**NSF PROPOSAL DOCUMENTS PI CHECKLIST**

**PAPPG 23-1 effective January 30, 2023**

Updated 2024.02.07

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| PI Name |  | FOA |  | Due Date |  |
| Co-PI names |  | | Other Senior Personnel names |  | |

(Once you enter the PI, Co-PI and Senior Personnel names: ctrl-A > right click >update field. Do this anytime you change the names above so that they feed correctly to the checklist)

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

**Review the NSF funding announcement carefully to determine if a Safe and Inclusive Working Environment plan is required to be uploaded in Other Supplementary Documents.**

**Excel documents (budgets, COA tables) stored on Google drive may not be accurate. It is strongly recommended that all Excel documents be downloaded from the drive to confirm that budget totals are correct. If a COA table can’t be uploaded to Research.gov, or uploads unfilled, it will need to be recreated away from the Google drive (cells can be copy/pasted from the damaged file to a new COA template).**

## \* indicates the only documents 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” | Convert to PDF prior to upload, except for COA, and NSF-generated biosketch/C&P forms |
| Pagination: None, research.gov paginates upon submission |
| **+**Using Arial 10 yields more than 6 lines/inch which will cause a warning when uploading to Research.gov.  To format properly 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. | |

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| Cover sheet, main page, and personnel/subawards \* |

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| ☐ Title includes any required descriptive words (see solicitation for title requirements) | ☐ Start date 6+ months out, unless allowed by FOA | Notes: |
| Cover sheet contents have been reviewed to confirm that all appropriate boxes have been checked | | |

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| **Other Information, complete as applicable \*** | | | |
| All Co-PIs listed | | |  | | --- | |  | | |
| Proprietary or Privileged information – if this box is checked, a Proprietary/Privileged upload button will appear | | | |
| Funding of an International Branch Campus | 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 |
| Proprietary or Privileged information – if this box is checked, a Proprietary/Privileged upload button will appear | | | |
| Off-campus/off-site research (check FOA to see if a plan is required for upload) | | | |
| Notes: | | | |

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| Project summary |

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| One page, uploaded as PDF with section headers of:   * Overview * Intellectual Merit * Broader Impacts   Each header on its own line with no other information | Notes: |

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| project description | | |
| 15 pages, unless otherwise indicated in FOA  All graphics/figures/charts uploaded ok **and within margins**, captions are readable  No URLs  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 local sourcing is not feasible, and demonstrates one or more of: 1) the foreign organization or individual contributes unique expertise, organizational capability, facilities, data resources, and/or access to a geographic location not generally available to U.S. investigators (or which would require significant effort or time to duplicate); 2) the foreign organization or individual offers 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/Co-PIs:   |  | | --- | |  |  |  | | --- | |  | | | |
| No more than 5 pages total  All PIs/coPI 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 #, amount, project start and end dates  Summary of completed work under separate, labeled sections:  Intellectual Merit  Broader Impacts  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, 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.  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. | |
| 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 are okay |

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| budget \* | |
| Meets FOA specifics for allowed/required costs | Meets FOA minimum/maximum, both yearly and overall |
| Notes: | |

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| budget justification \* | | |
| [Budget Justification Template](https://www.colorado.edu/ocg/node/226/attachment) | | |
| 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 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 | |
| Notes: | | |
| Senior Personnel Documents - 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) | | |

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| Provided separately for each PI, Co-PI and Senior Person  Uses NSF-approved format for the current PAPPG No personal information  Name, Position/title and Organization/location fields are complete  Professional Preparation in *reverse* chronological order and includes location; only fellowships  include start and end dates  Appointments in *reverse* chronological order, and includes location:  “With regard to professional appointments, senior personnel must identify all current domestic or foreign professional appointments outside of the individual's academic, professional, or institutional appointments at the proposing organization, including adjunct, visiting, honorary, volunteer.” | Senior Personnel:   |  | | --- | |  |  |  | | --- | | Notes: |  |  | | --- | |  | |

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| 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”  Synergistic Activities – up to 5 distinct examples, and must be specific and must not include multiple examples to further describe the activity. Examples with multiple components, such as committee member lists, sub-bulleted highlights of honors and prizes, or a listing of organizations for which the individual has served as a reviewer, are not permitted  Certification – if using the fillable form, signature and date line have been completed |
| Notes: |
| Senior Personnel Documents - current and pending 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)  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 and In-kind contributions not intended for use on the project/proposal being proposed that have associated time commitments also must be reported. | |

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| Provided separately for each PI, Co-PI and Senior Person Uses NSF-approved format  Name, Position/title, Organization and Location fields are complete on page 1  Included are contracts associated with participation in programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs. 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 is disclosed. Senior personnel must also report other foreign government sponsored or affiliated activity. Non-disclosure clauses associated with these contracts are not acceptable exemptions from this disclosure requirement.  A brief statement of the overall objectives of each project/proposal or in-kind contribution is included and summarizes 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 (list as Pending) and all other projects or activities (Current or Pending) requiring a portion of time of the PI and any other senior personnel must be included, even if they receive no salary support from the project(s) | Senior Personnel:   |  | | --- | |  |  |  | | --- | |  |  |  | | --- | |  | |
| In-kind resources are listed (including sponsored projects for which there is cost share required, if the cost share comes from outside CU)  Certification – if using the fillable form, signature and date line on first page have been completed | |

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| Notes: | |
| Senior Personnel Documents – Collaborators and Other affiliations \* | |
| Collaborators & 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 PI/Co-PI/Senior Person | Senior Personnel:   |  | | --- | |  |  |  | | --- | |  |  |  | | --- | | Notes: | |

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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  Subawardees’ information is included in our document | In Other Resources, include as applicable:   * Description of unfunded collaborations. Required if Letter of Collaboration included in Other Supplementary Documentation * Description of unfunded senior personnel role(s) on project * Do not include monetary value of unfunded collaborations |
| Notes: | |

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| other documents | |
| Data Management 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   Post-doc Mentoring Plan (if applicable), 1 page limit; this is included in the lead’s documentation, even if the post-doc is at a collaborating/subawardee institution, and includes information for all post-docs across the project. | |
| Notes: | |
| Optional documents **(as allowed or required per guidelines)** | |
| Other Personnel Biosketches,  Other personnel Biosketches, marked as Other Personnel, and combined into one PDF  Upload into Other Personnel Biographical Information. Combine into a single document if there is more than one Other Biosketch. These do not need to be on NSF-approved forms. | **Letters of Collaboration**  Follow PAPPG guidelines unless specified in FOA  No support or endorsement language  Letters from all unfunded collaborators are included  Uploaded into Other Supplementary Documents. Can combine all letters into a single PDF if desired.  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. |
| If the project is being submitted to a funding announcement that requires it, a Safe and Inclusive Working Environments plan has been uploaded. See <https://new.nsf.gov/policies/pappg/23-1/ch-2-proposal-preparation#2E8> | |

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| Other FOA requirements | Other FOA requirements: |

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| Reviewers to include: first, middle initial, last name, email, organization  Reviewers to exclude: first, middle initial, last name, email, organization, reason for excluding |
| Notes: |