

Caltech

Introduction to BioSketch and Other Support Application (BSOS)

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Agenda

- Background
- Overview of Disclosure Requirements
- NIH 1/25/2022 Requirements
- Walkthrough of BSOS Application
- Questions?

Background

- Increasing federal concern about foreign influence
- NDAA 2020, Section 223
 - Mandates Agency Requirements for Disclosure of Other Support, including In-Kind contributions
 - Agencies authorized to take compliance measures, ranging from rejection of application to notifying law enforcement

Background

- NSF and NIH have both issued “clarifications” to existing requirements, as well as announcing new requirements.
- DOE, DARPA and NASA have issued new requirements; more are anticipated from other agencies

Overview of NIH Disclosure Requirements

Basic Biosketch Requirements

- Include all academic, professional or institutional appointments at proposing organization
- Include all current academic, professional or institutional appointments/affiliations at domestic or foreign entities, *regardless* of whether it is honorary, or whether any payment is received

Basic Other Support Requirements

- All resources and financial support available or related to research endeavors of key person, not just those related to proposal
- Includes:
 - support for lab personnel
 - high-value materials
 - consulting agreements that include research activities
 - in-kind contributions
 - research collaborations where collaborator's experiments directly benefit key person's research endeavors

Basic Other Support Requirements

- Excludes:
 - training awards, prizes or gifts (*true* gifts, with nothing expected in return)
 - Start-up packages and faculty salaries from Caltech
- See ORC page for additional details and links to agency requirements:
 - https://researchcompliance.caltech.edu/international_collaboration/federal-agency-requirements

Disclosing Effort

- There is a difference between committing effort and expending effort. The proposal budget is about commitments and costs, and the C&P or Other Support document is about resources and time spent. The effort/time committed in a proposal does not have to match the effort/time allocated to that project as an entry in C&P/Other Support. NIH has clarified this.

Key Points

- The requirement to disclose applies to both foreign *and* domestic collaborations and relationships.
- Greater federal scrutiny of foreign relationships is not intended to limit those relationships, except for very specific situations (e.g., foreign talent recruitment programs; NASA - bilateral collaborations with China).

NIH 1/25/2022 Requirements

NIH 1/25/2022 Requirements

- Must use FORMS-G
- Other Support documents submitted on or after 1/25/2022 (e.g., via JIT *and* RPPR), must be electronically signed by the respective senior/key person and then uploaded to the NIH system as a flattened PDF.
 - Recommend using Adobe Acrobat Pro to apply electronic signature
 - NIH Commons will not accept electronically signed documents unless they are flattened. NIH instructions for flattening a PDF in Acrobat:

<https://era.nih.gov/faqs.htm#I6>

NIH 1/25/2022 Requirements

- Supporting Documentation - when activities or resources from a foreign institution are disclosed under Other Support, the senior/key person must provide documentation (e.g., grants, agreements, etc.) of any appointments, affiliations, or employment with that entity
 - Only applies to senior/key person; does not apply to appointments etc. of lab personnel. For example, disclosure of a foreign fellowship for a postdoc working in the lab would be required, but documentation of that postdoc's fellowship award would not be.
 - Documentation must be in English (translate as necessary).
 - Include documentation at end of Other Support.

NIH 1/25/2022 Requirements

- Immediate notification of NIH (with updated Other Support) when it becomes known that a PI or Senior/Key Person on an active NIH award failed to disclose Other Support information during the JIT or RPPR process.

NIH 1/25/2022 Requirements

- Additional Information
 - NIH has indicated that non-compliant proposals may be withdrawn from consideration
 - NIH has not identified any exceptions to these requirements
 - These are certifications, therefore assume that NIH will not accept replacements (e.g., “not available”, “signed for”, etc.)
 - OSR will review JIT submissions for missing electronic signatures and notify the division if we believe there is a problem
 - OSR will not knowingly submit non-compliant signatures
 - Foreign agreement documents should be reviewed by ORC prior to submission with Other Support.

Walkthrough of BSOS Application

What is BSOS?

- A tool to assist in creating Researcher's Biosketch and Other Support (BSOS) disclosures.
- Currently, the BSOS gathers data from:
 - The Researcher's annual Disclosure of Financial Interest and Commitments (DFIC)
 - External Appointments and Affiliations (potential Biosketch)
 - External Research Activities (potential Biosketch/potential Other Support)
 - Other and In-Kind entries from Researcher
 - Financial Data from Caltech related to Awards and Gifts (by PTA and on which the Researcher is an award manager or project manager)
 - Financial Data from effort reporting/payments (all Federal Awards from which the Researcher is paid)
 - External Postdoctoral Fellow Support
 - Visitor and Graduate Student Support [MISSING]

How to use BSOS: Designating a Viewer

- Faculty/Researcher
 - Complete your annual DFIC
 - All Researchers should DESIGNATE:
 - Grant Manager or Administrative Personnel who help with creating Biosketch and Other Support Documents
 - Division Operations Officer
 - IF POSTDOC OR RESEARCH STAFF: Also designate your faculty PI

Home

Biosketch and Other Support for

This Biosketch and Other Support (BSOS) application is designed to collect other support information in one place to aid you in creating your support documentation for federal sponsors. You should review the information that is provided here and decide which components of this application also allows you to designate personnel on campus who can view this information. It is recommended you designate your Grant Manager so that they can assist you in creating your Biosketch and Other Support for submission. If you are a co-investigator, it is recommended that you also designate your PI/supervisor so that any information you see here can be incorporated into your PI's support documentation. This page is also viewable to certain authorized organizations on campus for business purposes.

You can designate individuals to view this report. Some sections can also be edited by your designated viewer.

Designated Viewer(s)

Cancel/Back

Save

Create Designees

Designee: *

UID:

Person Type:

Start Date: [calendar icon] [calendar icon]

End Date: [calendar icon] [calendar icon]

List of Designees

Delete Designee(s)

Delete	Full Name	UID	Person Type	Start Date	End Date
<input type="checkbox"/>	Marr, Stephen Isle	2115399	Staff	-	-

How to use BSOS: Designated Viewers

- Faculty/Researcher or Administrative Personnel
 - List of People who have Designated You

My BSOS Information

My Biosketch and Other Support

People Who have Designated You

These individuals have designated you to view and modify their BSOS Reports:

Designator	Start Date	End Date
Robinson, Patrice	04/04/2022	04/30/2022

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People Whom You have Designated

The Offices of Sponsored Research, Research Compliance and General Counsel, as well as your Division Operations Officer can view your BSOS Report. You have designated the following individuals to view and modify your BSOS Report:

Full Name	Start Date	End Date
-	-	-

Designated Viewers

Aligning BSOS with NIH Requirements

NIH Biosketch: Things to Include (from DFIC):

Outside Affiliations & Appointments - Paid & Unpaid. This includes unpaid Appointments such as "guest", "adjunct", "honorary", or "visitor" titles.

Outside Research Roles – Any activity with another institution where you are identified as the PI, Co-PI, investigator, or other key personnel on a project (proposed or awarded. (Do not include proposals or awards processed through Caltech or Caltech subcontracts)

BIOSKETCH

The Entities shown here are Entities from your DFIC disclosure that could be relevant. If you need to add Entities to or delete existing Entities from this Section, you must do so while your DFIC is in "Draft" status. Entities entered into the DFIC application will indicate whether you'd like to include an entity on your biosketch by selecting yes or no.

Here is a list of your entities that may belong in your Biosketch.

Include In Biosketch	Entity	Country	Title	Time Committed	Type Of Commitments	Foreign Agreements
Yes	Cytokinetics	United States	Chemistry SAB member and consultant	3 days per year	I have worked as a paid or unpaid consultant for this person/entity I have provided scientific advice or performed research for this foreign entity	Attachments (0)
Yes	DNATWO, Inc.	United States	co-founder and board member	30 minutes per week	I have worked as a paid or unpaid consultant for this person/entity I have provided scientific advice or performed research for this foreign entity I have another type of Commitment to this person or entity	Attachments (0)
Yes	Finnegan, Henderson, Farabow, Garrett & Dunner, LLP	United States	expert witness/consultant	This is variable, but less than 100 hours in the past year.	I have worked as a paid or unpaid consultant for this person/entity	Attachments (0)
Yes	Givaudan	Switzerland	consultant	typically 1 day per year. None in the last year due to COVID.	I have worked as a paid or unpaid consultant for this person/entity I have provided scientific advice or performed research for this foreign entity	Attachments (1)
Yes	Novick Biosciences	India	consultant	2 hours total in the last year. This arrangement was terminated in late 2020.	I have worked as a paid or unpaid consultant for this person/entity	Attachments (1)

[Export Biosketch to Excel](#)

I have worked as a paid or unpaid consultant for this company or organization (Entity) outside of Caltech.

I have an academic or research appointment at this Entity, outside of Caltech.

I have provided scientific advice or performed research for this foreign Entity.

I have participated in a foreign talent program associated with this Entity.

Not Editable, +/- Only in DFIC



Aligning BSOS with NIH Requirements

NIH Other Support: Possible Things to Include from DFIC:

Outside Research Roles – Any activity with another institution where you are identified as the PI, Co-PI, investigator, or other key personnel on a project (proposed or awarded. (Do not include proposals or awards processed through Caltech or Caltech subcontracts)

Outside Programs & Activities - Non-Caltech program or activity that provides you with compensation, research or office facilities, sponsored or reimbursed travel, honorary funding, or any type of benefit in exchange for teaching or mentoring students, performing research for another institution, or publishing research results naming your affiliation at the other institution

Personal Financial Interest - Have you received any Personal Financial Interest (e.g., salary, consulting fees, stock/stock options, honoraria, gifts, or sponsored or reimbursed travel) from a Caltech entity that will be used to support your Caltech research endeavors?

In-Kind - Access to **"in-kind" resources** in support of your research endeavors that are obtained through a collaboration, appointment, or relationship with an outside institution, organization, or company ("Entity")

OTHER SUPPORT

Other Support (related to your Financial Interests or Commitments)

The Entities shown here are Entities from your DFIC disclosure that Support to a federal sponsor in a proposal or annual report. If you need to add Entities or Delete Existing Entities from this Sect. your DFIC is in "Draft" status, Entities entered into the DFIC applica Attachments must be added by selection Attachments.

Here is a list of your entities that may be providing [Other Support](#) directly to you.

Include in Other Support	Entity	Collaborator	Country	Title	Description	Time Committed	Value	Support Status	Start Date	End Date	Primary Place of Performance	Type of Commitments	Major Goals	Overlap	Comments	Foreign Agreements
Yes	Protabit	-	United States	-	-	approximately 12 days/year	-	-	-	-	-	I have worked as a paid or unpaid consultant for this person/entity I have another type of Commitment to this person or entity	-	-	-	Attachments (0)

[Export Other Support to Excel](#)

Did you receive anything from this entity or person (including any gift, equipment, access to facilities, personnel, reagents/materials, data/research results, etc.) to support your research or teaching at Caltech or anywhere else (Other Support)?

+/- Only in DFIC

Caltech

Aligning BSOS with NIH Requirements

NIH Other Support: Editable List: Single Entry

In-kind - Any "in-kind" resources in support of your research endeavors that are obtained through a collaboration, appointment, or relationship with an outside institution, organization, or company ("Entity")

Visitors - Any visiting postdoctoral fellows, visiting students, or visiting scholars involved in research in your lab who are paid directly, in full or in part, by any Caltech organization, institution, company or government ("Entity")

Postdocs and Students - Any Caltech postdoctoral fellows or students involved in research for your lab supported in full or in part by any external (non-Caltech) organization, institution, company, or government ("Entity") including fellowships

Include in Other Support	Entity ↑	Collaborator	Country	Title	Description	Time Committed	Value	Support Status	Start Date	End Date	Primary Place of Performance	Type of Commitments	Major Goals	Overlap	Comments	Foreign Agreements
Yes	Aalto University	Sarkka, Simo	Finland	Associate Professor	Collaborator on project	-	-	-	01-MAR-18	28-FEB-22	-	-	-	-	-	Attachments (0)
	Arizona State University	Lan, Shiwei	United States	Assistant Professor	Collaborator on project	-	-	-	01-MAR-18	28-FEB-22	-	-	-	-	-	Attachments (0)
	Arizona State University	Lan, Shiwei	United States	Assistant Professor	Co-author on paper	-	-	-	01-JAN-21	-	-	-	-	-	-	Attachments (0)
	Bocconi University	Papaspiropoulos, Omiros	Italy	Professor	Co-author on paper	-	-	-	24-MAR-19	-	-	-	-	-	-	Attachments (0)
	CASE Western Reserve University	Somersalo, Erkki	United States	Professor	Co-author on paper	-	-	-	18-JAN-18	-	-	-	-	-	-	Attachments (0)
	CASE Western Reserve University	Calvetti, Daniela	United States	Professor	Co-author on paper	-	-	-	18-JAN-18	-	-	-	-	-	-	Attachments (0)
	Caltech	Cleary, Emmet	United States	Former Grad Student	Co-author on paper	-	-	-	01-JAN-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Dunbar, Oliver, R. A.	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	19-AUG-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Schneider, Tapio	United States	Professor	Co-author on paper	-	-	-	19-AUG-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Hoffmann, Franca K. O.	United States	Bonn Junior Fellow	Co-author on paper	-	-	-	01-JAN-22	-	-	-	-	-	-	Attachments (0)
	Caltech	Huang, Zhengyu (Daniel)	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	06-APR-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Kovachki, Nikola, B.	United States	Graduate Student	Co-author on paper	-	-	-	01-JAN-22	-	-	-	-	-	-	Attachments (0)
	Caltech	Chen, Yifan	United States	Graduate Student	Co-author on paper	-	-	-	01-NOV-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Wu, Jinlong	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	20-OCT-20	-	-	-	-	-	-	Attachments (0)
	Caltech	Burov, Dmitry	United States	Graduate Student	Co-author on paper	-	-	-	16-JUN-21	-	-	-	-	-	-	Attachments (0)

[Export Other Support to Excel](#)

Aligning BSOS with NIH Requirements

NIH Other Support: Editable List: Bulk Entry

Other Support and In-Kind Support (Editable)

Use this section to add Other Support or In-Kind Support that is not Caltech Support (see below for Grants, Gifts, Fellowships) or Other Support related to your Financial Interest or Outside Commitments (see above)

It may be helpful to upload more than one Other Support entry at a time. You or your designee can enter entities in an Excel spreadsheet template and email it to Caltech's Office of Research Compliance where the data will be uploaded into your BSOS.

Please download the Excel spreadsheet template found at: https://researchcompliance.caltech.edu/documents/20522/Other_Support_Worksheet_Dec_2021.xlsx

Fill in the spreadsheet save with a filename that indicates researcher name and email the file to caltechcoi@caltech.edu.

Add Other Support

Include in Other Support	Entity	Collaborator	Country	Title	Description	Time Committed	Value	Support Status	Start Date	End Date	Primary Place of Performance	Type of Commitments	Major Goals	Overlap	Comments	Foreign Agreements
Yes	Aalto University	Sarkka, Simo	Finland	Associate Professor	Collaborator on project	-	-	-	01-MAR-18	28-FEB-22	-	-	-	-	-	Attachments (0)
	Arizona State University	Lan, Shiwei	United States	Assistant Professor	Collaborator on project	-	-	-	01-MAR-18	28-FEB-22	-	-	-	-	-	Attachments (0)
	Arizona State University	Lan, Shiwei	United States	Assistant Professor	Co-author on paper	-	-	-	01-JAN-21	-	-	-	-	-	-	Attachments (0)
	Bocconi University	Papaspiopoulos, Omiros	Italy	Professor	Co-author on paper	-	-	-	24-MAR-19	-	-	-	-	-	-	Attachments (0)
	CASE Western Reserve University	Somersalo, Erkki	United States	Professor	Co-author on paper	-	-	-	18-JAN-18	-	-	-	-	-	-	Attachments (0)
	CASE Western Reserve University	Calvetti, Daniela	United States	Professor	Co-author on paper	-	-	-	18-JAN-18	-	-	-	-	-	-	Attachments (0)
	Caltech	Cleary, Emmet	United States	Former Grad Student	Co-author on paper	-	-	-	01-JAN-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Dunbar, Oliver, R. A.	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	19-AUG-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Schneider, Tapio	United States	Professor	Co-author on paper	-	-	-	19-AUG-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Hoffmann, Franca K. O.	United States	Bonn Junior Fellow	Co-author on paper	-	-	-	01-JAN-22	-	-	-	-	-	-	Attachments (0)
	Caltech	Huang, Zhengyu (Daniel)	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	06-APR-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Kovachki, Nikola, B.	United States	Graduate Student	Co-author on paper	-	-	-	01-JAN-22	-	-	-	-	-	-	Attachments (0)
	Caltech	Chen, Yifan	United States	Graduate Student	Co-author on paper	-	-	-	01-NOV-21	-	-	-	-	-	-	Attachments (0)
	Caltech	Wu, Jinlong	United States	Postdoctoral Scholar	Co-author on paper	-	-	-	20-OCT-20	-	-	-	-	-	-	Attachments (0)
	Caltech	Burov, Dmitry	United States	Graduate Student	Co-author on paper	-	-	-	16-JUN-21	-	-	-	-	-	-	Attachments (0)

[Export Other Support to Excel](#)

Aligning BSOS with NIH Requirements

NIH Other Support: Supporting Documentation: Attachments

Other Support must include supporting documentation (e.g., contracts, grants, agreements) for all foreign activities and resources disclosed by that person.

Include in Other Support	Entity	Collaborator	Country	Title	Description	Time Committed	Value	Support Status	Start Date	End Date	Primary Place of Performance	Type of Commitments	Major Goals	Overlap	Comments	Foreign Agreements
Yes	Protabit	-	United States	-	-	approximately 12 days/year	-	-	-	-	-	I have worked as a paid or unpaid consultant for this person/entity I have another type of Commitment to this person or entity	-	-	-	Attachments (0)

[Export Other Support to Excel](#)

Biosketch and Other Support - Attachments

File Attachment

Novick Biosciences

File to Attach *

Browse...

No file selected.

Close

Attach File

Attachment List

Attach Filename ↑=	Creation Date	Review Status	Reviewed By	Review Date	Delete
CIT_Pending_Novick_02_10_2022.pdf	02/10/2022 11:59:51	<input checked="" type="radio"/> Pending <input type="radio"/> Approved <input type="radio"/> Not Approved	-	-	X

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Save Review Flag

Aligning BSOS with NIH Requirements

NIH Other Support: External Postdoctoral Funding:

Any **Caltech postdoctoral fellows** or **students** involved in research for your lab supported in full or in part by any non-Caltech organization, institution, company, or government ("Entity") including fellowships

Other Support (Post-Doctoral - External Funded)

This section includes external supports from DPM.

Update	Sponsor	Post-Doc Name	Summary of Contribution	Outside Support Agency	Support Status	Estimated Dollar Value	Primary Place of Performance	Start Date	End Date	Person Months	Overlap
	Beaver, Buchwald	Postdoc, Patrick	Postdoctoral Scholar Fellowship Trainee in Chemistry	DFG	Active	54,110.00	-	07-APR-2020	-	-	-
	Beaver, Buchwald	Postdoc, Patrice	Postdoctoral Scholar Fellowship Trainee in Chemistry	Swiss National Science Foundation	Active	55,440.00	-	28-JUL-2020	-	-	-
	Beaver, Buchwald	Postdoc, Paulo	Postdoctoral Scholar Fellowship Trainee in Chemistry	Shanghai Institute of Organic Chemistry Fellowship	Active	30,700.00	-	23-MAR-2021	-	-	-
	Beaver, Buchwald	Postdoc, Paul	Postdoctoral Scholar Fellowship Trainee in Chemistry	SIOC Fellowship	Active	30,924.00	-	11-JAN-2021	-	-	-

[Export Other Support to Excel](#)

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Aligning BSOS with NIH Requirements

NIH Other Support: From Caltech Finance Systems

Traditional Other Support (may include **Gifts used for Research, PD Fellowships** through Caltech)

Other Support (Caltech Grants, Contracts and Gifts)

This section includes Contracts, Grants, and Gifts on which you are an Award Manager, Project Manager, Task Manager or CO-PI.

Details	Attachments	Include in Other Support	Name	Title	Status of Support	Federal Award #	Caltech Award #	Source of Support	Primary Sponsor	Start Date	End Date	Total Award Amount	Committed Effort (%)	Note	Person-Months	Primary Place of Performance	Country of Performance	Major Goals	Overlap	Comments
	0	Yes		Uncertainty Quantification for Machine Learning	ACTIVE	1818977	NSF.UQML	NATIONAL SCIENCE FOUNDATION	NSF - Nat'l Science Foundation	15-JUN-18	31-MAY-22	250,000.00	2.99%(12 Month NCE)	Award Commitments	-	-	-	-	-	-
	0	Yes		James S. McDonnell Foundation Postdoctoral Fellowship Awards	ACTIVE	2020-1420	JSMF-2020-1420	The James S McDonnell Foundation	Sponsored Research- Other	01-JUL-20	30-JUN-22	200,000.00	-	Award role Award Manager, Project role Project Manager	-	-	-	-	-	-
	0	Yes		Data Assimilation, Parameter Learning, and Machine Learning for Large complex Models	ACTIVE	N00014-19-1-2408	ONR.DATALEARNIN	NAVY	Navy	01-JUN-19	31-MAY-22	246,419.00	8.33%	Award Commitments	-	-	-	-	-	-
	0	Yes		Collaborative Research: HDR, Data-Driven Earth System Modeling	ACTIVE	1835860	NSF.000580	NATIONAL SCIENCE FOUNDATION	NSF - Nat'l Science Foundation	01-NOV-18	31-OCT-23	2,499,842.00	6.66%	Award Commitments	-	-	-	-	-	-

[Export Other Support to Excel](#)

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Other Support (Caltech Awards from which You Have Been Paid)

This section includes Caltech Awards from which you have been paid in the last fiscal year and current fiscal year so far.

Federal Award # ↑	Caltech Award #	Award Manager	Source of Support	Primary Sponsor	Commitment (%)	Cost Share Commitment (%)
00001655	BROWNU.AFOSRPDE		BROWN UNIVERSITY	Air Force - Subaward	3.00	-
1818977	NSF.UQML		NATIONAL SCIENCE FOUNDATION	NSF - Nat'l Science Foundation	2.99	-
1835860	NSF.000580		NATIONAL SCIENCE FOUNDATION	NSF - Nat'l Science Foundation	6.66	-
2001515018	JHU.MEDE20SUPP		JOHNS HOPKINS UNIVERSITY	Army-Subaward	1.93	-
2001515018	JHU.MEDE20SUPP		JOHNS HOPKINS UNIVERSITY	Army-Subaward	-	-
N00014-19-1-2408	ONR.DATALEARNIN		NAVY	Navy	8.33	-

[Export Other Support to Excel](#)

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Aligning BSOS with NIH Requirements

What's Missing?

Visitors - Any **visiting postdoctoral fellows, visiting students, or visiting scholars** involved in research in your lab who are paid directly, in full or in part, by any Caltech organization, institution, company or government ("Entity")

Postdocs and Students - Any **Caltech postdoctoral fellows or students** involved in research for your lab supported in full or in part by any external (non-Caltech) organization, institution, company, or government ("Entity") including fellowships

Aligning BSOS with NIH Requirements

Consideration	BSOS Section	Biosketch	OS/In-Kind
Outside Affiliations & Appointments - Paid & Unpaid. This includes unpaid Appointments such as "guest", "adjunct", "honorary", or "visitor" titles.	<ul style="list-style-type: none"> Biosketch Other Support: DFIC 	X	X
Outside Research Roles – Any activity with another institution where you are identified as the PI, Co-PI, investigator, or other key personnel on a project (proposed or awarded. (Do not include proposals or awards processed through Caltech or Caltech subcontracts)	<ul style="list-style-type: none"> Biosketch Other Support: <u>DFIC</u> 	X	X
Outside Programs & Activities - Non-Caltech program or activity that provides you with compensation, <u>research</u> or office facilities, sponsored or reimbursed travel, honorary funding, or any type of benefit in exchange for teaching or mentoring students, performing research for another institution, or publishing research results naming your affiliation at the other institution	<ul style="list-style-type: none"> Other Support: <u>DFIC</u> Other Support: Other and In-kind (Editable) 		X
Personal Financial Interest - Have you received any Personal Financial Interest (e.g., salary, consulting fees, stock/stock options, honoraria, gifts, or sponsored or reimbursed travel) from a Caltech entity that will be used to support your Caltech research endeavors?	<ul style="list-style-type: none"> Other Support: <u>DFIC</u> 		X
In-Kind - Any " in-kind " resources in support of your research endeavors that are obtained through a collaboration, appointment, or relationship with an outside institution, organization, or company ("Entity")	<ul style="list-style-type: none"> Other Support: <u>DFIC</u> Other Support: Other and In-kind (Editable) 		X
PD and Students - Any Caltech postdoctoral fellows or students involved in research for your lab supported in full or in part by any external (non-Caltech) organization, institution, company, or government ("Entity") including fellowships	<ul style="list-style-type: none"> Other Support: Externally Funded Postdoctoral Fellows Other Support: Other and In-Kind (Editable) 		X
Visitors - Any visiting postdoctoral fellows, visiting students, or visiting scholars involved in research in your lab who are paid directly, in full or in part, by any Caltech organization, institution, company <u>or</u> government ("Entity")	<ul style="list-style-type: none"> Other Support: Externally Funded Postdoctoral Fellows Other Support: Other and In-Kind (Editable) 		X
"Traditional" Other Support – Grants, Contracts, Gifts used for Research, Postdoctoral Fellowships	<ul style="list-style-type: none"> Other Support: Caltech Grants, Contracts, Gifts Other Support: Federal Awards from which you have been paid 		X

Scientific collaborations can range from general discourse with a colleague at a scientific conference to sharing resources and ideas to designing and performing experiments together. Detailed federal guidance on which collaborations to report as "in-kind" or "other support" is scant. Nonetheless, research investigators are required to report their collaborators in grant applications and annual progress reports. This matrix sets forth the spectrum of collaboration and gives researchers a basis for considering which activities and relationships to report to NIH and NSF.

Another Helpful Tool

	No Need to Report	Report Support	Report Support OR Consider Foreign Component
General Indicators	No shared resources (materials, facilities, equipment, or personnel), no direct or measurable benefit to my research, no collaborative experiments	Co-authorship/Acknowledgement (see below); shared resources, financial or in-kind, including unique or high-value materials, facilities, equipment, or personnel; resources that benefit my research; collaborative experiments.	NIH: Significant element of a project performed outside the US; experiments, human or animal research, extensive data analysis
COLLABORATOR	DOMESTIC OR FOREIGN	DOMESTIC OR FOREIGN	FOREIGN
General Scientific Discussions	<ol style="list-style-type: none"> I had discussions with colleagues at a Conference Open discussions about research on Zoom/phone call I gave a research talk or seminar at another university 		
Sharing Resources	<ol style="list-style-type: none"> I received data, materials, reagents, etc. from my collaborator that <u>never</u> led to publishable results or an acknowledgment or authorship in a publication I received materials from my collaborator that were <u>not</u> "unique" or of high value. 	<ol style="list-style-type: none"> I received data, materials, reagents, results, etc. from the collaborator that <ul style="list-style-type: none"> benefits/benefited my research led to a publication where I gave co-authorship or acknowledgment to the collaborator My collaborator visited my lab to perform experiments My collaborator sponsors a postdoc or graduate student in my lab 	<ol style="list-style-type: none"> Unique materials, reagents, biological lines, etc. were created in a collaborator's foreign lab and provided to me for work on a federally funded project Experiments were performed in a collaborator's foreign lab, and data or results were provided to me in support of a federally funded project Human or animal subject studies were performed at a collaborator's foreign institution in support of a federally funded project
Publishing/ Presenting Together	<ol style="list-style-type: none"> Dr. X is a co-author on a paper with me or is acknowledged on a paper where I am an author; HOWEVER: <ul style="list-style-type: none"> I have never had a direct scientific exchange with Dr. X, and Dr. X's contribution to the paper did not overlap with my research reported in the paper (e.g., we didn't design or perform experiments, Dr. X didn't contribute to the data analysis of my data), and Dr. X's contribution to the paper did not benefit my research reported in the paper (See publication example, below) 	<ol style="list-style-type: none"> Dr. X is a co-author on a paper with me or is acknowledged on a paper where I am an author; AND <ul style="list-style-type: none"> Dr. X performed experiments in my lab, or Dr. X's contribution to the paper directly benefited my lab's research that is reported in the paper, or Dr. X contributed a key resource to my lab's research reported in the paper, or Dr. X performed extensive data analysis on my lab's research reported in the paper. 	<ol style="list-style-type: none"> Dr. X is a co-author on a paper with me or is acknowledged on a paper where I am an author; the paper reports research sponsored by a federal sponsor; AND <ul style="list-style-type: none"> Dr. X performed experiments in her foreign lab Dr. X's contribution to the paper directly benefited my lab's research that is reported in the paper Dr. X contributed a key resource to my lab's research reported in the paper Dr. X performed extensive data analysis on my lab's research reported in the paper
Working together on my research project where my collaborator is outside the US	<ol style="list-style-type: none"> Dr. Y is my former postdoc. He was not funded by any outside entity while at the University. We finished all experiments on a paper, wrote the paper, and submitted it before Dr. Y left to set up his lab outside the US. The paper was accepted with only minor edits. Dr. Y helped me finish those edits while outside the US. Dr. Z is a long-time colleague who is a professor outside of the US. We have monthly discussions about our research. I am a theorist, and Dr. Z is an experimentalist. We have not started or designed any experiments together. 	<ol style="list-style-type: none"> Dr. Y is my former postdoc who left the University 2 years ago to set up a lab outside the US. <ul style="list-style-type: none"> I will publish a paper that includes experiments conducted by Dr. Y when he was at The University. Dr. Y will not perform other experiments outside the US but will help with some data analysis and writing the paper. The federal funding used to support Dr. Y when he was in the lab is still ongoing. Dr. Z is a long-time colleague who is a professor outside of the US. We have monthly discussions about our research. I am a theorist, and Dr. Z is an experimentalist. Dr. Z sends a postdoc to my lab at the university to run the experiments. No experiments will be run outside the US. 	<ol style="list-style-type: none"> Dr. Y is my former postdoc who left The University a year ago to set up a lab outside the US. <ul style="list-style-type: none"> I will publish two papers with him, which include experiments conducted by Dr. Y when he was at the University. For the first, all of the initial experiments were conducted at The University, but the manuscript reviewers requested another experiment. Dr. Y will conduct the experiment in his lab. For the second, all of the experiments were conducted in the lab, but the manuscript reviewers have requested significant revisions to the paper, including extensive new data analysis. Dr. Y will perform the data analysis and edit the manuscript in the foreign country. The federal funding used to support Dr. Y when he was in the lab is still ongoing. Dr. Z is a long-time colleague who is a professor outside of the US. We have monthly discussions about our research. I am a theorist, and Dr. Z is an experimentalist. Dr. Z offers to set up and perform experiments in his lab in a foreign
PHS/NIH Specific References to Collaborator		<p>FAQ 27. I am key personnel on an NIH grant in the United States. I am collaborating with another scientist in the US, whose experiments have directly benefited my research. Their experiments were conducted with funds awarded to their institution. Should this be reported as Other Support?¹</p> <p><i>Yes. Other Support includes domestic research collaborations that directly benefit the researcher's research endeavors.</i></p>	<p>Collaborator as Foreign Component: (NOT-OD-114-July 2019): For example, if a PD/PI of an NIH-funded grant has a collaborator outside of the US who performs experiments in support of the PD/PI's NIH-funded project, this would constitute a foreign component, regardless of whether the foreign collaborator receives funding from the PD/PI's grant.²</p>

https://researchcompliance.caltech.edu/documents/19397/Collaboration_Spectrum_General-NIH_ONLY_FINAL_53z5c7V.pdf

Questions?

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