Current and Pending/Other Support Requirements by Sponsor

Contents

Introduction

Current and Pending Support, also known as Other Support, is a form typically used by federal sponsors to request information for the Principal Investigator's and Key Personnel's current and pending research projects and other financial or non-financial commitments that may pose a conflict of interest. Most federal agencies require Current and Pending Support documents to be submitted with the proposal or just before an award is issued, and, if awarded, they may require any changes to be disclosed in progress reports. If applicable to your proposal/award, please remember to include ALL support including grants, contracts from all non-U.S. and domestic sources, University of Missouri project support, or other relevant in-kind commitments to external parties whether participating on behalf of the university or acting independently. External support provided to Visiting Researchers and Scholars, for example, may be required to be reported. The format of this requirement varies by sponsor. It is the responsibility of the Principal Investigator (PI)/Key Personnel to make sure that all research projects and affiliations and all support are disclosed and that the document is completed in its entirety.

Over time, the federal government has placed additional scrutiny on undue foreign influence and its impact on federal research. This has resulted in some federal agencies providing additional guidance on what needs to be included in Current and Pending/Other Support documents and a federal-wide research security initiative under National Security Presidential Memorandum-33 (NSPM-33). A key component of NSPM-33 is the harmonization of pre- and post-award disclosures across federal funding agencies. Below is guidance incorporating updates listed by agency. This information will be further updated as we learn of new requirements and as NSPM-33 is implemented. If you have any questions related to Current and Pending Support being reported at the proposal or just-in-time stage, please contact your Departmental Research Administrator (DRA) and/or Sponsored Programs Senior Grants and Contracts Administrator (SGCA). For questions on how to report changes to Current and Pending Support after a project has been awarded, please contact your relevant Sponsored Programs Administration Post Award Team.

Additionally, certain types of Current and Pending Support may also be required to be disclosed to MU as part of the Conflict of Interest disclosure process, pursuant to Collected Rules and

Regulations [330.015 Policy on Conflict of Interest](#). For more information on conflict of interest, please see [https://coi.missouri.edu /](#). For questions, please email muresearchcoioffice@missouri.edu. Research Security and Compliance works collaboratively with the Conflict of Interest and Sponsored Programs Administration staff by reviewing international activities disclosed during the Conflict of Interest disclosure process, providing guidance to disclosers, and helping identify international activities that may need to be disclosed as Current and Pending Support.

This guidance was prepared in collaboration with Michigan State University and the University of Maryland. Information provided in this guide is intended for nonprofit use only.

National Institutes of Health (NIH)

NIH started requiring the new Other Support format for applications, Just-in-Time submissions, and Research Performance Progress Reports with due dates on or after *Jan. 25, 2022*. For additional information see notice [NOT-OD-21-110](#).

Definition of "Other Support"

With the release of their revised Grant Policy Statement in October 2019, NIH revised their definition of Other Support. The revised definition, "…**includes 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.**"

Who Must Report

- At the **Just-in-Time Stage (JIT)** all individuals included in the grant application as senior/key personnel must submit Other Support information, **except:**
  - Other Significant Contributors.
  - Program Directors, training faculty, and others involved in the oversight of training grants.
- For **Research Performance Progress Reports (RPPR)** all senior/key personnel who have had a change in *active* Other Support must submit Other Support information, except:
  - Other Significant Contributors.
  - Consultants.
  - Program Directors, training faculty, and others involved in the oversight of training grants.

When to Report

- At the [Just-in-Time Stage](#) – information gathered after proposal submission and prior to award.

- In the [RPPR](#) - changes to active Other Support should be submitted in the RPPR.
- **As soon as the University of Missouri becomes aware** that Other Support information was not disclosed at the JIT or RPPR stage, the University must submit the updated information to the Grants Management Specialist named in the award.

What to Report

The following **<u>must be included</u>** on the Other Support form:

- All ongoing projects/awards and proposals currently under consideration (listed in that order).
  - o This includes proposals and awards that the individual participated with in addition to any that were not routed through the University of Missouri's Sponsored Programs Administration (i.e., independent consulting agreements accepted on an individual basis outside of university employment, or simple service agreements processed by University of Missouri Business Services).
  - o When submitting Other Support information at the JIT stage, the related application should not be included. Conversely, when submitting Other Support information at the RPPR stage, the related NIH award should be included.
  - o Internally funded University of Missouri proposals/awards should be included.
- Consulting activities that involve conducting research, regardless of whether or not remuneration is received.
- Research conducted during the summer semester for faculty members with an academic year appointment, regardless of whether or not remuneration is received.
- Participation in a foreign "talents" or similar program.
- Financial support for laboratory personnel, travel, living expenses, etc.
- High-value materials that are not freely available (e.g., biologics, chemicals, model systems, technology, etc.).
- Start-up packages and all other research-related support from entities other than the University of Missouri, even if the research will be carried out at another institution.
- Collaborations with other researchers or institutions outside of the applicant institution that directly benefit the individual's research endeavors, including but not limited to visiting scholar agreements.
- In-kind contributions that are **not intended for use** on the project/proposal that the Other Support form is related to. Examples include office/lab space, equipment, supplies, or staff/students/visiting researchers and scholars supported by an outside source.

The following <u>may be</u> **<u>excluded</u>** from Other Support:

- Activities that are not research-related.
- Resources from the applicant institution, such as core facilities or shared equipment. These should be listed under Facilities and Other Resources.
- In-kind contributions for the project being proposed. These should be listed under Facilities and Other Resources.
- In-kind completed support from the last three years does not need to be included.
- Start-up packages from the University of Missouri.

- Consulting or professional service arrangements that do not involve conducting research.
- Gifts – resources provided where there is no expectation of anything in return (would need to be reported if includes time, services, progress reports, etc.).
- Training grants involving the reporting investigator as mentor or project director.
- Prizes given to the investigator.

Supporting Documentation—As of Jan. 25, 2022, in addition to submitting the Other Support form, NIH began requiring additional supporting documentation including, "…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."

- All supporting documentation must be translated into English prior to submission to NIH. It is the PI's/department's responsibility to provide the translated documentation to their DRA/SGCA prior to submission. Acceptable translations may be provided by the following:
  - An MU faculty member not affiliated with the referenced project and not affiliated with the PI in a way that may pose a conflict of interest.
  - An MU student not affiliated with the referenced project and not affiliated with the PI in a way that may pose a conflict of interest.
  - A paid translation service.
  - NIH will accept machine-read translations (e.g., Google Translate).

What to **include** as supporting documentation:

- Appointment letters or employment agreements with non-domestic entities.
- If you are included on grants/contracts that are received by the non-domestic entity you have an appointment with, these grants/contracts need to be provided.
- Agreements from non-domestic entities for resources such as lab space, access to personnel, equipment, or any in-kind resources.

What to **exclude** as supporting documentation:

- Sponsored project awards to the University of Missouri from non-domestic entities. This does not include non-domestic employment or appointment agreements.
- Supporting documentation does **not** need to be provided for completed support.

NIH has a disclosure table entitled, NIH Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Other Support to help determine where disclosures should be provided. Please contact your DRA and/or SGCA if you have any questions.

How to Report

- This **Other Support Format** must be used for applications and RPPRs.
- NIH is anticipating that a template will be available in SciENcv in the near future.
- NIH has provided instructions for completing the new Other Support format as well as a new and renewal applications sample. Highlights of key changes include:

- NIH's new template separates Project/Proposal support from In-Kind contributions. Support should be grouped together based on their "Status" and reported in the order of Active then Pending.
- Primary Place of Performance has been added.
- Provide the Total Award Amount (including Indirect Costs).
- Person Months must be provided per budget period for the project.

    Year (YYYY)   Person Months (##.##)
    1. [enter year 1]
    2. [enter year 2]
    3. [enter year 3]
    4. [enter year 4]
    5. [enter year 5]

- Signature spot for the PD/PI or other senior/key personnel to certify the form. **The ONLY acceptable format for this document is a flattened PDF with electronic signatures incorporated. Applicants may use an e-signature method of their choice as long as the related original e-signature metadata is kept on file by the Principal Investigator and available for inspection at request.**

    I, PD/PI or other key/senior 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 the 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:_____

Submitting Other Support information at the **Just-in-Time stage**:

1. Typically, the **Sponsored Programs Administration** receives notice of the JIT request and will contact the PI and Departmental Research Administrator (DRA) to inform them of what was requested to be provided.
2. **The DRA and PI** will identify key personnel that need to provide Other Support.
3. **PI/DRA** will collect up-to-date Other Support information (using the NIH format and following NIH guidelines) from all Senior/Key Personnel included in the application.
    - Each key person must **electronically sign** their respective Other Support form and send it to the lead PI and DRA in a format that shows their original electronic signature.
        - SPA suggests that University of Missouri key personnel compare their draft Other Support documents to their Outside Interest Disclosure Form

filed annually with the University of Missouri Conflict of Interest office to identify any discrepancies or missing information.

- **Record retention** – Principal Investigators must maintain supporting documentation to reasonably authenticate that the appropriate individual signed the form. Recipients must make the documentation available upon request in accordance with 45 CFR Part 75.364.
  - ○ PI/DRA will convert all Other Support forms to a flattened PDF file and upload into eRA Commons.
  - ○ PI/DRA will also upload Supporting Documentation that is required to be submitted with Other Support. Copies must be provided (in English) as part of the PDF, following the Other Support format page.
4. **PI/DRA** notifies SPA that JIT materials are ready for final review and submission.
5. **SPA** will review based on the criteria provided in the Roles and Responsibilities chart, submit JIT, and send confirmation to the PI and/or DRA.

Roles and Responsibilities for University of Missouri Other Support Process

Legend:

- L = Lead Contact
- S = Secondary Contact

Step	SGCA/SPA	PI	DRA	Key Person	Task
	L				☐ Email NIH Just-in-Time (JIT) notice to PI and Research Administrator (RA).
		L	S		☐ Provide list of Senior Key Personnel who need to submit Other Support information.
		L	S	L	☐ Each Senior Key Person must update their Other Support form to include all required disclosures (see NIH instructions).
		L		L	☐ Review Other Support documents for consistency with Outside Interest Disclosure forms.
		L		L	☐ Each Senior Key Person must electronically sign their Other Support form.
		L	L		☐ Collect and save the original electronically signed Other Support form for all Senior Key Personnel.

		L	L			☐ Convert all electronically signed Other Support forms to a flattened PDF file and attach to the JIT request in eRA Commons.
		S	L			☐ Collect Supporting Documentation for all Senior Key Personnel, verify/convert to a flattened PDF file, and attach to the JIT request in eRA Commons.
		L		L		☐ Transcribe any Supporting Documentation into English prior to submitting to NIH.
	L					☐ Review final JIT information and submit to NIH.
	L					☐ Send copy of the submitted JIT request to PI and DRA.

Additional Resources

- NIH has a webpage devoted to Other Support, which includes:
    - Other Support template.
    - Instructions on how to complete Other Support.
    - A sample Other Support form.
    - FAQs.
- NIH examples of what senior key personnel should disclose and where to make the disclosure.
- NOT-OD-21-073: NIH announces changes to the Biosketch and Other Support format page.
- NOT-OD-21-110: NIH changes the implementation date for the new format pages.
- NOT-OD-19-114: Reminders of NIH Policies on Other Support and on Policies related to Financial Conflicts of Interest and Foreign Components.
- NIH Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Other Support.

National Science Foundation (NSF)

Who Must Report/When to Report

For each proposal, all individuals considered "Senior Personnel" must submit Current and Pending Support. Senior personnel must include the individuals designated by the proposer/awardee organization and approved by NSF who contribute in a substantive,

meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award.

What to Report

The NSF's Proposal and Award Policies and Procedures Guide (PAPPG) dated Jan. 30, 2023, defers to the definition of Current and Pending (C&P) Support found in 42 U.S.C. §§6605:

"Current and Pending Support": (A) Means all resources made available or expected to be made available to an individual in support of the individual's research and development efforts, regardless of (i) whether the source of the resource is foreign or domestic, (ii) whether the resource is made available through the entity applying for a research and development award or directly to the individual, or (iii) whether the resource has monetary value; and (B) includes in-kind contributions requiring a commitment of time and directly supporting the individual's research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students.

NSF also added that C&P Support includes **all** in-kind contributions, not just those related to the project being proposed.

- **In-kind contributions for the project being proposed to NSF** should be included in the Facilities, Equipment, and Other Resources section of the proposal and do not need to be included in the C&P form. This includes in-kind contributions with and without an associated time commitment.
- **In-kind contributions that are not intended for use on the project being proposed to NSF** only need to be reported if there is an associated time commitment. This should be reported on the current and pending support form.

The table below shows NSF In-Kind Contribution reporting guidance for different scenarios.

NSF In-Kind Contribution Reporting Rules	In-Kind WILL NOT Be Used on the Project	In-Kind WILL Be Used on the Project
PI has a specific level of Committed Effort.	Disclose In-Kind on the C&P form.	Describe the In-Kind on the Facilities, Equipment, and Other Section of the proposal.
PI has no commitment of Effort.	Do not disclose on the C&P form.	Describe the In-Kind on the Facilities, Equipment, and Other Section of the proposal.

Below are examples NSF provided for in-kind contributions. If the time commitment or dollar amount is unknown, reasonable estimates should be provided.

- Office/Laboratory space.

- Equipment.
- Supplies.
- Employees.
- Students.

Current and pending support includes the proposal being submitted, ongoing projects, and any proposal currently under consideration, from all sources, regardless of whether the support is provided through the proposing organization or is provided directly to the individual. NSF has clarified that start-up packages provided to the individual from the proposing organization do not have to be reported. Postdoctoral scholars, students, or visiting scholars who are supported by an external entity, whose research activities are not intended for use on the project/proposal being proposed and have an associated time commitment must also be disclosed in current and pending support. Please note that gifts do not need to be reported. See NSF's Disclosure Table provides specific NSF-published guidance on what to report along with the applicable definition of a gift.

How to Report

As of Oct. 23, 2023, NSF will require investigators to use SciEnCV to generate their Biosketch and Current, Pending, and other Support (CPS) documents. Information regarding how to access and generate compliant documents can be found in these Using SciENcv Frequently Asked Questions. Additional information can be found on the NSF-Approved Formats for Current and Pending Support web page and in NSF's FAQs regarding Current and Pending Support.

NSF has a disclosure table entitled, NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support, to help determine where disclosures should be provided. The link includes archived versions of the disclosure table; please make sure you are viewing the current version. Please contact your DRA and/or SGCA if you have any questions.

Department of Defense (DOD)

.In June 2023, the Department of Defense issued a DOD-wide policy on reviewing fundamental research projects for conflicts of interest as part of DOD's implementation of NSPM-33. The Countering Foreign Influence in Department-Funded Research at Institutions of Higher Education policy guidance includes a "Decision Matrix" for DOD's review of Senior/Key Personnel associations, affiliations, collaborations, funding, and university policies related to disclosure and participation in Malign Foreign Talent Recruitment Programs.

In September 2021, the Defense Advanced Research Projects Agency (DARPA) issued a "Senior/Key Personnel Foreign Influence Risk Rubric" outlining the risk-based measures the agency is using to assess potential undue foreign influence, conflicts of interest, or conflicts of commitment.

Who Must Report/When to Report

The [Department of Defense issued a memo in March 2019](#) clarifying that all key personnel must disclose current and pending support in grant applications related to research and research-related educational activities. The Department of Defense requires full disclosure of current and pending support from domestic and non-domestic sources.

What to Report

Proposers shall submit the below information for all key personnel, whether or not the individuals' efforts under the project are to be funded by the DOD:

- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
- Title and objectives of the other research projects.
- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects.
- Period of performance for the other research projects.

How to Report

The above information shall be included in the Senior Key Person Profile form included in the Notice of Funding Opportunity (NFO) and will not be included in the overall proposal page limits. Failure to submit this information may cause the proposal to be returned without further review.

Please note that DOD proposals for other types of awards may have different requirements; please check the program solicitation and direct any questions to your DRA and/or SGCA.

Department of Energy (DOE)

On June 1, 2022, the Department of Energy released a [Financial Assistance Letter (FAL), No. FAL 2022-04](#) to DOE and National Nuclear Security Administration (NNSA) Contracting and Grants Officers. The FAL provided information and guidance on what should be included in Funding Opportunity Announcements (FOA) and Financial Assistance Agreements related to Current and Pending Support disclosures. Effective immediately, DOE FOAs and newly issued Financial Assistance Agreements will include the following requirements for Current and Pending Support:

Who Must Report

- **All Senior/key personnel.** DOE defines Senior/key personnel as:

- "An individual who contributes in a substantive, meaningful way to the scientific development or execution of a Research, Development, and Demonstration (RD&D) project proposed to be carried out with a DOE award."
    - DOE clarifies that typically these individuals have a doctoral or other professional degree, although individuals with other levels of education/experience may be considered Senior/key if their involvement meets the above DOE definition.
- **Other covered individuals.** At the award negotiation stage or during the performance of an award, DOE may designate project personnel as senior/key and require their Current and Pending Support form. This could include consultants, postdocs, graduate students, etc.

When to Report

- **Proposal stage:** Follow the instructions provided in the Funding Opportunity Announcement for your proposal submission. DOE instructed Contracting and Grants Officers to begin including these requirements in new FOAs, as of June 1, 2022.
- **Award stage:**
    - <u>Adding new senior/key personnel</u> - If there are changes or additions to senior/key personnel for the project, the new person must submit a Current and Pending Support form within 30 days of joining the project team, or on a timeline provided by the program office.
    - <u>Changes to previously submitted Current and Pending Support</u> – Changes to a previously submitted Current and Pending Support form must be submitted within 30 days of the change, or on a timeline provided by the program office.

Note: Typically not applicable to financial assistance agreements that exclusively fund conferences, workshops, and other technical meetings.

What to Report

The Current and Pending Support form must include:

- "…all resources made available, *or expected to be made available*, to an individual in support of the individual's RD&D efforts…" This is regardless of:
    - Whether the source of support is domestic or non-domestic.
    - Whether the resource is made available through the University of Missouri or directly to the individual.
    - Whether the resource has monetary value.

Examples include:

- All proposals and ongoing projects/awards. May also include past support, if so, the requirement to include past support as well as the timeframe, will be included in the Funding Opportunity Announcement.
- Research gifts (with or without terms and conditions).
- Professional appointments, regardless of whether the appointment is:

- - Full-time, part-time, or voluntary.
    - Faculty, visiting, adjunct, or honorary.
- Involvement in foreign government-sponsored talent recruitment programs.
- Consulting activities that involve conducting research.
- Research conducted during the summer semester for faculty members with an academic year appointment.

- "…in-kind contributions requiring a commitment of time **and** directly supporting the individual's RD&D efforts." Examples include:
    - Provision of office or lab space.
    - Access to equipment or supplies.
    - Access to employee or student labor.

How to Report

DOE uses NSF's Current and Pending Support format, which can be completed through SciENcv or the PDF template. For each activity included on the Current and Pending Support form, include the following items:

- Sponsor of the activity or source of funding.
- Award # or other identifying #.
- Title of award or activity.
    - If the title of the activity isn't descriptive, include a brief description of the research being performed. The description should help identify overlaps or synergies with the proposed research.
- Total cost of the proposal, award, or activity, including direct costs, indirect costs, **_and cost share_**.
- Total project period (start and end date of the activity).
- Person-months effort (per year) being dedicated to the award or activity.
- Use the overlap field to identify overlap, duplication of effort, or synergistic efforts with other awards or activities.

The Current and Pending Support form must be signed and dated, and include the following certification statement:

> I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change that impact the responses provided above.

The above certification statement is currently ***not*** included on the PDF template, nor is there a designated signature/date field. This must be added to the [PDF template](), or, if using [SciENcv](), it must be attached.

Note: Details of any obligations to a program, entity, or organization sponsored by a non-domestic government must be provided to DOE upon their request. This may include providing supporting documents (with certified translation to English) of any identified source of support.

National Aeronautics and Space Administration (NASA)

Who Must Report/When to Report/What to Report/How to Report

NASA requires full disclosure of current and pending support from domestic and non-domestic sources

The following requirements are from the [NASA Guidebook for Proposers Responding to a NASA Notice of Funding Opportunity](), revised February 2023.

2.16 Current and Pending Support

PIs and Co-PIs shall provide all ongoing and pending projects and proposals (regardless of salary support) in which they are performing or will perform any part of the work. Co-PIs proposing to spend 10 percent or more of their time in any given year to the proposed effort shall provide a list of ongoing and pending projects and proposals (regardless of salary support) that require more than 10 percent of their time in any given year. Proposals do not need to include the current proposal on the list of pending proposals unless it has been submitted in response to another federal funding opportunity (i.e., NASA or another sponsor). PIs and Co-PIs also shall list any current and pending support with China, including Chinese universities and other similar institutions or a Chinese-owned company at the prime recipient level and all subrecipient levels, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.3 (See paragraph 2.2.1 above)

For those investigators for whom it is required (see above), the proposal shall provide the following information for each current and pending project:

- Title of funded project or proposal title.
- Name of PI on award or proposal.
- Program name (if appropriate) and sponsoring agency or organization, including a point of contact with their telephone number and email address.
- Performance period.
- Total amount proposed (if pending) or received by that PI (including indirect costs) for that award or the amount per year if uniform (e.g., $50k/year).
- Time commitment by the PI for each year of the period of performance.

The proposing PI shall notify the NASA Program Officer identified in the NOFO immediately of any successful proposals that are awarded by any federal agency for substantially overlapping

work as proposed to NASA any time after the proposal is submitted and until NASA announces its award selections.

Current and pending support is not required for Co-PIs at non-U.S. institutions. Current and pending support is usually not required for students, but it may be requested, depending on the requirements of the NOFO. Proposers may request student funding in one of three different ways:

- As a direct labor cost, the same as a key or other personnel.
- As a scholarship or other student aid that shall comply with the requirements in 2 CFR 200.466, Scholarships and student aid costs.
- As a participant support cost as defined in 2 CFR 200.1, Definitions.

Please note that NASA proposals for other types of awards may have different requirements; please check the program solicitation and direct any questions to your DRA and/or SGCA.