AUTOMATED PROPOSAL COMPLIANCE CHECKS PERFORMED BY RESEARCH.GOV AS OF NOVEMBER 23, 2020						
COMPLIANCE CHECK	**FUNDING OPPORTUNITY TYPE**	**ERROR/ WARNING**	**TYPE OF PROPOSAL**			
			Research	**RAPID**	**EAGER**	**RAISE**
PROPOSAL SECTION EXISTS CHECKS						
1. Project Summary is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
2. Project Description is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
3. References Cited is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
4. Budget Justification(s) is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
5. Facilities, Equipment and Other Resources is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
6. Biographical Sketch is required for each PI/co-PI/Senior Personnel.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
7. Current and Pending Support is required for each PI/co-PI/ Senior Personnel.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
8. Collaborators and Other Affiliations is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
9. Data Management Plan is required.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
10. Postdoctoral Mentoring Plan is required if funding is requested to support postdoctoral researchers.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
DOCUMENT EXISTS CHECKS						
11. Proposal Updated Justification is required (Proposal File Update/Budget Justification).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
12. Nature of Natural or Anthropogenic Event document is required (Conditionally Required).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
13. Proprietary or Privileged Information document is required (Conditionally Required).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
14. Disclosure of Lobbying Activities document is required (Conditionally Required).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
15. A Program Officer Concurrence Email is required for RAPID, EAGER, and RAISE proposals.	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
PROPOSAL SECTION PAGE COUNT CHECKS						
16. Project Summary page count cannot exceed 1 page.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
17. Project Description page count cannot exceed 5 pages for a RAPID proposal.	Program Solicitations (Some) PAPPG	Error	N/A	✓	N/A	N/A
18. Project Description page count cannot exceed 8 pages for an EAGER proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	✓	N/A
19. Project Description page count cannot exceed 15 pages (excludes RAPID and EAGER).	Program Solicitations (Some) PAPPG	Error	✓	N/A	N/A	✓
20. Biographical Sketch page count cannot exceed 2 pages per PI/co-PI/Senior Personnel.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
21. Budget Justification page count cannot exceed 5 pages.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
22. Postdoctoral Mentoring Plan page count cannot exceed 1 page.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
23. Data Management Plan page count cannot exceed 2 pages.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
PROPOSAL SECTION HEADING CHECKS						
24. Project Summary must contain the headings "Overview," "Intellectual Merit," and "Broader Impacts."	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
25. Project Description must contain the heading "Broader Impacts."	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
PROPOSAL SECTION URL CHECKS						
26. URLs are permitted in the Project Description document but NSF is not required to review the content in the hyperlink when making an award decision.	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
PROPOSAL SECTION FILE TYPE CHECKS						
27. .xlsx document is the only acceptable file upload type for: • Collaborators and Other Affiliations	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
28. PDF document is the only acceptable file upload type for: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • Other Supplementary Documents • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement • Special Exception—Natural or Anthropogenic Event • Proprietary or Privileged Information • Disclosure of Lobbying Activities • Additional Single Copy Documents	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
29. PDF document is the only acceptable file upload type for: • Biographical Sketch • Current and Pending Support	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
30. PDF document is the only acceptable file upload type for: • Program Officer Concurrence Email	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓
PROPOSAL SECTION FILE UPLOAD CHECKS						
31. PDF file must not be password protected or have restricted permissions: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • Other Supplementary Documents • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement • Special Exception—Natural or Anthropogenic Event • Proprietary or Privileged Information • Disclosure of Lobbying Activities • Additional Single Copy Documents	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
32. PDF file must not be password protected or have restricted permissions: • Biographical Sketch • Current and Pending Support	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
33. PDF file must not be password protected or have restricted permissions: • Program Officer Concurrence Email	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓
34. PDF file must be in an NSF-Approved format: • Biographical Sketch • Current and Pending Support	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
35. Document must not contain invalid characters in the column names for: • Collaborators and Other Affiliations	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
36. PDF file must not be an empty file (no image and no text). • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • Other Supplementary Document • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement • Special Exception—Natural or Anthropogenic Event • Proprietary or Privileged Information • Disclosure of Lobbying Activities • Additional Single Copy Documents	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
37. PDF file must not be an empty file (no image and no text). • Program Officer Concurrence Email	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓
38. PDF file must not contain an image only and no system readable text, which includes text that was scanned into an image: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
PROPOSAL SECTION FILE SIZE CHECKS						
39. Document upload file size maximum is 10 MB for: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • Other Supplementary Documents • List of Suggested Reviewers • List of Reviewers Not to Include • Collaborators and Other Affiliations • Budget Impact Statement • Special Exception – Natural or Anthropogenic Event • Proprietary or Privileged Information • Disclosure of Lobbying Activities • Additional Single Copy Documents	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
40. Document upload file size maximum is 10 MB for: • Biographical Sketch • Current and Pending Support	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
41. Document upload file size maximum is 10 MB for: • Program Officer Concurrence Email	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓
PROPOSAL SECTION UPLOAD FILE NAME CHECKS						
42. Document upload file name cannot exceed 254 characters for: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • Other Supplementary Documents • List of Suggested Reviewers • List of Reviewers Not to Include • Collaborators and Other Affiliations • Budget Impact Statement • Special Exception – Natural or Anthropogenic Event • Proprietary or Privileged Information • Disclosure of Lobbying Activities • Additional Single Copy Documents	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
43. Document upload file name cannot exceed 254 characters for: • Biographical Sketch • Current and Pending Support	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
44. Document upload file name cannot exceed 254 characters for: • Program Officer Concurrence Email	Program Solicitations (Some) PAPPG	Error	N/A	✓	✓	✓
PROPOSAL SECTION UPLOAD MARGIN CHECKS						
45. Document margins, in all directions (top, bottom, left, and right), must be at least an inch for: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
PROPOSAL SECTION LINE SPACING CHECKS						
46. Line spacing should be no more than six lines per inch on: • Project Summary • Project Description • References Cited • Other Personnel Biographical Information • Budget Justification(s) • Facilities, Equipment and Other Resources • Postdoctoral Mentoring Plan • Data Management Plan • List of Suggested Reviewers • List of Reviewers Not to Include • Budget Impact Statement	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	✓
PROPOSAL BUDGET CHECKS						
47. Senior personnel has funds but no months indicated.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
48. All senior personnel in the budget must have months and funds associated for at least one year.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
49. Senior personnel has months but no funds indicated.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
50. When Postdoctoral Researchers are included, number of personnel, months, and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
51. When Other Professionals are included, number of personnel, months, and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
52. When Graduate Students are included, number of personnel and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
53. When Undergraduate Students are included, number of personnel and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
54. When Administrative/Clerical are included, number of personnel and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
55. When Other Personnel are included, number of personnel and funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
56. Equipment has funds for at least one year but no description.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
57. Equipment has a description but no funds for at least one year.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
58. When an equipment line has been added, the description and at least one year of funds must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
59. There needs to be at least one participant when funds have been indicated for Participant Support Costs.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
60. Participant support cost amounts cannot equal zero when there are one or more participants.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
61. The indirect cost description must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
62. Indirect cost has a rate but no base indicated.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
63. Indirect cost has a description but no rate or base for at least one year.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
64. When an indirect line has been added, the description and at least one year of the rate and base must be specified.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
65. Indirect cost has a base but no rate indicated.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
66. The cost sharing budget line (Line M on the proposal budget) has an amount of zero but the selected funding opportunity may have cost sharing requirements.	Program Solicitations (Some)	Warning	✓	N/A	N/A	N/A
67. The budget maximum cannot exceed $200K for a RAPID proposal.	Program Solicitations (Some) PAPPG	Error	N/A	✓	N/A	N/A
68. The budget maximum cannot exceed $300K for an EAGER proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	✓	N/A
69. The budget maximum cannot exceed $1M for a RAISE proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	N/A	✓
70. The number of years in a subawardee budget must be equal to or less than the prime budget.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
PROPOSAL COVER SHEET CHECKS						
71. Required fields for Place of Performance: Organization Name, Country, Street Address, and City.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
72. Place of Performance postal code not valid for the selected state.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
73. A Requested Start Date has not been entered.	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	✓
74. Proposal Duration cannot be blank or zero.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
75. Proposal Duration must not exceed 1 year (12 months) for a RAPID proposal.	Program Solicitations (Some) PAPPG	Error	N/A	✓	N/A	N/A

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
76. Proposal Duration must not exceed 2 years (24 months) for an EAGER proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	✓	N/A
77. Proposal Duration must not exceed 5 years (60 months) for a RAISE proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	N/A	✓
78. Vertebrate Animals is selected but the animal-use protocol radio button is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
79. Vertebrate Animals and Approved are selected but required fields are missing: IACUC Approval Date, PHS Animal Welfare Assurance Number.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
80. Human Subjects is selected but the radio button is not selected: Has the human subjects research for the project been approved by an Institutional Review Board (IRB).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
81. Human Subjects and Approved are selected but the required field is missing: IRB Approval Date.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
82. Human Subjects and Exempt are selected but a required field is missing: Exemption Number.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
83. International Activities is selected but Country is missing.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
84. Funding of an international branch campus of a U.S. institution of higher education (IHE) is selected but a country name is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
85. Funding of a foreign organization is selected but a country name is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
86. The International Activities checkbox must be checked on the Cover Sheet if the Primary Place of Performance on the Cover Sheet is outside the U.S. (excludes U.S. Possessions).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
87. If the Budget contains an amount in the foreign travel line, then the International Activities checkbox on the Cover Sheet should be checked.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
PROPOSAL DEADLINE SUBMISSION CHECKS						
88. A proposal cannot be submitted unless a Time Zone is associated with the proposing organization.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
89. A proposal cannot be submitted if it is past 5 PM on the deadline or window date (per the proposing organization's Time Zone as selected in the Organization Profile).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
90. Warning will display if there is less than 24 hours left to submit a proposal.	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	✓
91. Warning will display if a Proposal File Update (PFU) is submitted after 5 PM on the deadline date.	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	✓
92. A proposal cannot be submitted if a deadline, window, target date or "accepted anytime" has not been selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
93. A proposal cannot be submitted if the Funding Opportunity has expired.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
94. A Proposal File Update (PFU)/Budget Revision cannot be submitted after reviewers have been assigned to the proposal.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/ WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
95. A Budget Revision cannot be submitted once the proposal has been declined, returned, withdrawn, or awarded.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
96. A Proposal File Update (PFU)/Budget Revision cannot be submitted once the proposal has been withdrawn, declined, recommended, awarded, or returned.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
97. A Proposal File Update (PFU)/Budget Revision cannot be created when the NSF internal system proposal status is "pending."	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
98. An in-progress lead proposal in a separately submitted collaborative cannot be submitted while linked to a non-lead proposal that missed its deadline in an earlier time zone.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	N/A
PROPOSAL LINKING CHECKS						
99. A separately submitted collaborative proposal is not linked to another proposal.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	N/A
PROPOSAL SUBMISSION CHECKS						
100. A linked proposal in a separately submitted collaborative does not yet have Submission Pending proposal status.	Program Solicitations (Some) PAPPG	Warning	✓	✓	✓	N/A
101. The proposal does not use the current *Proposal & Award Policies & Procedures Guide* (PAPPG) version.	PAPPG	Error	✓	✓	✓	✓
	Program Solicitations (Some)	Error	N/A	N/A	N/A	N/A
102. The proposing organization must have an active System for Award Management (SAM) certification for submission.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓

Notes:

1. List provides current checks performed by the Research.gov system as of November 23, 2020, for proposals submitted in Research.gov.

2. The system currently only supports Research, RAPID, EAGER, and RAISE proposals that are: (1) single submissions from one organization; (2) single submission collaborative proposals with subawards; or (3) separately submitted collaborative proposals from multiple organizations. Not all program solicitations can be checked due to system constraints.

3. Some checks are not enforced for separately submitted collaborative non-lead proposals as stated by NSF policy requirements. The following sections are not required for a non-lead collaborative proposal: Project Summary, Project Description, References Cited, Postdoctoral Mentoring Plan, and Data Management Plan.

4. The system will be updated in the future to add support for other types of proposals and types of submissions.

5. Not all NSF policy requirements are currently enforced by automated compliance checks.

6. Current and Pending Support document checks apply to both proposals and to documents submitted with Research Performance Progress Report (RPPR) submissions when active other support has changed.

7. Compliance checks are triggered by "Allow SPO/AOR access" and "Submit" to NSF functions. There are additional actions while preparing a proposal that will trigger a compliance check (e.g., uploading documents).

8. **Error** - Checks triggering an error will result in a hard stop and prohibit proposal submission to NSF.

9. **Warning** - Checks triggering a warning will allow proposal submission to NSF.

Questions may be directed to the NSF Help Desk at 1-800-381-1532 (7:00 AM - 9:00 PM ET; Monday–Friday except federal holidays) or via email to rgov@nsf.gov.