

Completed PSR, detailed budget, and proposal guidelines must be submitted to OCG at least **5 BUSINESS DAYS** before sponsor deadline.
For information about form questions, refer to [PSR User Guide](#).

Proposal #
Proposal Analyst

CU Personnel Information

Principal Investigator (PI) Name

Email Phone Unit Org #

Co-PI/Co-I Information (CU employees only.) To ensure correct project setup, the associated department org code for each Co-PI is required.

Name Phone Unit Org #

Name Phone Unit Org #

Name Phone Unit Org #

Name Phone Unit Org #

Submission Information

Project Title

Funding Opportunity No./URL

Submission Deadline Proposal Type Activity Type

Name of funder that will directly fund CU (lead institution if CU is sub)

Funder Contact Prime Sponsor (if CU is sub)

Contact Phone Contact Email

For collaborative proposals, lead institution: Project Topical Field

Budget Information

If this project will require multiple SpeedTypes for individual departments, a separate budget for each department must be prepared and provided to the Department Fiscal Manager, who will then coordinate with CCO during project setup to establish the appropriate SpeedType(s).

Project Start Date

Project End Date

Yes No Does the sponsor have an **indirect cost rate cap** lower than CU's on-campus rate? Sponsor Rate
If CU Boulder's on or off-campus F&A rates are not being applied, you must provide one of the following: 1. For federal or non-profit sponsors with documented F&A rates, a copy of the sponsor's standard F&A policy and [IDC Addendum](#) signed by your department chair or dean; OR 2. For all other reduced F&A rates, including industry sponsors, a CU Boulder [Indirect Cost Waiver Request](#).

Yes No Are **cost share or matching** funds budgeted? If yes, select type(s) of cost share: Mandatory Voluntary
A Cost Share Budget and [Addendum](#) with approvals and signatures is required for all committed Cost Share at least 5 business days before submission. Note that any requests to RIO for cost share must be initiated 5 business days before a deadline to be considered for approval.

Yes No Are you requesting any **course buy-outs** on this proposal?
If yes, your Proposal Analyst will let you know what Department and/or College approvals are required prior to submission.

Indirect Cost Recovery (ICR)

OCG documents the need for a split and associated departments. An **ICR Split Request Form**, submitted at proposal or award, is required and will be collected and managed by the Campus Controller's Office (CCO). ICR negotiations and approvals are the responsibility of PIs and departments to complete. See the [ICR Split webpage](#) for information and forms. If a split is anticipated, provide the names of affected departments and their org code.

Yes No Is there an **indirect cost recovery (ICR) split** on this project? If a split is anticipated, provide the names of affected departments and their org code below.

Unit Org # Unit Org #

Unit Org # Unit Org #

Project Information

- Yes No Is this application being **submitted to other agencies**?
- Yes No Is the research performance site designated, or eligible to be designated, as a **historic place**?
- Yes No Does this project have an actual or potential **impact - positive or negative - on the environment**?
- Yes No Does this project involve activities outside of the United States or partnerships with **international collaborators**?

If "Yes" to any of the above questions, provide details in Other Information section below. Your Proposal Analyst may ask for clarifying information necessary for the application.

- Yes No Does this project require **space changes, renovations, or additional infrastructure**?
If yes, provide documentation describing the requested modifications and associated costs with signatures from affected and appropriate Chairs/Deans
- Yes No Does this project require **specialized information technology** equipment or facilities and/or have any special information technology requirements?
If yes, you will need to submit an [information request form](#), per the [SPSC Data Center website](#), at the proposal stage.
- Yes No Is the primary purpose of this project to **conduct activities** such as consulting, training, work for hire, standard testing, or fabricating equipment, etc. rather than research?
- Yes No If "Yes" to above question, will tagged equipment (titled to CU) be used to provide the activity?

Subrecipient(s)

For each subrecipient, complete information below and provide to your Proposal Analyst the required subrecipient documents at least 5 business days before the sponsor deadline. Required documents to be completed by subrecipient organization includes a [Subrecipient Commitment Form](#) or, for subrecipients who are FDP member organizations a [Subrecipient Statement of Collaborative Intent](#), a statement of work, budget and budget justification. For contracts only, a [Sole Source Justification](#) completed by CU Boulder PI is also required. Additional documentation may be required by the funding opportunity. If there are more than 3 participating subrecipients, indicate details in Other Information.

Institution #1 Name <input type="text"/>	Budget Allocation <input type="text"/>
PI Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>
Admin Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>
<hr/>	
Institution #2 Name <input type="text"/>	Budget Allocation <input type="text"/>
PI Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>
Admin Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>
<hr/>	
Institution #3 Name <input type="text"/>	Budget Allocation <input type="text"/>
PI Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>
Admin Name <input type="text"/>	Email <input type="text"/> Phone <input type="text"/>

Dual Use of Concern (DURC)

- Yes No Does the proposed research use any high-consequence pathogens or toxins that have the potential to be considered **dual use research of concern (DURC)**?

DURC is life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, material, or national security. DURC research requires approval by CU Boulder's Institutional Biosafety Committee. See [CU Boulder's Guidance on DURC](#), [Federal DURC Policy](#) and [United States Government Policy for Institutional Oversight of Life Sciences DURC](#), which includes a list of 15 agents and toxins and 7 experimental effects within the scope of this policy.

Other Information

If there are any unusual circumstances, requests, or items not covered by this form, note these here.

Human Subjects

IRB must review and approve all projects involving human subjects research prior to the start of project activities or release of award funds. IRB will make the final determination on whether projects involve human subjects research and any exemptions. Information available online on the [IRB webpage](#).

Yes No Does the proposed research involve [human specimens and/or data](#)?

Yes No Is this a systematic research study that includes **human participants** with the intention to generalize the resulting information?

If "Yes," **status of IRB protocol:** Pending Approval Approved - Protocol No. Approval Date

For exempt human subject research, provide [exemption number](#):

Vertebrate Animals

IACUC must review and approve all projects involving animal work, including animal work conducted at another organization, prior to the start of project activities or release of award funds. This may require adding a new grant to an existing protocol so that a comparison between the protocol and grant can be made. Additional information on grant and protocol review available on the [IACUC webpage](#).

Yes No Does this project, including any subrecipient activities, involve non-human **vertebrate animals**, including animal manipulations, generation of custom antibodies or field observations? If "Yes," complete the following vertebrate animal questions.

Check all that apply: Generating custom antibodies Use of animal tissue or blood sample Field observation studies Field animal studies

Status of IACUC protocol: Pending Approval Approved - Protocol No. Approval Date

Yes No Will the animal studies be conducted at CU Boulder?

Yes No Will vertebrate animals be euthanized?

Yes No If "Yes" to above question, is the euthanasia consistent with American Veterinary Medical Associate guidelines?

Intellectual Property (IP) and Confidential/Proprietary Information (CI)

Intellectual Property (IP) includes inventions, works of authorship (including software and code), data sets, mask works, tangible research property, tangible materials and other proprietary and confidential information. For information on IP or technology transfer, visit [Venture Partners at CU Boulder website](#) and the links under "For Innovators."

Yes No Does your proposal include **proprietary or privileged information** that should be protected from public use or disclosure? This does not include information kept confidential only for human subjects research.
If yes, ensure the application and proposal documents include the appropriate identifications and markings.

Yes No Do you have a **non-disclosure agreement (NDA)** associated with this subject matter or sponsor?

Yes No Does this project involved the **transfer of tangible research materials** from another organization to the university or from the university to another organization?

Yes No Do you anticipate **developing software or other code** as a deliverable (an item that you will deliver to the sponsor) for this project or delivering any software or code for this project that is a modification of previously developed software or code? *For the purposes of this question, "software" means any type of software, including open source software or other types of code.*

Environmental Health and Safety (EH&S)

Yes No Does the project involve the use of **lasers**?
For more information about lasers and classifications, visit [EH&S's Laser Safety webpage](#).

If "Yes," check all that apply: Class I Class II Class IIa Class IIIa Class IIIb Class IV Other:

Yes No Does the project involve the use of **radioactive materials or x-rays**?
If yes, Radiation Safety Committee (RSC) approval is required prior to the start of the project activities. For further information and to obtain a radioactive materials license, contact RSC at radsecurity@colorado.edu and visit [EH&S's RSC webpage](#).

If "Yes," status of Radiation Safety Committee (RSC) approval: Pending Approval Approved

Yes No Does the project involve the use of **hazardous materials**?
For definitions and links to lists of Acutely Toxic Chemicals, Toxic Gases, and Explosive Chemicals, see [Hazardous Materials Definitions](#). If yes, chemical use must follow [Lab Safety Standards as determined by EH&S](#).

If "Yes," check all that apply: Acutely Toxic Chemicals Explosive Chemicals Perchloric Acid Other:
 Carcinogens/Mutagens Hydrofluoric Acid Toxic Gases

Yes No Does the project involve the use of any **biohazardous materials**?
If yes, IBC must review and authorize research prior to initiation. Information is available at [EH&S's Biosafety webpage](#).

If "Yes," check all that apply: As relevant to checked materials provide genus and species:

Biotoxins Infectious Agents Genetically-modified Agents Select Agents (regulated animal or plant pathogens)

Recombinant DNA Fetal Tissue Animal Tissue Human Tissue (including blood and immortal cells)

Human Stem Cells (If yes, enter cells line(s))

Controlled Substances Used for Research

Controlled substances refers to DEA drugs, marijuana, industrial hemp, isolated cannabinoids, etc. Industrial Hemp is defined as a plant of the genus Cannabis and any part of that plant, whether growing or not, containing ≤ 0.3% THC on a dry weight basis or processed hemp in any form. For further controlled substance definitions and guidance, see [Controlled Substances webpage](#).

- Yes No Does the proposed research involve the use of **DEA or CDA Controlled Substances** whether on or off campus? If "Yes," check all that apply:
 DEA-Controlled Drugs and Other Substances Industrial Hemp or CBD Marijuana Observational Studies Other Marijuana Research

Determination of Restricted or Controlled Activities

Disclosure of possible export concerns at proposal phase will not delay your proposal submission, but it will help minimize delays when setting up the award. The Office of Export Controls (OEC) must review the project prior to the start of the project activities and prior to the release of award funds. If any of the below apply, contact OEC at exportcontrolshelp@colorado.edu or 303-492-2889. For further information to assist in addressing these questions, see the [PSR Question Guidance](#) and the [Export Controls Primer for Researchers](#) on the OEC's website.

- Yes No Does this project or sponsor **restrict dissemination or publication** of scientific or technical data?
- Yes No Does the hardware, software or technology related to or resulting from this project have a **military end-use**?
- Yes No Does this project have a **foreign sponsor** (government, business, or non-profit)?
- Yes No Will **foreign nationals** (i.e. non-U.S. citizen without a green card) be working or collaborating on this project (including graduate students)? For information on tax implications for international students, contact an [international tax specialist](#).
- Yes No Are there **restrictions on participants** (e.g. require a clearance, restriction on foreign national participation)?
- Yes No **Does the project involve travel, transactions, or collaborations** with [Office of Foreign Assets Control \(OFAC\)](#) restricted countries? (Crimea Region, Cuba, Iran, North Korea, Syria)
- Yes No Do you anticipate any **international travel** for field research, testing, or collaboration specifically for this project? This does not include open academic conferences. If "Yes" to international travel, indicate known countries:
- Yes No Do you anticipate any **international shipments** (including but not limited to: component testing and repair, hand-carrying instruments or computing devices for field research) specifically for this project? If "Yes" to international shipments, indicate known countries:

Disclosure of External Professional Activities (DEPA) and Other Support

- Yes No Have all research personnel named on the project (PI, Co-PIs/Co-Is, or other staff) filed a **Disclosure of External Professional Activities (DEPA)** for the current calendar year?
Disclosure of external professional activities is required, minimally, on an annual basis. This proposal cannot be submitted until all CU research personnel named on the project have a current DEPA on file. Information on how to file your annual DEPA is available on the [DEPA Form webpage](#). Reminder: DEPAs must be updated within 30 days of a status change in a discloser's conflict(s) of interest, including any changes related to this proposal/award. NIH conflicts of interest (COI) training is also required every four (4) years for PHS/NIH projects. NIH COI training information is available on the [PHS/NIH Requirements webpage](#).
- Yes No Do any personnel working on this project (PI, Co-PIs/CO-Is, or other staff) or any of the personnel family members have a **financial interest in any entity outside the University of Colorado** that is providing goods, services, technologies, or other items for use in this proposed project?
If yes, information about the relationship(s) with the outside entity(ies) and the potential for conflict of interest concerns, as well as the existence of a Management Plan, must be disclosed to the sponsor. The disclosure should occur, where relevant, at proposal submission, contract negotiation, award acceptance, award continuation, or subaward issuance. Evidence of the sponsor's response must be provided upon request by university representatives. Sponsor approval of a proposal where disclosure language is clearly included may be deemed sufficient for the purpose of university business to progress.
- Yes No Will **students**, such as Graduate or Undergraduate Research Assistants, be responsible for the design, conduct, or reporting of research on this project?
Per federal regulation and university policy, students with these responsibilities are required to follow the DEPA reporting requirements as described on the [DEPA Form webpage](#). Additionally, all students or postdoc fellows paid from an NSF grant award and all trainees supported by most NIH awards are required to complete Responsible Conduct of Research (RCR) training as described on the [Responsible Conduct of Research training webpage](#).
- Yes No Do you (PI) and/or any Co-PIs/Co-Is have a **Management Plan** (previously a Memorandum of Understanding) on file or in process with the CU Conflicts of Interest and Commitment (COIC) Office?
If a conflict of interest or commitment is identified through the DEPA process, the Compliance Director of the COIC Office will work with the reporting individual and his/her Chair or Director in order to develop a Management Plan to mitigate the negative appearance or impact of a conflict on the university. For more information, visit the [COIC webpage](#).
- Yes No Have all senior key personnel (PI, Co-PIs/Co-Is, or other staff) disclosed, per sponsor requirements, in a current and pending document or as appropriate in another applicable proposal document, all resources made available to the individual in support of and/or related to all of his/her research efforts, including external support, regardless of whether or not the support has monetary value?
Review sponsor guidelines for required reporting details and/or templates. If a current and pending or other support document is not required, other appropriate disclosures should be contained within the proposal per sponsor guidelines. [CU Boulder Master Current and Pending Support Template](#) is available to track sponsored projects, unfunded collaborations and in-kind support, from all domestic and international sources. For more information, visit [Disclosing Other Support webpage](#).

(NASA) National Aeronautics and Space Administration - China Assurance

This section is required for all projects that are affiliated with NASA funding, regardless if NASA is identified as CU's Sponsor.

Yes No Is the proposal in support of an award that will be funded by NASA?

If "Yes," review the Assurance of Compliance – China Funding Restriction below and confirm your acceptance.

Yes No I (the Principal Investigator of this project) have read the Assurance of Compliance – China Funding Restriction below and attest to complying with the requirement; my signature in the Certifications section of the PSR form confirms my acceptance.

Assurance of Compliance – China Funding Restriction (DEVIATION FEB 2012)

(iv) An Assurance of Compliance with the Department of Defense and Full-Year Appropriation Act, Public Law 112-10 Section 1340(a); the Consolidated and Further Continuing Appropriation Act of 2012, Public Law 112-55, Section 539; and future-year appropriations herein after referred to as "the Acts", whereas:

- (1) NASA is restricted from using funds appropriated in the Acts to enter into or fund any grant or cooperative agreement of any kind to participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.
- (2) Definition: "China or Chinese-owned Company" means the People's Republic of China, any company owned by the People's Republic of China, or any company incorporated under the laws of the People's Republic of China.
- (3) The restrictions in the Acts do not apply to commercial items of supply needed to perform a grant or cooperative agreement.
- (4) By submission of its proposal, the proposer represents that the proposer is not China or a Chinese-owned company, and that the proposer will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

Immediately contact the Office of Export Controls at exportcontrolshelp@colorado.edu prior to submitting a PSR if this is a NASA funded project and **you anticipate answering "Yes"** to any of the following:

- (1) Do you have **any affiliation with the Chinese State** to include the Government of the People's Republic of China or entities that are part of or controlled by the Chinese State, including any Chinese university or any Chinese-owned corporation?
- (2) Do you intend to collaborate on this project with **any person with an affiliation with China**?
- (3) Are you performing any **research on behalf of a Chinese-owned** foreign corporation?
- (4) Will you be allowing **anyone from China to work in your lab** in any capacity?
- (5) Do you anticipate **traveling to China** for this or other projects?

(NIH) National Institutes of Health - Individual Fellowship Assurance

This section is required only for NIH F series (e.g., F30, F31, F32, F33) proposals. The assurance is required in accordance with [NIH Grants Policy Statement](#), Section 2.3.7.6 Program Director/Principal Investigator, Individual Fellowship and Sponsor Assurance.

Yes No The NIH Fellow (PI) and Fellow's Academic Sponsor (Co-PI) as named in the Personnel section certify to the following NIH Individual Fellowship Assurance; their signatures in the Certifications section of the PSR form confirms their acceptance.

NIH Individual Fellowship Assurance

- (1) The Academic Sponsor will provide appropriate training, adequate facilities, and supervision if a grant is awarded as a result of the application.
- (2) The Fellow has read the Ruth L. Kirschstein National Research Service Award Payback and will abide by the Assurance if an award is made. (See [NRSA Payback Service Center Home Page](#) and [FAQs](#)).
- (3) If an award is made, the award will not support residency training.

Intentionally left blank.
Certifications and Signatures required on following page.

Certifications

My signature below confirms my review of the proposal. It also certifies that:

1. The information submitted within this application is true, complete, and accurate to the best of my knowledge;
2. Any false, fictitious, or fraudulent statements or claims may subject me, as the PI, to criminal, civil, administrative penalties;
3. I agree to accept responsibility for the scientific and fiscal conduct of the project and to provide the required progress reports if an award is made as a result of this application.

To the best of my knowledge at the time of proposal, I certify that:

1. All personnel on this project, including myself, are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by a federal department or agency.
2. I accept responsibility of adhering to suspension and debarment regulations during the life of the award, including notifying the Office of Contracts and Grants (OCG) immediately if there is any change in debarment status of project personnel, including Co-PIs, graduate students, other project personnel, and vendors.
3. All personnel on this project, including myself, have not and will not lobby any federal agency on behalf of this award.
4. I am familiar with the requirements of the University of Colorado's Procurement Policy and will report any violations to the Office of Contracts and Grants and/or the appropriate party per [University APS 4012 Fiscal Misconduct Policy](#). (Procurement policies are available on the [Procurement Services Center website](#).)
5. I am familiar with and will uphold the University of Colorado's Code of Conduct. (See [University Policy APS 2027 Code of Conduct](#).)
6. I will ensure that all project expenditures will be made in accordance with the terms and conditions of the award and approved project budgets and that any project salaries, wages and expenditures are reasonable, essential, and appropriate. (See [University Policy APS 4014 Fiscal Roles and Responsibilities](#) and [University Policy APS 4016 Fiscal Code of Ethics](#).)
7. If a subaward/subrecipient is included in this proposal, I confirm that I have reviewed all included subawards/subrecipients. All subawards/subrecipients' direct costs have been reviewed and appear reasonable given the proposed statement of work. All fringe benefit and indirect cost rates have been verified with the subawardees/subrecipients' organization as being current for the proposed duration of the project. (Verification may be in the form of a letter from an authorized official of the organization.)
8. I acknowledge that I am aware of, understand, and will conform to campus and University policies and procedures governing conflicts of interest and commitment. (Conflict of interest policies are available on the [Conflicts of Interest and Commitment website](#).) In addition:
 - a. I accept responsibility for ensuring that anyone responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding, including PIs, Co-PIs, research associates, postdocs, students, volunteers, collaborators, and contractors, has disclosed any financial or other potential conflicts of interest or commitment with the activities encompassed by this proposal;
 - b. For NIH/PHS-funded projects, I accept responsibility for ensuring that anyone responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding, including PIs, Co-PIs, research associates, postdocs, students, volunteers, collaborators, and contractors, has completed the required educational training before work begins.
9. I acknowledge that I am aware of, understand, and will conform to all applicable sponsoring agency and University policies regarding misconduct in research and authorship. (See [Responsible Research](#) for more information.)
10. I am familiar with the [University Policy APS 2005](#) regarding Contracting Authority and the Signature Authority Delegation guidelines for CU Boulder. (See [Signature Authority Delegations Fact Sheet](#).)
11. I agree to comply with all current and subsequently adopted University intellectual property policies ("Policies"), including as may be applicable to this proposal and any resulting award document. I will assign and do hereby assign to the Regents of the University of Colorado, a body corporate, all inventions, discoveries, and intellectual property in which the University has an interest under the Policies, whether made in the performance of the award or otherwise, and agree to promptly disclose to the University all such inventions, discoveries, and intellectual property. Furthermore, I agree to execute all necessary documents to perfect the assignment of rights or licenses as required by the award and/or Policies and to abide by all other terms and conditions of the award.

The Principal Investigator (PI) must sign and submit the PSR form to OCG at least 5 business days before the proposal deadline. For student and postdoctoral fellows serving as the PI on a fellowship proposal, the fellow's primary mentor must sign as an Other Responsible Party. Other signatures may be provided according to Department, Institute or Sponsor policies.

PI's Signature

Date

Other Responsible Party

Date

Other Responsible Party

Date

Other Responsible Party

Date

Notice: If OCG receives this form and required proposal documents with less than 5 business days before a proposal deadline, the proposal may be submitted with an abbreviated review or no review. If in subsequent review after submission, the proposal is found to be incomplete or does not conform to institutional or sponsor requirements, OCG may withdraw the proposal from consideration on behalf of the institution. Any budget errors on such submissions resulting in additional costs will be the responsibility of the PI and/or the supporting department or college.