Caltech Checklist for Complying with NSF Policy
when Reporting Current and Pending Support
Current as of April 6, 2020

Below are two tables organizing common types of financial resources into two categories: Institutional and External. Both tables list the type of resource and then address generally whether it would be included in Current and Pending Support or elsewhere.

Current and Pending Support must be provided for all senior personnel and faculty associates.

Institutional Financial Resources

Type of Financial Resource	Is it Current and Pending Support?
Internal Awards (e.g., Caltech Innovation Innitiative)	Internal awards are included in Current and Pending Support if the award is in direct support of a research project. Specifically, the awards are used for a project that has (1) scope of work; (2) budget; (3) effort commitment by the PI; (4) period of performance.
Start-up funds	Caltech start-up packages provided to the PI from Caltech are NOT included in Current and Pending Support. Start-up packages from institutions other than Caltech must be reported in Current and Pending Support.

External Financial Resources

Type of Financial Resource	Is it Current and Pending Support?
Appointments (All positions, domestic and foreign, including titled academic, professional or institutional and regardless whether full-time, part-time, voluntary, adjunct, visiting, honorary, or if remuneration is received.	Include in Biosketch- As of June 1, 2020, SciENcv or Fillable PDF.
Contracts for Research	Contracts that relate to or support research endeavors at Caltech or elsewhere should be included as Current and Pending Support.
Consulting Agreements	Consulting activities need to be reported through the Caltech Conflict of Interest Disclosure system regardless of whether external consulting supports research endeavors. Independent external consulting does not need to be included in Current & Pending Support at this time.
Cooperative Agreements for Research	Cooperative Agreements that relate to or support research endavors at Caltech should be included in Current & Pending Support regardless whether they are awarded through Caltech, to the researcher through another institution or to the individual.
Fellowship Program	Included in Current and Pending Support, If the fellowship is granted to the Principal Investigator and/or key personnel.
Foreign Talent Program[1]	Include in Current & Pending Support, for the Principal Investigator and any senior personnel.

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[1] Foreign Government Talent Recruitment Program. In general, such programs include any foreign-state-sponsored attempt to acquire U.S. scientific-funded research or technology through foreign government-run or funded recruitment programs that target scientists, engineers,

Gifts	If an item or service meets the definition of a gift, it is not reported as Current and Pending Support. A gift by definition is given without expectation of anything in return. An item or service given with the expectation of an associated time commitment is not a gift and is instead an in-kind contribution and must be reported to NSF.
Grants for Research	Included as Other Support regardless whether or not they are based at Caltech
In-Kind Contributions (e.g., office/lab space, equipment, supplies, employees, etc.)	If an in-kind contribution is not intended for use on the project/proposal being proposed to NSF but has an associated time commitment, the information must be included as part of the Current and Pending Support section of the proposal. If an in-kind contribution is intended for use on the project/proposal being proposed to NSF and either has an associated time commitment or not, the information must be included as part of the Facilities, Equipment and Other Resources section of the proposal and need not be replicated in the individual's Current and Pending Support submission. If an in-kind contribution is not used on the project/proposal being proposed to NSF and has no associated time commitment, it need not be reported.
Other Resources (e.g., financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.))	Other Resources, not already included above, are included as Current and Pending Support if available in direct support of the individual's research endeavors at Caltech or at any institution or entiy.
Projects and Activities	All Projects and Activities, not already included above, are included as Current and Pending Support if the project or activity supports an individual's research in any way at Caltech or at any institution or entity.
Prizes	Not included as Other Support

Checklist and Guidance for Complying with NSF Policy when Reporting Current and Pending Support v.3 (4/6/2020)

Appendix
Guidance on Complying with NSF Policy
and Format for Reporting Current and Pending Support
Current as of April 6, 2020

NSF uses the information submitted in the Current and Pending Support section to assess the capacity of the individual researcher to carry out the research as proposed as well as to help assess any potential overlap or duplication with the project being proposed.

NSF requires information on all current and pending support for ongoing projects and proposals. Detailed information about the content is available in the Proposal and Award Policies and Procedures Guide (PAPPG), Chapter, II.C.2.h. A set of frequently asked questions related to current and pending support also is available.

Starting June 1, 2020, current and pending support information must be separately provided through use of an NSF-approved format, for each individual designated as senior personnel on the proposal. Current and pending support includes **ALL** resources made available to an individual in support of **and/or** related to all of his/her research efforts, regardless of whether or not they have monetary value. Current and pending support also includes in-kind contributions (such as office/laboratory space, equipment, supplies, employees, students[2]. In-kind contributions not intended for use on the project/proposal being proposed also must be reported[3].

Current and pending support information must be provided for the project proposed, for ongoing projects, and for any proposals currently under consideration from whatever source[4] irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.

The total award amount for the entire award period covered (including indirect costs) must be provided, as well as the number of person-months (or partial person-months) per year to be devoted to the project by the individual.

Concurrent submission of a proposal to other organizations will not prejudice its review by NSF, if disclosed.[5]If the project (or any part of the project) now being submitted has been funded previously by a source other than NSF, information must be provided regarding the last period of funding.

1.   Who needs to report Current and Pending Support

NSF requests Current and Pending Support information for for each individual designated as senior personnel on the proposal.

The term "senior personnel" includes:

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[2] If the in-kind contributions are intended for use on the project being proposed to NSF, the information must be included as part of the Facilities, Equipment and Other Resources section of the proposal and need not be replicated in the individual's current and pending support submission.

[3] If the time commitment or dollar value is not readily ascertainable, reasonable estimates should be provided.

[4] For example, Federal, State, local, foreign, public or private foundations, non-profit organizations, industrial or other commercial organizations or internal funds allocated toward specific projects.

[5] The Biological Sciences Directorate exception to this policy is delineated in Chapter II.D.2.

Checklist and Guidance for Complying with NSF Policy when Reporting Current and Pending Support v.3 (4/6/2020)

(Co)Principal Investigator(s) - the individual(s) designated by the grantee and approved by NSF who will be responsible for the scientific or technical direction of the project. If more than one, the first one listed will have primary responsibility for the project and the submission of reports.

Faculty Associate (faculty member) - an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

2.   When to Report Current and Pending Support

NSF requires information on all current and pending support for the project proposed and for ongoing projects.

3.   What to Report as Current and Pending Support

Note: Current and Pending Support must be provided for all senior personnel and faculty associates.

1. Current and Pending Support includes **ALL** resources made available to an individual in support of **and/or** related to all of his/her research efforts, regardless of whether or not they have monetary value, from whatever source. (e.g., Federal, State, local or foreign government agencies, institutions and companies, public or private foundations, industrial or other commercial organizations, or internal funds allocated toward specific projects). Current and pending support also includes in-kind contributions (such as office/laboratory space, equipment, supplies, employees, students. In-kind contributions not intended for use on the project/proposal being proposed also must be reported.

   Current and pending support information includes support for the project proposed, all ongoing projects, and for any proposals currently under consideration from whatever source, irrespective of whether such support is provided through Caltech (the proposing institution) or is provided directly to the individual.

   The proposed project and all other projects or activities requiring a portion of time of the PI and other senior personnel must be included, even if they receive no salary support from the project(s). If an in-kind contribution is not intended for use on the project/proposal being proposed to NSF but has an associated time commitment, the information must be included as part of the Current and Pending Support section of the proposal. If an in-kind contribution is intended for use on the project/proposal being proposed to NSF and either has an associated time commitment or not, the information must be included as part of the Facilities, Equipment and Other Resources section of the proposal and need not be replicated in the individual's Current and Pending Support submission. If an in-kind contribution is not used on the project/proposal being proposed to NSF and has no associated time commitment, it need not be reported.

   The **total award amount** for the entire award period covered (including indirect costs) must be provided, as well as the **number of person-months** (or partial person-months) per year to be devoted to the project by the individual.

   Concurrent submission of a proposal to other organizations will not prejudice its review by NSF, if disclosed. If the project (or any part of the project) now being submitted has been funded previously by a source other than NSF, information must be provided regarding the last period of funding.

2. [Facilities, Equipment and Other Resources](#)

   If an in-kind contribution is intended for use on the project/proposal being proposed to NSF and either has an associated time commitment or not, the information must be included as part of the Facilities, Equipment and Other Resources section of the proposal and need not be replicated in the individual's Current and Pending Support submission. If an in-kind contribution is not used on the project/proposal being proposed to NSF and has no associated time commitment, it need not be reported.

3. [Biosketch](#)

   NSF requires a biographical sketch (limited to two pages) for each individual identified as senior personnel. Detailed information about the content is available in the [Proposal and Award Policies and Procedures Guide (PAPPG), Chapter II.C.2.f](#).

4.   Format

1. **Current and Pending Support**

   Use of an NSF-approved format for current and pending support will be required upon implementation of the PAPPG (NSF 20-1), for all proposals submitted or due on or after June 1, 2020.

   [SciENcv](#) - (**AVAILABLE NOW!**) NSF has partnered with the National Institutes of Health (NIH) to use [SciENcv: Science Experts Network Curriculum Vitae](#) as an NSF-approved format for use in preparation of the current and pending support section of an NSF proposal. Adoption of a single, common researcher profile system for Federal grants reduces administrative burden for researchers. [SciENcv](#) will produce NSF-compliant PDF versions of the current & pending support format. Proposers must save these documents and submit them as part of their proposals via FastLane, Research.gov or Grants.gov.

   [FAQs on using SciENcv](#)

   [NSF Fillable PDF](#) - (**AVAILABLE NOW!**) NSF is providing a fillable PDF of the current & pending support format. Proposers will be able to download it from this page, complete the form, and upload as part of their proposal via FastLane, Research.gov or Grants.gov.Implementation Status

2. **Facilities, Equipment and Other Resources**

   Proposers should describe only those resources that are directly applicable. Proposers should include an aggregated description of the internal and external resources (both physical and personnel) that the organization and its collaborators will provide to the project, should it be funded. Such information must be provided in this section, in lieu of other parts of the proposal (e.g., Budget Justification, Project Description). The description should be narrative in nature and must not include any quantifiable financial information. Reviewers will evaluate the information during the merit review process and the cognizant NSF Program Officer will review it for programmatic and technical sufficiency

3. **Biosketch**

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