support to your NIH GMS that was not disclosed in either your recently submitted RPPR or JIT. Work with your appropriate Central SPO* to submit these documents to NIH.

Moreover, if you obtain a new foreign agreement, award, contract, etc., you also only have no more than 30 days to contact your appropriate Central SPO* and work with them to submit to your NIH.

*If you are a PI, then please work with your Fund Manager in both scenarios.
Resources

NIH
Resources

1. NIH and NSF Pre-award and Post-award Resource Disclosures Summary Table
2. Examples of What to Disclose to NIH about Senior/Key Personnel on Applications and Awards
3. Additional NIH Resources
4. UC San Diego & UCOP Resources
5. HS SPPO Resources
NIH and NSF Pre-award and Post-award Resource Disclosures Summary

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>NIH Requirement(s)</th>
<th>NSF Requirement(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate, graduate, and postdoctoral training, including location, major/area and degree and year</td>
<td>Biographical Sketch</td>
<td>Biographical Sketch</td>
</tr>
<tr>
<td>Current academic, professional, or institutional appointments, whether or not remuneration is received, and, whether full-time, part-time, or voluntary</td>
<td>Biographical Sketch</td>
<td>Biographical Sketch</td>
</tr>
<tr>
<td>All projects currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual</td>
<td>Other Support (at just-in-time (JIT) and updated in RPPR); Post-Award Information/Terms and Conditions</td>
<td>Current and Pending Support (including the proposal being submitted) and new support provided in the Research Performance Progress Report (RPPR), Post-Award Information Term and Condition</td>
</tr>
<tr>
<td>In-kind contributions that support the research activity for use on the project/proposal being proposed</td>
<td>Facilities and Other Resources or Equipment section of the R&amp;R Other Project Information Form within the SF 424 Application Package</td>
<td>Facilities, Equipment &amp; Other Resources</td>
</tr>
<tr>
<td>In-kind contributions not intended for use on the project/proposal being proposed</td>
<td>Other Support (At JIT and updated in RPPR); Post-Award Information/ Terms and Conditions</td>
<td>Current &amp; Pending Support and new support provided in the RPPR Post-Award Information Term &amp; Condition</td>
</tr>
<tr>
<td>Consulting that is permitted by an individual's appointment and consistent with the proposing organization's &quot;Outside Activities&quot; policies and procedures</td>
<td>Disclosure Not Required</td>
<td>Disclosure Not Required</td>
</tr>
</tbody>
</table>

Source: [NCURA National Conference](https://www.ncura.org), Federal Perspectives on Research Security & Integrity Session, 8/31/2021
## NIH and NSF Pre-award and Post-award Resource Disclosures Summary

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>NIH Requirement(s)</th>
<th>NSF Requirement(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consulting that falls outside of an individual's appointment; separate from institution's agreement</td>
<td>Other Support (At JIT and updated in RPPR); Post-Award Information/Terms and Conditions</td>
<td>Current &amp; Pending Support and new support provided in the RPPR Post-Award Information Term &amp; Condition</td>
</tr>
<tr>
<td>Travel supported/paid by an external entity to attend a conference or workshop</td>
<td>Disclosure Not Required in Other Support. However, this activity may be considered a FCOI - Significant Financial Interest (Refer to NIH Grants Policy Statement 4.1.10). If considered FCOI disclose in FCOI Module.</td>
<td>Disclosure Not Required</td>
</tr>
<tr>
<td>Travel supported/paid by an external entity to perform research activities with an associated time commitment</td>
<td>Other Support (At JIT and updated in RPPR); Post-Award Information/Terms and Conditions</td>
<td>Current &amp; Pending Support and new support provided in the RPPR Post-Award Information Term &amp; Condition</td>
</tr>
<tr>
<td>Honoraria</td>
<td>Disclosure Not Required</td>
<td>Disclosure Not Required</td>
</tr>
<tr>
<td>Startup company based on organization-licensed Intellectual Property (IP)</td>
<td>Disclosure Not Required in Other Support. However, this activity may be considered a FCOI - Significant Financial Interest (Refer to NIH Grants Policy Statement 4.1.10). If considered FCOI disclose in FCOI Module.</td>
<td>Disclosure Not Required</td>
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Source: NCURA National Conference, Federal Perspectives on Research Security & Integrity Session, 8/31/2021
# NIH and NSF Pre-award and Post-award Resource Disclosures Summary

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<th>Type of Activity</th>
<th>NIH Requirement(s)</th>
<th>NSF Requirement(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Startup company based on non-organization-licensed IP</td>
<td>Disclosure Not Required in Other Support. However, this activity may be considered a FCOI - Significant Financial Interest (Refer to NIH Grants Policy Statement 4.1.10). If considered FCOI disclose in FCOI Module.</td>
<td>Current &amp; Pending Support and new support provided in the RPPR Post-Award Information Term &amp; Condition</td>
</tr>
<tr>
<td>Visiting scholars in labs</td>
<td>If supported by an outside institution, must be disclosed in Other Support (at JIT and updated in RPPR); considered in-kind contribution to PD/PI or other senior/key personnel.</td>
<td>If supported by an outside entity, and there is an associated time commitment, must be disclosed in Current and Pending and updated in RPPR; considered in-kind contribution to PD/PI or other senior/key personnel.</td>
</tr>
<tr>
<td>Graduate and postdoctoral researchers time on project</td>
<td>If supported by an outside institution, must be disclosed in Other Support (at JIT and updated in RPPR); considered in-kind contribution to PD/PI or other senior/key personnel.</td>
<td>If supported by an outside entity, and there is an associated time commitment, must be disclosed in Current and Pending and updated in RPPR; considered in-kind contribution to PD/PI or other senior/key personnel.</td>
</tr>
<tr>
<td>Teaching commitments</td>
<td>Disclosure not required</td>
<td>Disclosure not required</td>
</tr>
<tr>
<td>Unrestricted Gifts</td>
<td>Disclosure not required</td>
<td>Disclosure not required</td>
</tr>
<tr>
<td>Mentoring as part of appointment</td>
<td>Disclosure not required</td>
<td>Disclosure not required</td>
</tr>
</tbody>
</table>

Source: [NCURA National Conference](http://ncura.org), Federal Perspectives on Research Security & Integrity Session, 8/31/2021
## NIH and NSF Pre-award and Post-award Resource Disclosures Summary

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>NIH Requirement(s)</th>
<th>NSF Requirement(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Year Salary</td>
<td>Disclosure not required</td>
<td>Disclosure not required</td>
</tr>
<tr>
<td>Supporting Documentation (e.g. contracts, grants, or any other agreements)</td>
<td>Required specific to specific to senior/key personnel foreign appointments and/or employment with a foreign institution.</td>
<td>Disclosure not required</td>
</tr>
<tr>
<td>Significant Financial Interests</td>
<td>Disclosure Not Required in Other Support. FCOI - Significant Financial Interest (Refer to <a href="https://grants.nih.gov/grants/policy/pg%E6%94%BF%E7%AD%96/4.1.10">NIH Grants Policy Statement 4.1.10</a>). Disclosures must be made in FCOI Module.</td>
<td>Must be disclosed in accordance with the institution’s Financial Conflict of Interest (FCOI) policy</td>
</tr>
<tr>
<td>Signature of the Researcher</td>
<td>Required for each PI and all other Senior/Key personnel as named in the application</td>
<td>Certification by the individual will be incorporated into NSF’s next PAPPG</td>
</tr>
</tbody>
</table>

Source: [NCURA National Conference](https://www.ncura.org), Federal Perspectives on Research Security & Integrity Session, 8/31/2021
# Examples of What to Disclose to NIH about Senior/Key Personnel on Applications and Awards

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>All positions and affiliations, including volunteer positions, relevant to the application</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Relevant appointments at foreign institutions – even if labeled as “guest,” “adjunct,” “honorary,” with or without salary support</td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>The number of person-months devoted to projects, even if there is no salary support or direct personal payments to the scientist</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>If salary support</td>
</tr>
<tr>
<td>Income, salary, consulting fees, and honoraria in support of an individual's research endeavors</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>If new</td>
</tr>
<tr>
<td>Participation in a foreign talent or similar-type programs</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>If new</td>
</tr>
<tr>
<td>Ongoing and completed research projects from the past three years that the applicant wishes to highlight</td>
<td>X</td>
<td></td>
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**Examples of What to Disclose to NIH about Senior/Key Personnel on Applications and Awards**

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<tbody>
<tr>
<td>All resources and other support, both domestic and foreign, for ongoing research projects, including those conducted at a different institution</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X If new</td>
<td>X</td>
</tr>
<tr>
<td>In-kind contributions from domestic and foreign institutions or governments that support research activities</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X If new</td>
<td>X</td>
</tr>
<tr>
<td>Performance of any significant part of an NIH project outside of the US, whether or not funds are expended</td>
<td>X</td>
<td>X</td>
<td>X If new</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post-doc, student, or visiting scholar supported by a foreign government or institution</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X If new</td>
<td></td>
</tr>
<tr>
<td>Travel paid by a foreign institution or government over $5,000 per year</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Financial interests received from a foreign Institution of higher education or a foreign government</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
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<td>X</td>
</tr>
</tbody>
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### NIH Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Other Support

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Biographical Sketch</th>
<th>Other Support</th>
<th>Annual Project Reports</th>
<th>Post-Award Information Terms &amp; Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional preparation (e.g., educational degrees)</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organizational Affiliations and Appointments</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic, professional, or institutional appointments, whether or not remuneration is received, and whether full-time, part-time, or voluntary</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>All projects currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual, and regardless of whether or not they have monetary value (e.g., even if the support received is in-kind such as office/laboratory space, equipment, supplies, or employees.)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Current or pending participation in, or applications to, programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs.</td>
<td>X</td>
<td></td>
<td></td>
<td>(Appropriate placement may be contract-dependent)</td>
</tr>
<tr>
<td>In-kind contributions not intended for use on the project/proposal being proposed.</td>
<td>X</td>
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## NIH Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Other Support

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<tr>
<td>Visiting Scholars in Labs funded by an external entity</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Students and postdoctoral researchers funded by an external entity</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Consulting that falls outside of an individual’s appointment; separate from institution’s agreement.</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Travel supported/paid by an external entity to perform research activities with an associated time commitment</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Certification by the individual that the information disclosed is accurate, current, and complete (e.g., signature of the researcher).</td>
<td></td>
<td>X</td>
<td></td>
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</tr>
<tr>
<td>Supporting Documentation (e.g., contracts, grants, other agreements)</td>
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[https://grants.nih.gov/grants/forms/NIH-Disclosures-Table.pdf](https://grants.nih.gov/grants/forms/NIH-Disclosures-Table.pdf)
Additional NIH Resources

Foreign Influence and Collaboration
- Protecting U.S. Biomedical Intellectual Innovation

Biosketches
- Biosketch Format Pages, Instructions, and Samples
- Biosketches FAQs

Other Support
- Other Support Format Pages, Instructions, and Samples
- Other Support and Foreign components FAQs

Commitment Transparency (NIH Regional Seminar, 11/2/2021)
- YouTube Video of Presentation
UC San Diego & UCOP Resources

UCOP Website
- Foreign Influence

UC San Diego DocuSign eSignature Solution
- DocuSign @ UC San Diego

OCGA Website
- International Research Collaborations

HS SPPO Website
- Biosketch Page
- Other Support Page
- Foreign Involvement
RCI Communications

- Research Compliance and Integrity Helpline: (858) 822-4939, rci@ucsd.edu
  - RCI Office Hours, Tuesdays from 11-12: https://calendly.com/ucsdrcioffice
- Conflict of Interest Helpline: (858) 534-6465, info-coi@ucsd.edu
- Export Control Helpline: (858) 246-3300, export@ucsd.edu
- IACUC Helpline: (858) 534-6069, iacuc@ucsd.edu
- Hot Topics Eblasts and Newsletters: http://blink.ucsd.edu/sponsor/rci/news.html

- Research Compliance and Hot Topics
  Training Program: https://blink.ucsd.edu/sponsor/rci/research-compliance-hot-topics.html
- To be added to the RCI list serv, please email rci@ucsd.edu