**NSF PROPOSAL DOCUMENTS PI CHECKLIST**

**PAPPG 24-1 effective May 20, 2024**

Updated 2024.04.29

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| PI and Co-PI names |  | | | FOA |  | |
| Other Senior/Key Personnel names | |  | Due Date | | |  |

Once PI, Co-PI and Senior/Key Personnel names are entered above: ctrl-A > F9. Do this to update the checklist anytime names are edited.

**This document covers PAPPG requirements, please carefully review your specific funding announcement for additional requirements or departures from the PAPPG.**

## \* indicates documents/Information needed for a non-lead collaborative submission

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| GENERAL INFORMATION \* |
| Black text, Arial**+**/Palatino Linotype/Courier New minimum 10 pt., **OR** Times/Computer Modern minimum 11 pt.  A font size of less than 10 points may be used for mathematical formulas or equations, figures, tables, or diagram captions and when using a Symbol font to insert Greek letters or special characters. Other fonts not specified above, such as Cambria Math, may be used for mathematical formulas, equations, or when inserting Greek letters or special characters. PIs are cautioned, however, that the text must still be readable.  1-inch margins, 6 lines of text**+** within a vertical space of 1”.  **+**If Arial 10 has been used, the document must be formatted so that there are no more than 6 lines/inch:  To format in Word: 1) ctrl-a to select the entire document; 2) from the home tab, select Paragraph>Line & Paragraph Spacing>Line Spacing Options; 3) Line Spacing = multiple, at 1.05; 4) select OK.  Pagination: None, research.gov paginates upon submission  All documents converted to PDF prior to upload, except for COA, and NSF-generated biosketch/C&P forms. |
| Information contained in Excel documents (budgets, COA tables) stored on Google drive may not be accurate. It is recommended that all Excel documents be stored on your computer rather than a shared drive. If a COA table can’t be uploaded to Research.gov or uploads with blank fields, it will need to be recreated away from Google drive. Cells can be copy/pasted from the damaged file to a new COA template. |

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| Cover sheet, Main Page, and Personnel and Subawards \* | | | |
| Cover sheet\* | | | |
| Start date 6+ months out, unless allowed by FOA. | | Proposed Duration Months matches end date. | |
| Cover sheet contents have been reviewed to confirm that all appropriate boxes have been checked. **“Other Information” indicators are complete as applicable, including:** | | | |
| Proprietary or Privileged information – if this box is checked, a Proprietary/Privileged upload button will appear. | | | |
| Funding of an International Branch Campus (see [Project Description](#IBC_Explanation) for required justification).  Funding of a Foreign Org. including through subaward or consultant.  International Activities country name – must be checked if either of the previous two are checked, OR if there will be international travel, including conferences. Worldwide if country is unknown. | | | |
| Off-campus/off-site research (check FOA to see if a plan is required for upload). | | | |
| Potential Impacts on Tribal Nations (see [Other Documents](#TribalNations) for instructions for documentation). | | | |
| Main Page\* | | | |
| ☐ Title includes any required descriptive words (see solicitation for title requirements). ☐ Due date selected, for collaborative proposals the due date will copy from the lead’s. Share Proposal with SPO/AOR: “Edit access” selected with “Allow proposal submission“ checked, If the application was initiated by Proposal Analyst, no action is required.  All collaborating institutions have been sent and accepted a link (for CU as lead) **OR** the link invite sent by lead has been accepted. | | | |
| SENIOR/KEY PERSONNEL and SUBAWARDEE complete as applicable \* | | | |
| Subaward Organizations added | All Senior/Key Personnel entered and listed at correct institution.   * Up to 4 Co-PIs are allowed, NSF ID required. * Other Sr. Personnel can be identified by First and Last Name | | |  | | --- | |  |  |  | | --- | |  | |
| Notes: | | | |

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| Project summary |

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| Required content and headings: Overview, Intellectual Merit, Broader Impacts. | |
| Each header on its own line with no other information. | One page |
| Check FOA for required identifiers and/or keywords. | Notes: |

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| project description | | |
| 15 pages, unless otherwise indicated in FOA.  All graphics/figures/charts uploaded correctly **and within margins**, captions are readable.  No URLs  No PI-supplied information in the margins including page numbers, title, team members.  Separate section labeled as Broader Impacts with header on its own line.  If applicable, Proprietary or Privileged Information Clearly mark and label with legend (*PAPPG suggested language, "The following is (proprietary or confidential) information that (name of proposing organization) requests not be released to persons outside the Government, except for purposes of review and evaluation."*) | | **Explanation/justification of funding to an IBC or foreign organization (through subaward or consultant arrangement) is included, detailing:**   * why support for the foreign counterpart’s in-country resources is not feasible; * why the foreign organization or foreign individual can carry out the activity more effectively; * what unique expertise, organizational capability, facilities, data resources, and/or access to a geographic location not generally available to U.S. investigators; * what significant science and engineering education, training or research opportunities to the U.S. |
| Notes: | | |
| **Results from Prior NSF Support (current funding OR end date in last 5 years)** | | |
| |  |  | | --- | --- | | **PI/coPIs:**   |  | | --- | |  | | | | |
| No more than 5 pages total.  All PIs/coPIs included.  Header reads **Results from Prior NSF Support** and is on its own line.  Statement included for any PI/coPI who doesn’t have prior results. | **For each person’s reported results:**  Title  NSF award #  Award amount  Project start and end dates  **Summary of completed work\* under separate, labeled sections:**  Intellectual Merit  Broader Impacts  \*If the project was recently awarded and therefore no new results exist, describe the major goals and broader impacts of the project. Note that the proposal may contain up to five pages to describe the results.  List of all publications resulting from the award, with a complete bibliographic citation, may be included in the references section. If none, then “No publications were produced under this award.”  Evidence of research products/availability, including data, publications, samples, collections, software, models, as may have been described in the Data Management Plan for the awarded project.  For renewals, description of relation of completed work to proposed work. | |
| Notes: | | |

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| references cited |
| All author names listed, fully written out (i.e., no “et al”) and in order as they appear.  Article/journal/book title, volume number, start/end page numbers, year of publication, URLs can be included. |

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| budget \* | |
| Meets FOA specifics for allowed/required costs | Meets FOA minimum/maximum, both yearly and overall. |
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| budget justification \* | |
| Use [CU Budget Justification Template](https://www.colorado.edu/ocg/node/226/attachment) for standard language. | |
| 5-page limit  No cost sharing language: does not mention unfunded personnel (unfunded personnel role(s) will be described in the Facilities, Equipment and Other Resources section).  Definition of a year is included in the salary section: “CU Boulder’s definition of a year is based on the University fiscal year, July 1 through June 30”.  Any normally unallowable costs or more than 2 months of PI salary across all current and pending NSF projects are justified. | Travel is specified, itemized, justified (copy/paste from the TravelTable tab in your Excel budget).  Participant Support costs **do not** include anything that will be secured through a service agreement/contract (speaker fees, venue rental, catering, supplies, etc.).  Other Direct costs includes a summary of any subawards. Additionally, a detailed budget justification (up to 5 pages) will be uploaded for each subaward.  F&A and MTDC base costs are broken out; your proposal analyst can help you with these numbers. |
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| facilities, equipment and other resources \* | |
| No page limit; see [Facilities Template](https://www.colorado.edu/ocg/node/2075/attachment).  No cost sharing language.  Only resources that are directly applicable are included, and monetary values are **not** cited.  Subawardees’ information is included in our document. | In Other Resources, include as applicable:   * Description of unfunded collaborations. Should be included if Letter of Collaboration included in Other Supplementary Documentation; * Description of unfunded Senior/Key personnel role(s) on project; do not include monetary value of unfunded collaborations. |
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| Senior/Key Personnel Documents |
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| biosketch \* |
| [Logon to NCBI for the required Biosketch builder](https://www.ncbi.nlm.nih.gov/myncbi/) [NSF Senior Personnel Information Page](https://new.nsf.gov/funding/senior-personnel-documents)  See PAPPG for [Equipment Proposals Biosketch](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2g) instructions, Other Personnel | |
| Provided separately for each Senior/Key Person Uses SciENcv No personal information.  All required fields in Identifying Information, Organization and Location section are complete.  Professional Preparation in *reverse* chronological order.  Appointments/Positions in *reverse* chronological order:   * Appointments and positions include any titled academic, professional, or institutional position whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary). * Senior/key personnel must only identify all domestic and foreign professional appointments and positions outside of the primary organization for a period of up to three years from the date the proposer submits the proposal to NSF for funding consideration. | |
| Products/Publications –citation of up to 5 most closely related to projects and up to 5 other significant products, including submitted for publication; et al. is allowed. Products must be citable and accessible. Other NSF awards cannot be counted as an “other”  Certification – certification has been completed and the signed PDF has been downloaded. **Do not save the PDF in any other format than what was downloaded.** | |
| current and pending (other) support \* | |
| [Logon to NCBI for the required Current and Pending builder](https://www.ncbi.nlm.nih.gov/myncbi/) [NSF Senior Personnel Information Page](https://new.nsf.gov/funding/senior-personnel-documents)  See NSF [Guidance Table](https://www.nsf.gov/bfa/dias/policy/disclosures_table.jsp) for NSPM-33 and PAPPG [Current and Pending (Other) Support](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2hii)   * In-kind resources contributed from outside CU that are committed as cost share to sponsored projects that have a value greater than $5,000 and time commitment of the Senior/Key Personnel are included. * Consulting activities must be disclosed under the Current projects section when any of the following applies: a)The consulting activity will require the senior/key person to perform research as part of the consulting activity; b) The consulting activity does not involve performing research, but is related to the senior/key person’s research portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; or c) The consulting entity has provided a contract that requires the senior/key person to conceal or withhold confidential financial or other ties between the senior/key person and the entity, irrespective of the duration of the engagement. * Senior/Key Personnel are required to disclose contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including [foreign government-sponsored talent recruitment programs](https://www.nsf.gov/bfa/dias/policy/researchprotection/nspm33definitions.pdf#page=2). Further, if an individual receives direct or indirect support that is funded by a foreign government-sponsored talent recruitment program, even where the support is provided through an intermediary and does not require membership in the foreign government-sponsored talent recruitment program, that support must be disclosed. Senior/key personnel must also report other foreign government-sponsored or affiliated activities. In accordance with 42 U.S.C. § 19232, individuals are prohibited from being a party in a [malign foreign talent recruitment program](https://www.nsf.gov/bfa/dias/policy/researchprotection/nspm33definitions.pdf#page=3)   **Definitions**  **Current** – all active projects, or projects with ongoing obligations, from whatever source irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.  **Pending** – any proposal that is being considered for funding from a potential funding organization (including this proposal) irrespective of whether such support is provided through the proposing organization or is provided directly to the individual.  **In-kind contribution** – a non-cash contribution provided by an external entity that directly supports the individuals' research and development efforts. An in-kind contribution may include but is not limited to: real property; laboratory space; equipment; data or data sets; supplies; other expendable property; goods and services; employee or student resources. | |

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| Provided separately for each Senior/Key Person Uses SciENcv No personal information  For each project entered, all required fields are complete, including a brief statement of the overall objectives of each project/proposal or in-kind contribution and potential overlap with this proposal in terms of scope, budget, or person-months planned or committed to the project by the individual.  The proposed project is included as Pending.  Current, Pending or In-kind projects or activities as [indicated above](#NSPM33) requiring a portion of time of the Senior/Key Personnel must be included, even if they receive no salary support from the project(s). |
| Certification – certification has been completed and the signed PDF has been downloaded. Do not save the PDF in any other format than what was downloaded. |

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| Notes: |
| Collaborators and Other affiliations \* |
| Uses current NSF template found at [NSF Senior Personnel Information Page](https://new.nsf.gov/funding/senior-personnel-documents)  All names are listed in last name, first name order, doesn’t need to be sorted alphabetically.  No change to column widths; it’s ok to insert rows  Column A is filled in for Tables 2-5  A blank in the date field indicates “active”; otherwise, dates need to be in m(m)/d(d)/yy(yy). format  A COA table is uploaded for each Senior/Key Person. |
| Synergistic activties \* |
| Provided separately for each Senior/Key Person 1 page Up to 5 distinct examples  Includes examples that “demonstrates the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation See [PAPPG](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2hiv) for list of possible examples. |
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| special information and supplementary documents |
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| Documents uploaded to a named field |
| **Data Management and Sharing Plan,** 2 page limit: [Data Management Plan Tool](https://dmptool.org/)   * One combined Data Management Plan for collaborative proposals and proposals that include subawards. * A valid Data Management Plan could include only the statement that is a clear justification that no detailed plan is needed. See [PAPPG](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2g) for further details.   **Mentoring Plan** (if applicable) required for any proposal that includes Postdocs **and/or** Grad Students, 1 page limit, included in the lead’s documentation, regardless of where the Postdoc/GRA is, and includes information for all Postdocs/GRAs across the project.  **Other Personnel Biosketches** (optional), clearly identified in the document as “Other Personnel”, combined into one PDF. Appropriate for Postdocs, students and other professionals. SciENcv is not required for these documents.  **Reviewers to include**: first, middle initial, last name, email, organization (optional).  **Reviewers to exclude**: first, middle initial, last name, email, organization, reason for excluding (optional). |
| Notes: |
| Documents uploaded to other supplementary documents sectionas allowed or required per guidelines |
| NOTE: The Other Supplementary Documents will compile in the order that they’re uploaded, so if a specific document needs to be first it will need to be uploaded prior to any other supplementary documents. |

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| Supplementary Documents required by the FOA | Notes: |

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| **Letters of Collaboration**  Review FOA for requirements, otherwise follow [PAPPG](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2hib) guidelines  No support or endorsement language.  Letters from all unfunded collaborators are included; Combining all letters into a single PDF is allowed. |
| **Safe and Inclusive Work Environment** /**Safe and Inclusive Fieldwork Plan** (SAIF) (Required if applicable)  Review FOA to determine if plan is required with the proposal or if it needs to be completed and held for award.  Single plan developed for all off-campus work across the project. [CU’s template](https://www.colorado.edu/ocg/prepare-proposals/proposal-essentials-sponsor/safe-and-inclusive-working-environment-plan-nsf) is required.  2-page limit. |
| **Antarctic Logistical Requirements and Field Plan** (Required if applicable)  Antarctic proposals to any NSF program require a "Logistical Requirements and Field Plan" supplementary document to be submitted with the proposal. Review the current Antarctic Research solicitation for information regarding proposal with fieldwork. |
| **Seeking and Obtaining Tribal Nation Approval for Proposals that May Impact Tribal Resources or Interests**  * Proposals that may impact the resources or interests of a federally recognized American Indian or Alaska Native Tribal Nation (Tribal Nation) **will not be awarded** by NSF without prior written approval from the official(s) designated by the relevant Tribal Nation(s). * For purposes of this provision, references to "resources or interests of a Tribal Nation" are limited to resources and interests connected to Tribal Nation lands or those aspects of Tribal life that are within the domain of a Tribal Nation, (including, but not limited to, Tribal languages and subsistence rights on Tribal Nation lands) as opposed to individual Tribal Nation members. See [PAPPG](https://new.nsf.gov/policies/pappg/24-1/ch-2-proposal-preparation#ch2D2hib) for further information.   Proposers must include at least one of the following:   1. a copy of the written request to the relevant Tribe(s) to carry out any proposed activity/activities that may require prior approval from the Tribal Nation(s); 2. written confirmation from the Tribal Nation(s) that review and approval is not required; or 3. a copy of a document from the relevant Tribal Nation(s) that provides the requisite approval. All such documentation must be uploaded into "Other supplementary documents" in Research.gov.   If only (i) is provided, the proposer will still be required to submit either (ii) or (iii) before NSF will make an award decision. |