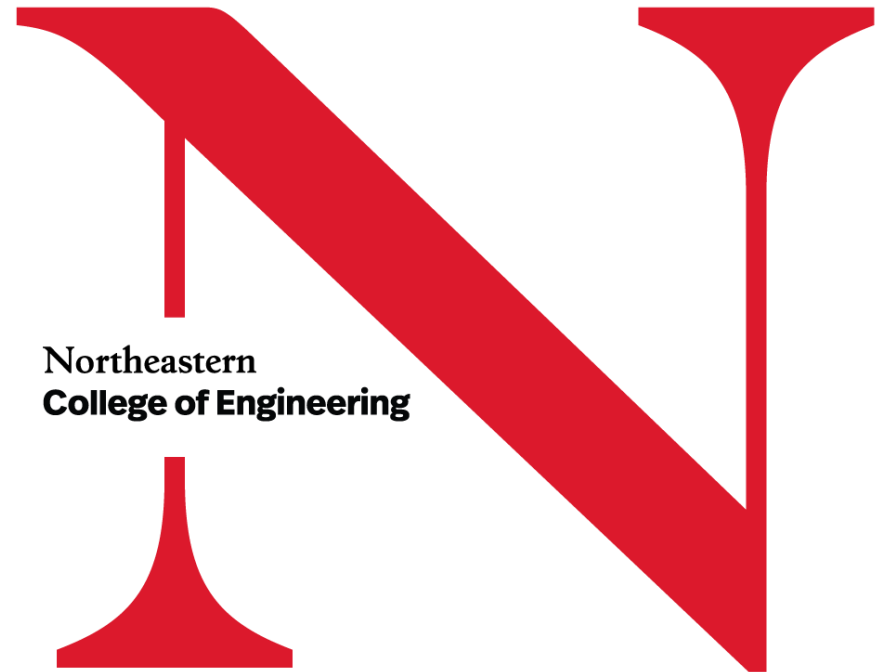# Implementation of the **Common Form** Personnel Documents for Northeastern Researchers

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Northeastern
College of Engineering

9/26/24

Why are the personnel documents needed?

Biographical Sketch:
- An investigator's qualifications to conduct the proposed research

Current and Pending (other) Support:
- Identify other effort commitments at the time of award.
- To identify funding sources, possible conflicts, and funding overlap.

Collaborators and Other Affiliations:
- To identify conflicts in the peer review process

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Agenda

- SciENcv Registration for the Common Form

- Updates

- Preparing the Biosketch in NCBI for NSF and NIH

- NSF Synergistic Activities

- Preparing the NSF Current & Pending Support

- Preparing the NIH Other Support Document

- Preparing the NASA Other Support Document

- Preparing the Department of Energy (DOE) Other Support Document

- Other Support information management at Northeastern University

- Current and Pending (Other) Support Best Practices

- Other Support Information for NEU Investigators

- External International Engagement Policy Updates

- Informational QuickCard/Links

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SciENcv: National Center for Biotechnology Information (NCBI) Profile

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What is SciENcv?

- Science Experts Network Curriculum Vitae (SciENcv) is an electronic system created by the National Center for Biotechnology Information (NCBI) that allows researchers to assemble their professional information needed for participation in federally funded research. SciENcv documents information regarding education, employment, honors, publications, and research grants.

- Researchers can use SciENcv to create and maintain Biosketches that are submitted with grant applications and annual reports.

- Multiple SciENcv profiles can be created with approved formats for the National Institute of Health (NIH), the National Science Foundation (NSF), and the Institute of Education Sciences (IES).

- SciENcv can also be used to create the official NSF Current and Pending Support document.

- As of **October 23, 2023**, SciENcv is mandatory for any NSF funded research as outlined in the NSF PAPPG 2023 .

What SciENcv does?

- Eliminates the need to repeatedly enter biosketch information
- Reduces the administrative burden associated with federal grant submission and reporting requirements
- Leverages data from existing systems (i.e., NSF FastLane, eRA Commons, MyNCBI, ORCID)
- Provides access to a researcher-claimed data repository with information on expertise, employment, education, and professional accomplishments
- Allows researchers to describe their scientific contributions in their own language

Benefits of SciENcv?

- Any researcher may register
- Data are owned by the researcher
- Researcher edits and maintains information
- Researcher may delegate access to research administrators
- Researcher provides own data to describe research outcomes
- Researcher has control over data visibility in biosketch (i.e. public vs. private)

Using ORCID with SciENcv to Create Your Biosketch: Linking Information from ORCID

- The easiest way to populate your SciENcv biosketch is through an <u>ORCID iD</u> .

- An ORCID record is a free account that creates a persistent identifier that will follow a researcher throughout their career and allows the researcher to gather all their scholarly work in a single location.

- A researcher can use it to add publications to their SciENcv Biosketch that they have already linked in their ORCID account.

- Follow the instructions on this <u>Link to External Accounts Quick Card</u> to link your ORCID iD to your SciENcv account.

What is ORCID?

Open Research and Contributor ID (ORCID) is a platform that provides a free, unique, digital persistent identifier (DPI) for individuals engaged in research, scholarship, and innovation activities globally. ORCID is a free service and is comprised of two components:

- Record: associated record (profile) that stores automatic links to all your research and publications, and links all your research and publications with you.

- ID: 16-digit number unique to an individual

The use of DPIs will become mandatory upon implementation of the NSPM-33 guidance, as stated by the Office of Science and Technology Policy (OSTP). The guidance is requiring this for three main reasons:

- Ability to verify individuals

- Reduce administrative burden for researchers through adoption of standardized formats across agencies of disclosure of information

- Increase sharing of information between funding agencies
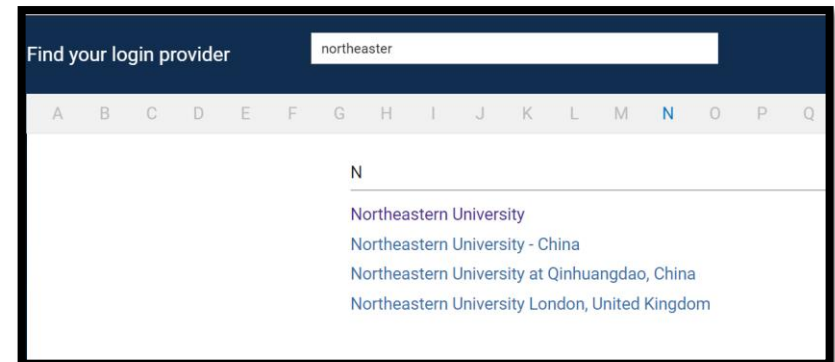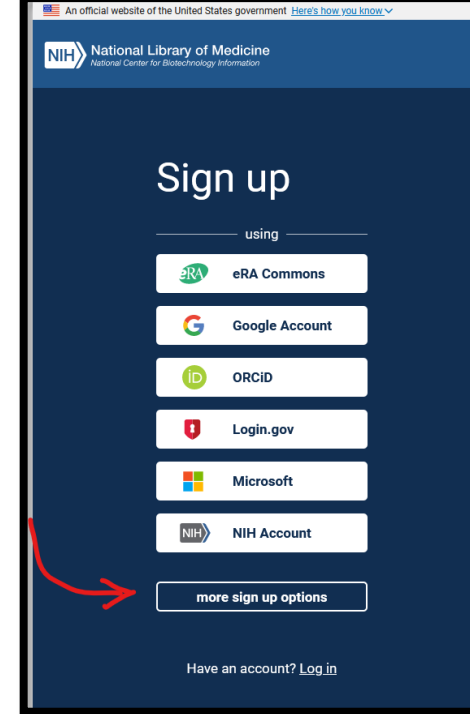
- Register for your ORCID iD here.

Register for a new NCBI account

1. Register here: https://www.ncbi.nlm.nih.gov/account/signin/

2. Select "more sign up options" and search for Northeastern University

3. Select Northeastern University and sign in with NEU credentials.

Register for a new NCBI account (continued)

- You now have the option to create a new NCBI account based on this sign in route OR link it to an existing NCBI account you may already have.

Signed in to NCBI via a Partner Organization

Congratulations, you have successfully signed in to NCBI via a partner sign in route. You now have the option to create a new NCBI account based on this sign in route OR link it to an existing NCBI account you may already have.

Please choose one of the following options:

○ Create a new NCBI account   Username: [_____] @northeastern_university

E-mail: [k.portillo@northeastern.edu] ✅ Email entered is valid.

○ Link to an existing NCBI account

[Continue]

Adding Delegates to SciENcv

- Delegates can create, modify, delete documents in the investigators SciENcv account.

In the 'Delegates' section, investigators can modify access or remove delegates

Updates

Timeline for Implementation of the Common Form:
NSF: May 20, 2024
NASA: October 1, 2024
DOD (anticipated) October 1, 2024
NIH: May 25, 2025
DOE (anticipated) May 2025

NSF Biosketch What's New?

- Definitions for institutional, Professional and Academic Positions/Appointments.

- Certification Language applicable to each Federal Agency.

- New Certification added on Malign Foreign Talent Recruitment Programs.

- Professional Appointments: Key person only need to identify current appointments (domestic/foreign) outside of their primary organization.

- Products listed in a way that best demonstrates their ability to carry out the research project.

NSF Current and Pending What's New?

Revised the definition of in-kind:

"A non-cash contribution provided by an external entity that directly supports research."

- Report all in-kind contributions with a value of $5,000 or more.

- In-kind contributions with value less than $5,000 need not be reported.

- It is not possible to establish a one size fits all definition given variance in agencies missions

Clarified definition of consulting:

- The activity does not involve performing research but is related to the research portfolio -could impact funding, commitments or scientific integrity

- The entity provided a contract requiring the individual to conceal or withhold confidential financial or other ties to said entity

Preparing the Biosketch in NCBI for NSF and NIH

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Start a new document NIH or NSF

---

1. Log into NCBI
   - Click Manage SciENcv ».
2. From the home page start a new document.
   - Select document type start with blank or copy document..

SciENcv

Helpful Links

About SciENcv
How to Use SciENcv

My Profile ✏ Edit

User profile has not yet been set up.

My Documents   + NEW DOCUMENT

Last Updated	Title	Format	Delete

Create a New Document

Asterisks (*) indicate required fields.

Document title *

Document type *

▲

NIH Biosketch

NIH Fellowship Biosketch

NSF Biographical Sketch

NSF Current and Pending (Other) Support

IES Biosketch

CANCEL   **CREATE**

NSF Biosketch Sections

Identifying Information

A. Professional Preparation

B. Appointments and Positions

C. Products
- Certification
- Required to print the document

* Please note that synergistic activities has been moved to a separate document in the new NSF 24-1 PAPPG*

Identifying Information, Organization and Location*

In this section, disclose the information requested regarding the individual and their associated organization and location. All fields are required unless otherwise noted.

ADD INFORMATION

A. Professional Preparation*

+ ADD PROFESSIONAL PREPARATION

Organization	Location	Degree (if applicable)	Receipt Date	Field of Study	Edit	Delete

B. Appointments and Positions*

ADD APPOINTMENT/POSITION

C. Products

Products Most Closely Related to the Proposed Project*

Other Significant Products, Whether or Not Related to the Proposed Project*

Certification

VIEW DRAFT   DOWNLOAD PDF

NIH Biosketch Sections

Identifying Information

Education/Training

A. Personal Statement

B. Positions, Scientific Appointments and Honors

C. Contributions to Science

NAME   [Edit]

Click here to link eRA Commons account

EDUCATION/TRAINING

(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)
You have not listed any degree or training. Please add one.

A. Personal Statement   [Edit statement]

You have not yet provided a personal statement.

Optional: You may identify up to four peer reviewed publications that specifically highlight your experience and qualifications for this project.

[Select citations]

You have not listed any citations.

B. Positions, Scientific Appointments and Honors

Positions and Scientific Appointments
You have not listed any employment. Please add one.

Honors
You have not listed any honors. Please add one.

C. Contribution to Science   [Edit section]

This section is currently empty. Click on edit section to add your contributions.

Download: PDF   Word   XML

NASA Biosketch Form – MS Word

Form released on 9/25/24
Effective for Proposals on 10/1/24
There is no page or character limit to this section of the application

biosketch-form.docx (live.com)

NASA BIOGRAPHICAL SKETCH FORM
October 1, 2024

The format of the Biographical Sketch Form is provided below. There is no page or character limit to this section of the application.

* = required

*Identifying Information
*Name:
 Persistent Identifier (PID) of the Senior/Key Person:
*Position Title:

*Organization and Location
Name:
Location:

*Professional Preparation

*Appointments and Positions

*Products

*Certification
Signature:
Date:

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NSF Synergistic Activities – MS Word

Synergetic Activities

- In the new NSF 24-1 PAPPG, synergistic activities has been removed from the biosketch (effective from May 20th 2024)
  - (align with the new Common Form)
- Each individual identified as a senior/key person must provide:
  - a document of up to one-page
  - includes a list of up to five distinct examples that demonstrates the broader impact of the individual's professional and scholarly activities
  - focussed on the integration and transfer of knowledge as well as its creation
- Do not list multiple activities in one line, each item must be specific
- This document is 1 page/pp and is uploaded as a separate document in Research.Gov

Synergistic Activities -

Content Instructions for Synergistic Activities:

- The document must conform to PAPPG instructions
- Please refer to the Format of the proposal (PAPPG) ⧉ for all margin, spacing, font type and size requirements
- File cannot exceed one page

Synergistic Activities (PAPPG) ⧉

File Instructions for Synergistic Activities:

- Only one file can be uploaded
- Your file should **not** contain page numbers, as they will be added automatically by the system
- Accepted file types include: PDF
- Maximum file size permitted is 10 MB

Browse for file to upload   Browse ...

⬚ SynergisticActivities.pdf   🗑 Delete

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Preparing the NSF Current & Pending Support -NCBI

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Items required on NSF CPS

1. **Identifying Information, Organization and Location**

2. **Project/Proposal Summary**

- Project or Proposal Title

- Status of Support (current or pending) [A]

- Proposal or award number (if available)

- Source of support -NSF or other support source [B]

- Project/proposal primary place of performance

- The project/proposal total award amount is the award provided or requested for the entire project/proposal period and it should include indirect costs [C]

- Project/proposal start and end dates as proposed or approved for funding support

- Information regarding the number of staff committed to the project for each year is required [D]

- Overall objectives. Required. [E]

- List other pending proposals which may overlap in scope, budget, or staff time allocation. If there is no potential overlap, enter N/A [F]

Certification by the Investigator

- After the four sections of the NSF Current and Pending Support document are complete and the document is ready, a window will display asking the investigator to agree to the certification statement in order to proceed and print the document:

Certification

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §§ 6605. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§ 3729- 3733 and 3802.

CANCEL   AGREE

For details on the NSF CPS Policy, please see the link below:

NSF CPS Policy

Example NSF CPS

For more detailed instructions on creating and adding information please see the link below:

NSF CPS

Downloading/printing SciENcv document

- To download a SciENcv biosketch:

  1. Sign in to My NCBI. Go to the SciENcv portlet and select the biosketch that you wish to download.

  2. Click the hyperlink of the format you wish to download.
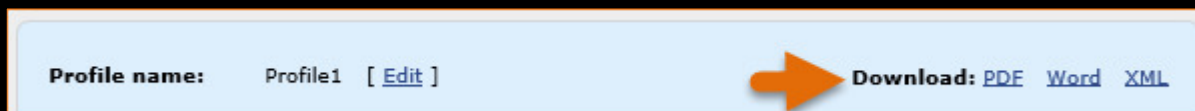
- The NSF Current and Pending Support document can be downloaded in a PDF format that is NSF compliant.

Preparing the NIH Other Support Document – MS Word

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NIH Other Support Policy

- NIH will continue to use the MS Word Form. implementation of the Current and Pending (Other) Support Common Form developed by the National Science and Technology Council's Research Security Subcommittee is planned in January 2025.

- Required from all senior/key persons on the proposal.

- Other Support 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.

- Other support does not include training awards, prizes, or gifts. Gifts are resources provided where there is no expectation of anything (e.g. time, services, specific research activities, money, etc.) in return.

- Supporting documentation of foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support.

- Immediate notification of undisclosed Other Support as soon as it becomes known.

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NIH Other Support Template

OMB No. 0925-0001 and 0925-0002 (Rev. 10/2021 Approved Through 01/31/2026)

PHS OTHER SUPPORT
For All Application Types – DO NOT SUBMIT UNLESS REQUESTED

There is no "form page" for reporting Other Support. Information on Other Support should be provided in the format shown below.

*Name of Individual:
Commons ID:

Other Support – Project/Proposal

*Title:

*Major Goals:

*Status of Support:

Project Number:

Name of PD/PI:

*Source of Support:

*Primary Place of Performance:

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

* Total Award Amount (including Indirect Costs):

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

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

Notes:

Other support is prepared on the NIH MS Word template.

NIH does not require disclosure of recently completed support, only current and pending resources.

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Other Support Guide for RPPR

Requirement with the Research Performance Progress Report (RPPR):

Has there been a change in the active other support of senior/key personnel since the last reporting period?

- Select Yes only if active support has changed for the PD/PI(s) or senior/key personnel
  - If yes, upload updated active and pending support for senior/key personnel whose support has changed
  - List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period
- Follow standard Other Support instructions

Preparing the NASA Other Support Document – MS Word

NASA Other Support Template

TABLE OF WORK EFFORT

Name	Role	Commitment (months per year)											
		Year 1			Year 2			Year 3			Sum		
		This Project		Other Funded Projects	This Project		Other Funded Projects	This Project		Other Funded Projects	This Project		Other Funded Projects
		NASA Support	Total		NASA Support	Total		NASA Support	Total		NASA Support	Total	
<<PI name>>	PI	0	0	0	0	0	0	0	0	0	0	0	0
<<Co-I name>>	Co-I	0	0	0	0	0	0	0	0	0	0	0	0
<<Collaborator name>>	Collaborator	0	0	0	0	0	0	0	0	0	0	0	0
<<Other name>>	<<Other >>	0	0	0	0	0	0	0	0	0	0	0	0
Sum of work effort:		0	0	0	0	0	0	0	0	0	0	0	0
Comments:													

Current and Pending Support

The following information should be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.	
Investigator:	Other agencies (including NASA) to which this proposal has been/will be submitted.
Support: ☐ Current ☐ Pending Project/Proposal Title: Role: Source of Support: Total Award Period Covered: Person-Months Per Year Committed to the Project:	

Notes:

NASA MS Word template uses the old NSF format.

The Template requires a Table of Work Effort summarizing per year this project and all other support

Preparing the Department of Energy (DOE) Other Support Document -NCBI

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Department of Energy Other Support

- The majority of DOE and NASA program offices require current and pending support disclosures, but there are variations regarding the type of information that must be included in the disclosures.

- Standardizing disclosure requirements is a central theme in the NSPM-33 implementation guidance, and federal research agencies are charged with developing model financial assistance application forms and instructions.

- The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vitae (SciENcv).

- The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

- In addition to current and pending support, DOE/NNSA program offices may also require disclosure of past support. This should be limited to a reasonable time period (e.g., previous five years), to be determined by the DOE/NNSA program office.

Current and Pending (Other) Support Best Practices

- If unsure whether something needs to be disclosed, in the interest of full transparency, err on the side of disclosure.

- Ensure to read agency-specific instructions when preparing Other Support. Requirements may differ depending on the agency.

- Investigators on **research** projects, regardless of whether they receive salary support from sponsor, must devote measurable effort.

- For NU investigators who are on an academic appointment, summer effort across active support cannot exceed 3.2 months in any year.

- NSF / NIH – Effort for the current budget period and subsequent budget periods need to be reported. Effort provided in prior years does not need to be included.

- NIH – Other Support needs to be electronically signed (see next slide)

Current and Pending (Other) Support Best Practices

NIH rejects signatures noted on the left. Examples of acceptable forms of signature are on the right.

John Smith

DocuSigned by:
John Smith
1E3ED7E0E38A417...

John Smith

Digitally signed by John Smith
Date: 2022.04.20 14:19:19 -04'00'

The top example considered a "Typed" signature the lower example is a "Wet" signature. The NIH has been returning Other Support pages that include a "Typed" or "Wet" signatures.

The two examples above (DocuSigned and Adobe) are allowable as the electronic signature on an NIH Other Support document.

Other Support Information for NEU Investigators

- Q1: How is Other Support Information Managed and Maintained at Northeastern?

- Q2: How can I obtain Other Support information/reports for investigators?

- A1: Other Support information is managed and maintained at the department level

- A2: Generate a current awards and pending proposals report to start; then, investigate and drill down to each proposal or award record to gather specific details

C&P Start

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Updates to the External International Engagements Policy

- Expands upon existing policy to both address potential conflicts of interest as well as national security concerns
  - There is no longer a threshold for time commitment or financial remuneration
  - Further defining Foreign Talent Recruitment Plans, including Malign Foreign Talent Recruitment Plans
- Further emphasis on how this impacts research related activities, as well as *non research related activities*

What constitutes as an *External* International Engagement

- An obligation that requires a faculty member to make a direct, or even indirect, commitment to an unaffiliated international entity
  - This specifically refers to performing work for the unaffiliated entity either for research, academic, or business purposes
  - This definition is inclusive of consulting opportunities, including, but not limited to, work as a scientific reviewer or on scientific advisory boards
- An External International Engagement does not include the following:
  - Lecturing/presenting/collaboration at an international conference,
  - Approved visiting research or scholarship appointments

Foreign Talent Recruitment Programs (FTRP)

- What is an FTRP??
  - An organized effort either managed or funded by foreign government or a foreign entity to recruit science and technology professionals or students
- The CHIPS and Science Act of 2022 (Public Law 117-167), section 10638(4) provides further knowledge surrounding Malign Foreign Talent Recruitment Programs
  - Primarily involves compensation in exchange for the recruitment of an individual
  - Compensation can be via cash, in-kind support, research funding, comped foreign travel, honorific titles, and career advancement among many other similar types of compensation
  - In addition to recruitment of professionals, typically involves activity that prevent openness in research and objectivity, as well as unauthorized exchange of IP
  - **If a faculty member is a participant in a FTRP that meets the definition of a MFRTP, that faculty member will be restricted from participating in any current research efforts that are federally funded and/or applying for any federally funded research grants**.

Research Related vs Non-Research Related Activities

- There are additional channels of approval when research is involved
    - Approval needed from both the dean of the college, as well as the Office of the Provost
    - Faculty are required to verify accuracy and validity of programs involved
    - Any affiliation with an FTRP must be approved by the Compliance Office
- If research is not involved, disclosure to the Compliance Office is still required and we will ensure appropriate offices are notified

Questions or Concerns

- Please read over the policy thoroughly to better understand your obligations

- [International Engagement Intake Form](#)

- If you have questions or concerns, do not hesitate to reach out:
  - P.Robinson@northeastern.edu
  - researchcompliance@northeastern.edu

Informational QuickCard/Links

- **Getting an ORCID iD-adding works**

- **SciENcv - getting an account**

- **SciENcv: Link to External Accounts**

- **NU-RES Glossary**

- **NU-RES FAQ's**

- **NU-RES Policies and Guidelines**

- **NU-RES Resources**

- **NU-RES and College Contacts**

Thank You!