Proposal Division Review and Approval

This procedure covers the standard division review and approval process for proposals as well as optional activities when the proposal is in the "Division Review" state.

A. Review the Proposal	1. Receive notice from Proposal Team, or
	2. Find proposal in Home Page Inbox
	3. Overview of the Proposal Workspace
	4. Review PIF
	5. Update SF424
	6. Generate PDF of SF424
	7. Review the Generated PDF
	8. OPTIONAL: Request Changes from Proposal Team
	9. OPTIONAL: Log General Comment
	10. OPTIONAL: Email Proposal Team
B. Approve the Proposal	1. Issue Division Approval (this step cannot be undone)

IMPORTANT INFORMATION

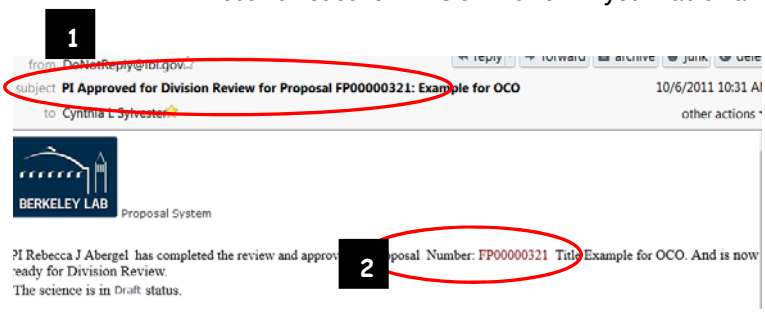
This procedure contains the specific steps in the review and submission process.
The sequence for the basic review and approval is important.
The front page can be used for reference. The following pages include step-by-step instructions with screen-shot visuals.

Please note these symbols throughout the instructions to help educate you on the process.

Caution Warning	Serious Warning	Notes	Tips	Important

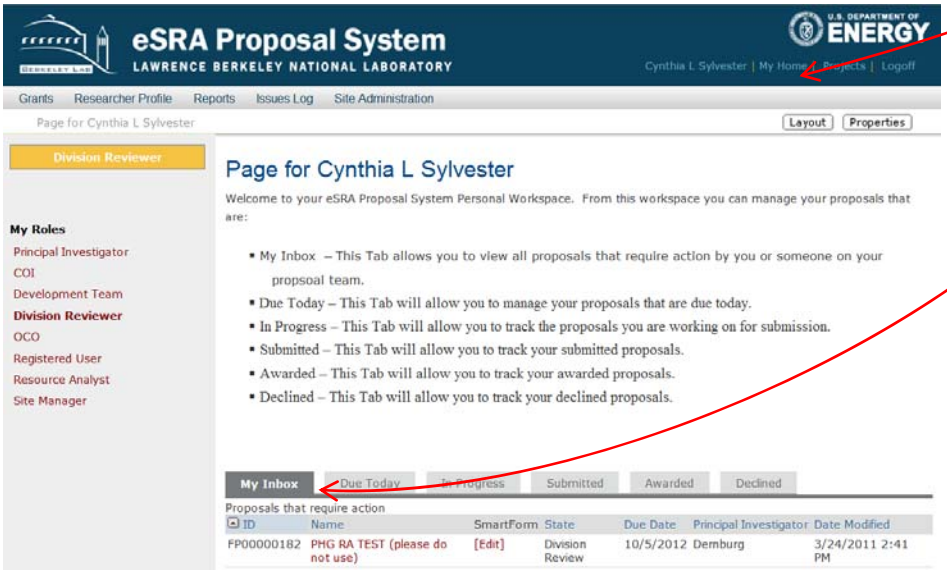
A. Review the Proposal

1. Receive notice for Division Review in your Lab email.



2. Click on this link to go directly to the proposal in eSRA.

Note: The proposal will automatically appear in your eSRA Home Inbox also. You are not required to link to it from your Lab email.



3.	Overview of the proposal workspace. The proposal workspace is like the home page for the proposal.

3a. Nickname (title) of the proposal

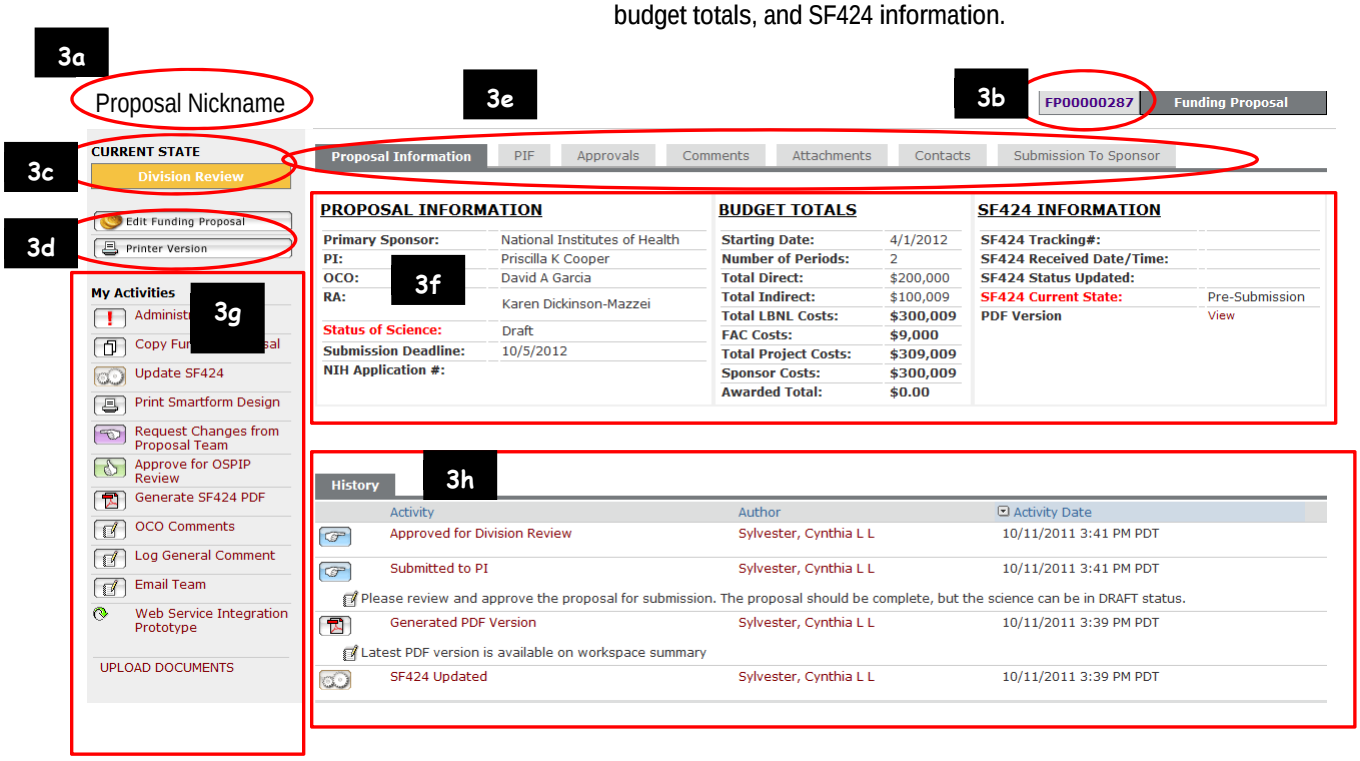
3b. Proposal number

3c. Current state of the proposal – this will determine what activities are available and who can perform actions. When the proposal is in the "Division Review" state the Proposal Team cannot update or make changes to the proposal.

3d. These are proposal components available for the division reviewer to do to the proposal: edit or print.

3e. Tabs contain specfic information. Activities relevant to the review and approval process will be explained later in these instructions.

3f. Summary information box contains: proposal information, budget totals, and SF424 information.



3g. Activities are actions available while proposal is in this state

3h. History of activities previously taken for this proposal. Comments entered and attachments to notifications are also displayed in this history section.

4.	Review Proposal Information Form (PIF)

4

Proposal Information | PIF | Approvals | Comments | Attachments | Contacts | Submission To Sponsor

Lawrence Berkeley National Laboratories

Proposal Information Form

Every grant or contract proposal must be submitted through the Office of Sponsored Projects and Industry Partnerships (OSRP) being sent to the proposed sponsor. The Proposal Information Form (PIF) accompanies the proposal to record by the Principal In Research Division indicating approval of the proposed project. The PIF is a summary of information about the project that is used approval and data management. The PIF information is not submitted to the proposed sponsor.

I. General Proposal Information

Proposal Number:	FP00000287
Deadline:	10/5/2012
Deadline Type:	Receipt
Proposal Submission Process:	Electronic via grants.gov
Direct Sponsor:	National Institutes of Health
Principal Investigator:	Priscilla K Cooper
Department:	Cancer & DNA
Division:	Life Sciences

Example

LBNL Staff Participating in the Research

Multiple PI(s)/Mentor:

Name	Role	Positive Disclosure
There are no items to display		

Sr/Key Personnel:

Name	Role	Positive Disclosure
There are no items to display		

Other Significant Contributors:

Name	Role	Positive Disclosure
There are no items to display		

Other Research Contributors:

Name	Role	Positive Disclosure
There are no items to display		

NIH FCOI disclosures have been sent to the RIIO

Project Purpose:	Fellowship/Early Career Development
Proposal Type:	New
Proposal Title:	Testing by Cynthia for Division Review Instructions
Period of Performance:	4/1/2012 to 3/31/2014
Sponsor's Total Budget:	$300,009.00

Note: The Proposal Information Form (PIF) contains a summary of the information contained in the eSRA proposal including answers to all of the internal LBNL review questions.

Use <CTL> P to print the PIF, if needed.

PIF continued....

II. LBNL Budget

Summary Budget Information (by Contract Year)

Period	Start Date	End Date	Type of Costs	Costs
1	4/1/2012	3/31/2013	Direct Costs	$100,000
			LDRD	$0
			Other NIH Indirect Costs	$50,005
			Total LBNL Costs	$150,005
			Federal Administrative Costs*	$4,500
			Total Project Costs	$154,505
2	4/1/2013	3/31/2014	Direct Costs	$100,000
			LDRD	$0
			Other NIH Indirect Costs	$50,004
			Total LBNL Costs	$150,004
			Federal Administrative Costs*	$4,500
			Total Project Costs	$154,504
Cumulative	4/1/2012	3/31/2014	Direct Costs	$200,000
			LDRD	$0
			Other NIH Indirect Costs	$100,009
			Total LBNL Costs	$300,009
			Federal Administrative Costs*	$9,000
			Total Project Costs	$309,009

Will the Waiver of FAC be Requested? ◉ **Yes** ○ No

What is the Waiver Type: NIH

Example

III. Brief Statement of Work (Abs

DOE Abstract Goes Here

Is this proposal in response to a Funding Opportunity, BAA, or other type Solicitation? Yes

Funding Opportunity Name and Number: G.g AT07 and NIH Ext-UAT Test FOA (R01)FOA00000100

Funding Opportunity URL: Information URL for FOA00000100

IV. Review Information

Human and Animal Subjects

Are Human Subjects involved in this project? ○ Yes ◉ **No**

Description of the type of Human Subjects use that will occur in the proposed research in order for the DOE

Is this Human Use Exempt: ○ Yes ○ No

Exemption Number if yes:

Is there Vertebrate Animal use in this project? ○ Yes ◉ **No**

Description of the type of Vertebrate Animal Use that will occur in the proposed research in order for the D(

Background Intellectual Property

Is there Background Intellectual Property? ○ Yes ◉ **No**

Explained and identified, if yes.

Is Proprietary/privileged information included in the application? ○ Yes ◉ **No**

PIF continued.....

Conflicts of Interest

Did the PI have organizational Conflict of Interest in the construction of the Funding Opportunity, BAA, RFP, Solicitation, etc? Yes No

DOE Review Information

Uniqueness Statement

Proposed work required LBNL's special expertise, unique capabil ties are inadequate for proposed work:

Uniqueness Statement goes here.

The proposed project is consistent with or complimentary to the

Biological Sciences

Example

Will the proposed work adversely impact the execution of LBNL's assigned DOE program? Yes **No**

Will the proposed work create a detrimental future burden on DOE resources? Yes **No**

Does the project involve building modifications and/or construction anticipated to cost in excess of $10,000,000? Yes **No**

Estimated cost of modifications/constructions, if yes:

Does the proposal relate to Vehicle Technologies? Yes **No**

LBNL Homeland Security Program

Is this activity related in any manner to weapons of mass destruction, including but not limited to chemical, biological or nuclear weapons research or production? Yes **No**

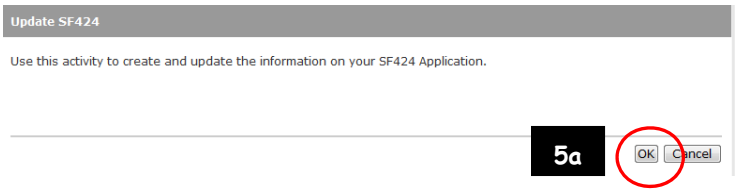
Is this activity related in any manner to threat analysis or detection or to technologies to analyze and mitigate threats? (e.g. Nuclear/Radiological, Biological, Chemical, unexploded ordinance (UXO), mines and mine detection). Yes **No**

Is this activity related in any manner to homeland security, counter-terrorism, or intelligence related work? Yes **No**

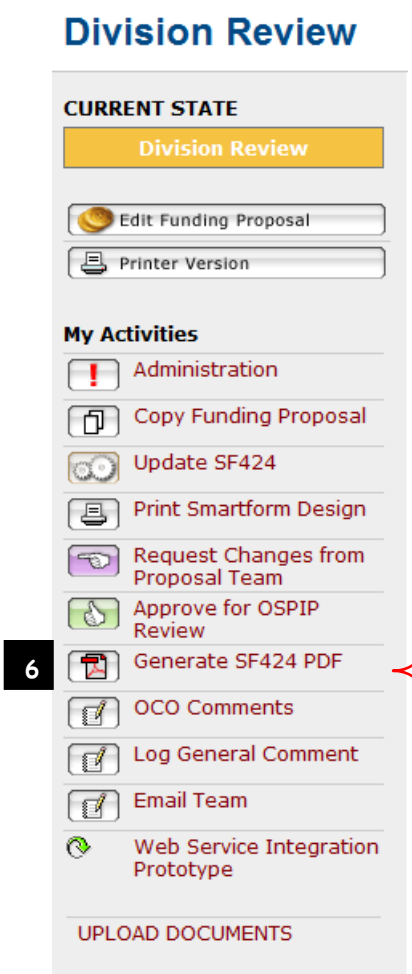
Is this activity related in any manner to proliferation detection? Yes **No**

5.	Choose “Update SF424” to ensure all data and updates made by the proposal team have been populated into the SF424.

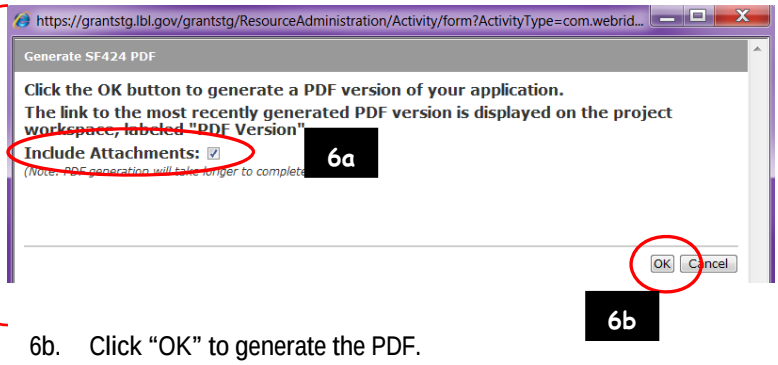
5a. Click “OK” to start the update, then wait until the process returns you to the Proposal Workspace.



6.	Generate PDF of SF424 to view document in the format the sponsor will see the application.

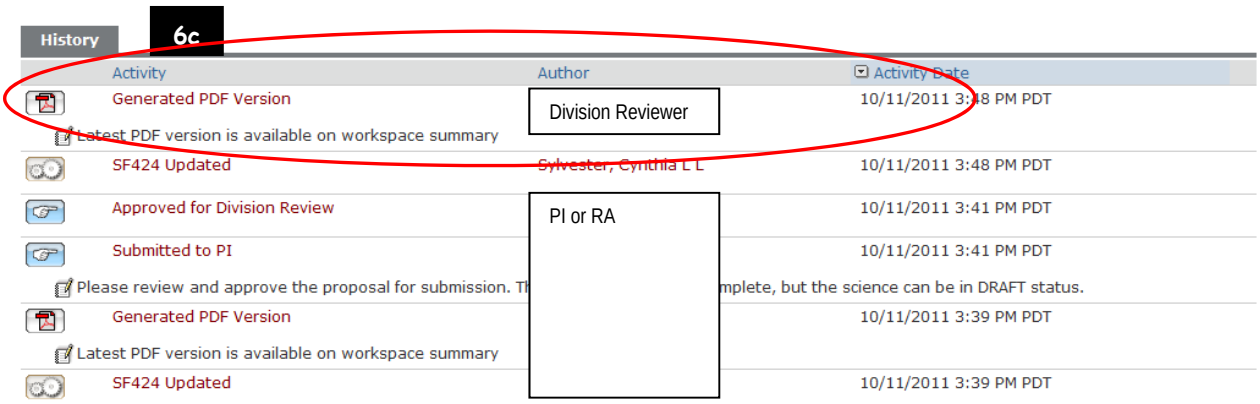


6a. Check "Include Attachments" if you want all of the uploaded documents to be merged into one PDF.
Leave unchecked if you only want to review the SF424 form pages only.



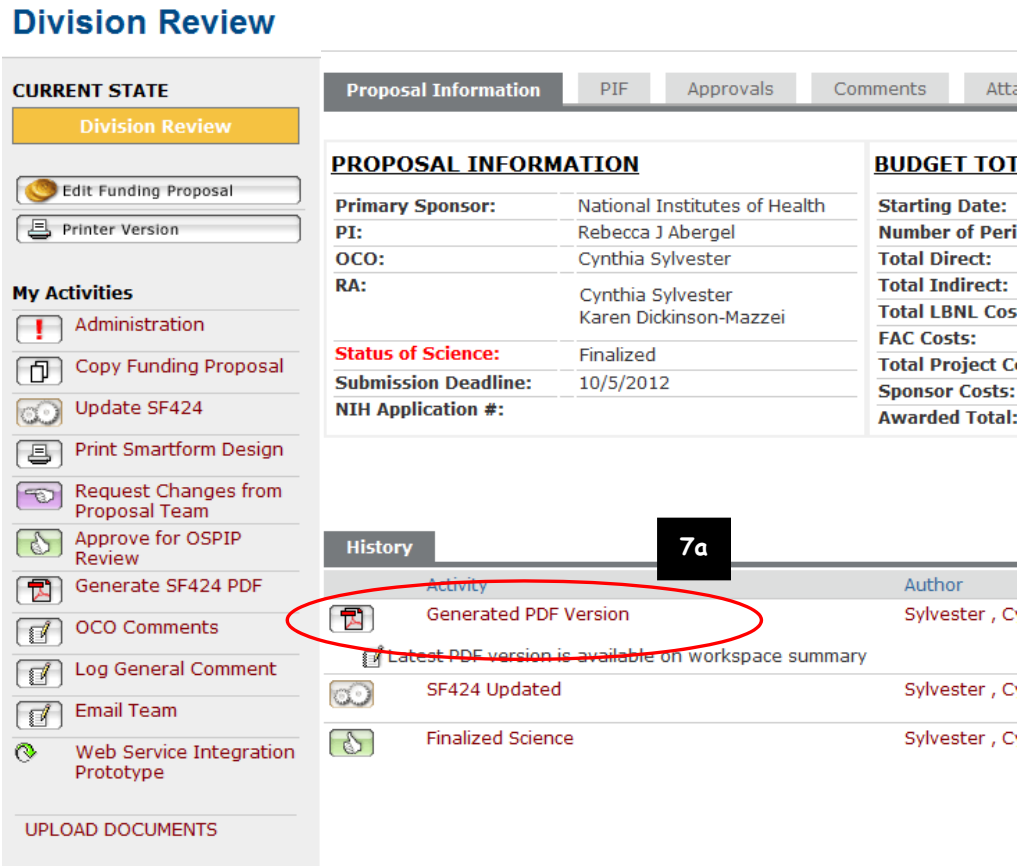
6b. Click "OK" to generate the PDF.

6c. The Generated PDF Version will show in the History Tab of the proposal workspace and indicate who generated it along with the date and time.

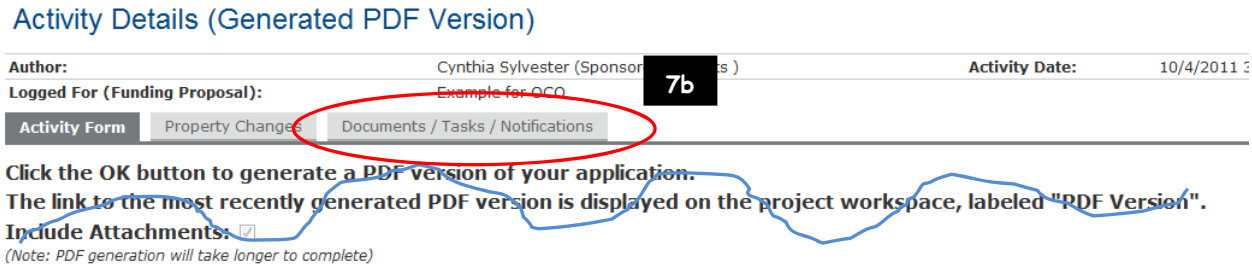


7.	Review the Generated PDF from the History Log

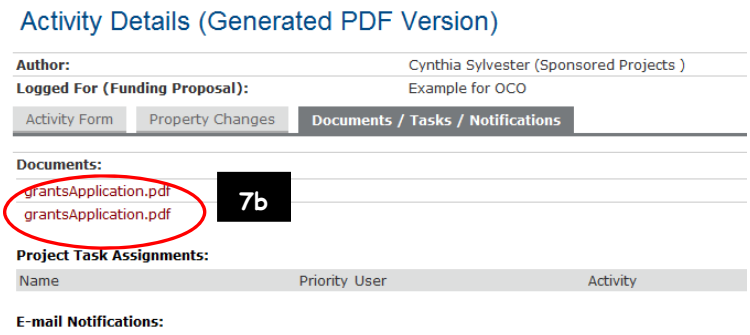
7a. Click on the highlighted " Generated PDF Version" text to access the document.



7b. Select "Documents/Tasks/Notifications"



Ignore these instructions. They are incorrect and we are working with the programmers to have them removed.



7c. Select one of the PDF files to review. (They are the same.)

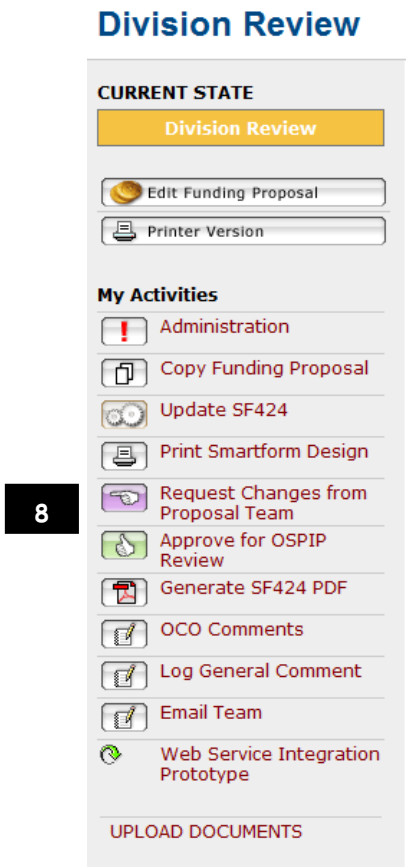
Use <CTL> P to print the PIF, if needed.

8.	OPTIONAL: Request changes from Proposal Team – This will send an email notification to the Proposal Team (PI and RA(s)) and save the message, with comments and attachments, in the history section of the proposal workspace.

This step is optional. If changes are not required, this step can be skipped.

This step can be repeated as many times as needed.

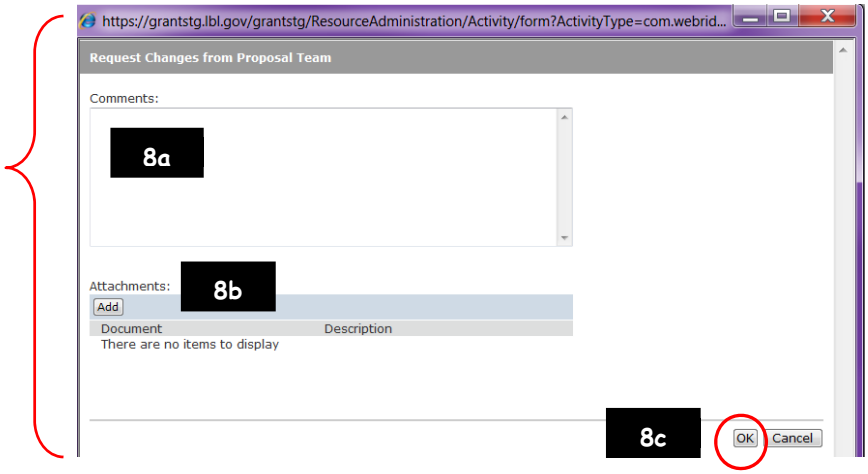
Another option is to "Email the Proposal Team" without sending it back for changes. See step 10 for those instructions.



8a. Comments can be entered in the box.

8b. Documents can be added when requesting changes.

8c. "OK" to submit the request.



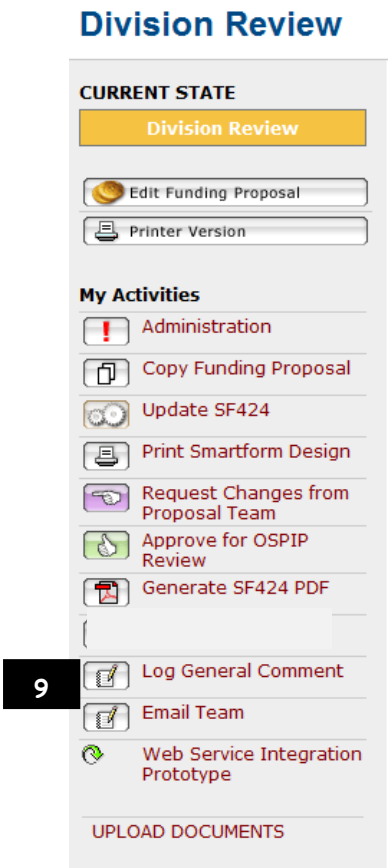
Note: Changes will come directly back to the Division Reviewer and do not require PI approval again.

When the proposal is in "Division Review: Requesting Changes" state, the proposal will not show in the inbox of the Division Reviewer but should be available in the Grants list on the menu bar.

Requests for changes and Submission of Changes will be recorded in the History Log.

Submitted Changes to Division	PI or RA	10/11/2011 3:51 PM PDT
Requested Changes from PT Requesting additional changes	Division Reviewer	10/11/2011 3:51 PM PDT
Submitted Changes to Division changes made	PI or RA	10/11/2011 3:50 PM PDT
Requested Changes from PT Request Changes from Proposal Team	Division Reviewer	10/11/2011 3:50 PM PDT
Generated PDF Version Latest PDF version is available on workspace summary	PI or RA	10/11/2011 3:48 PM PDT
SF424 Updated	Division Reviewer	10/11/2011 3:48 PM PDT
Approved for Division Review	PI	10/11/2011 3:41 PM PDT

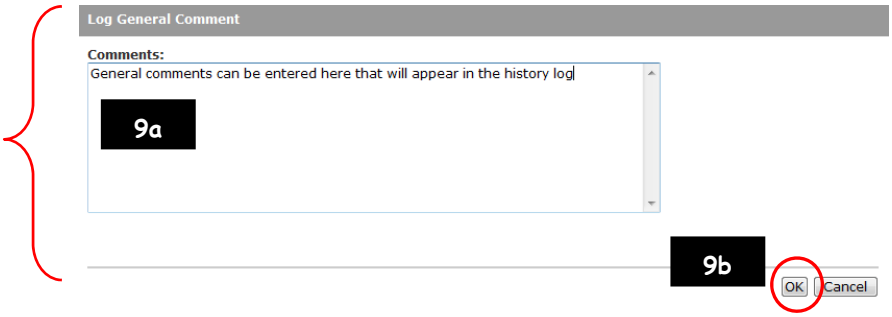
9.	OPTIONAL: Log General Comment – This will enter the comment in the History Log, but no one will be notified.



9a. Comments should be entered in the box.

9b. "OK" to submit.

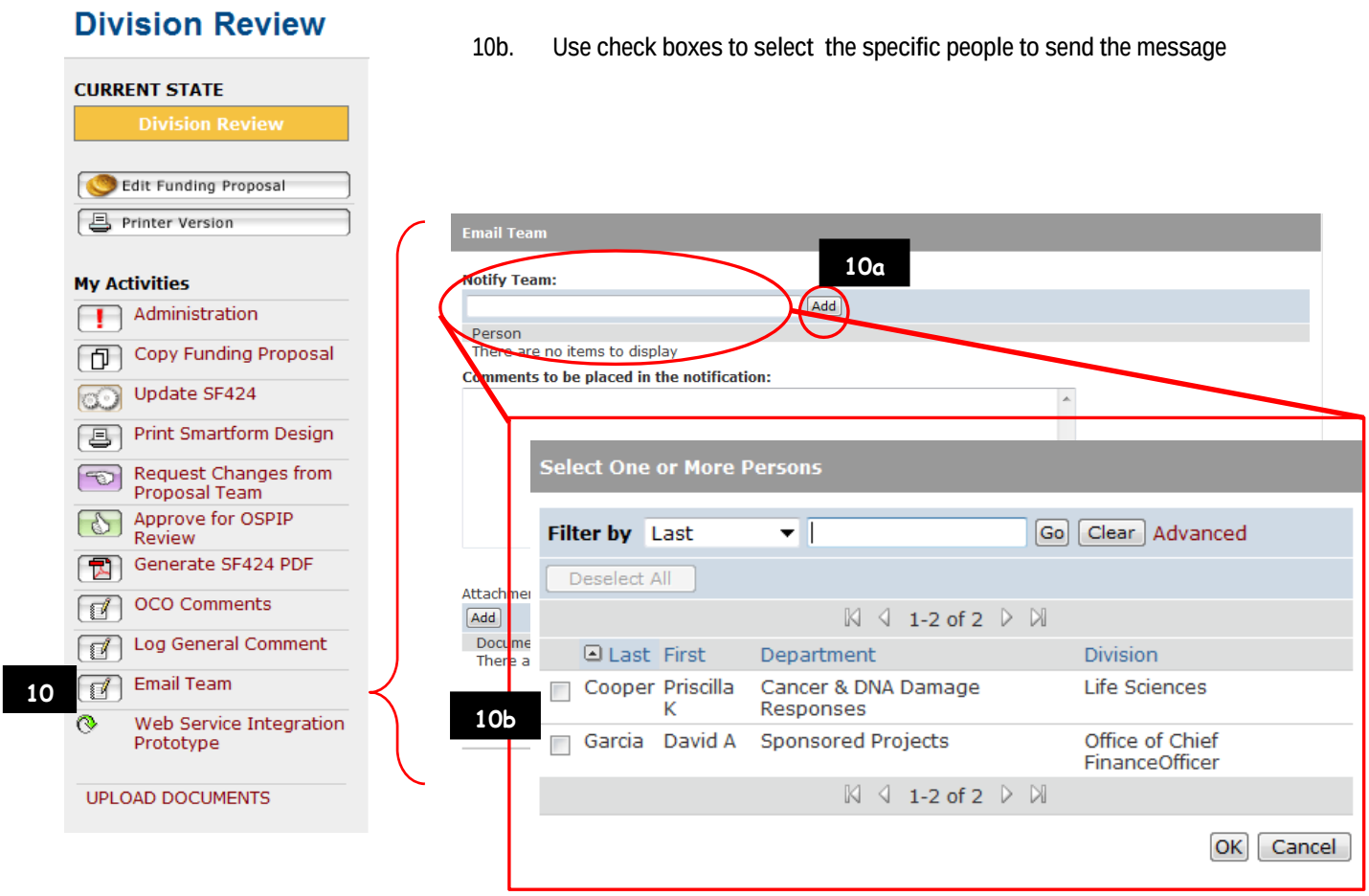
This step can be repeated as many times as needed and is available to anyone with access to the proposal.



10.	OPTIONAL: Email Proposal Team – This will send an email notification to specific people on the Proposal Team and save the message, with comments and attachments, in the history section of the proposal workspace.

10a. Click "Add" to select the people on the Proposal Team to notify.

10b. Use check boxes to select the specific people to send the message



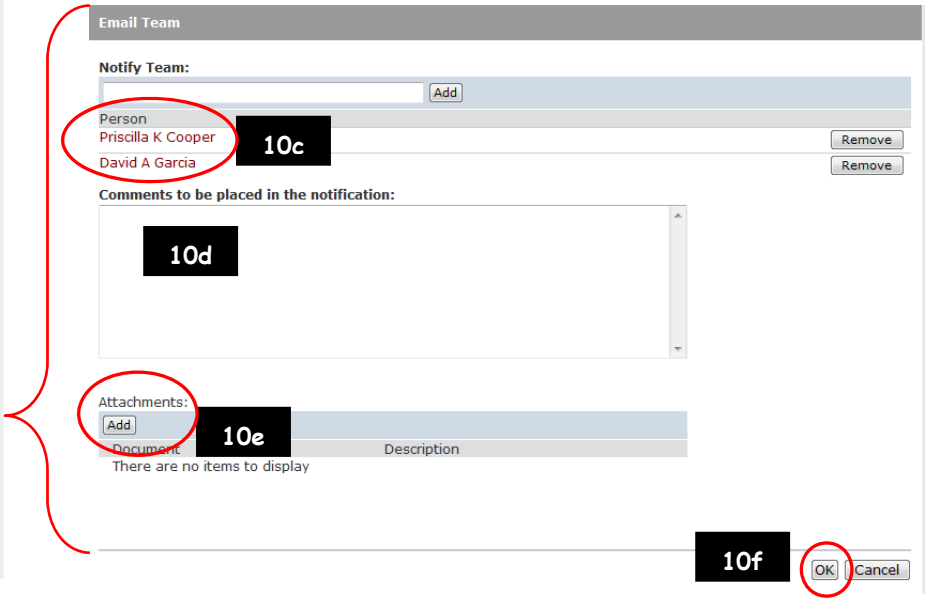
10c. Once selected, the names will appear in the “Email Team” Window

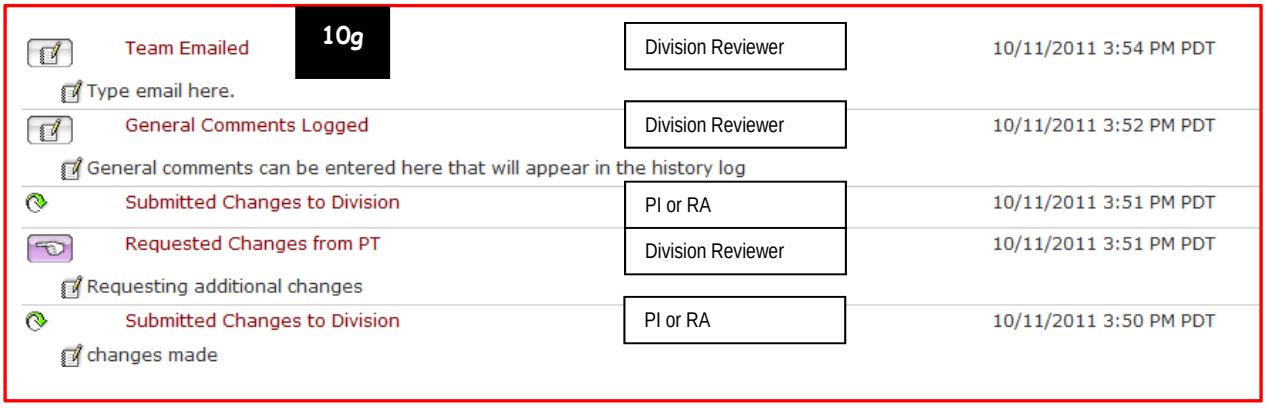
10d. Comments or changes can be entered in the box.

10e. Documents can be added when requesting changes.

10f. “OK” to submit the request.

10g. The email will be noted in the History Log.





B. Approve the Proposal for OSPIP Review

Important: The proposal can be submitted to OSPIP with Draft Science; but the remainder of the proposal should be complete.

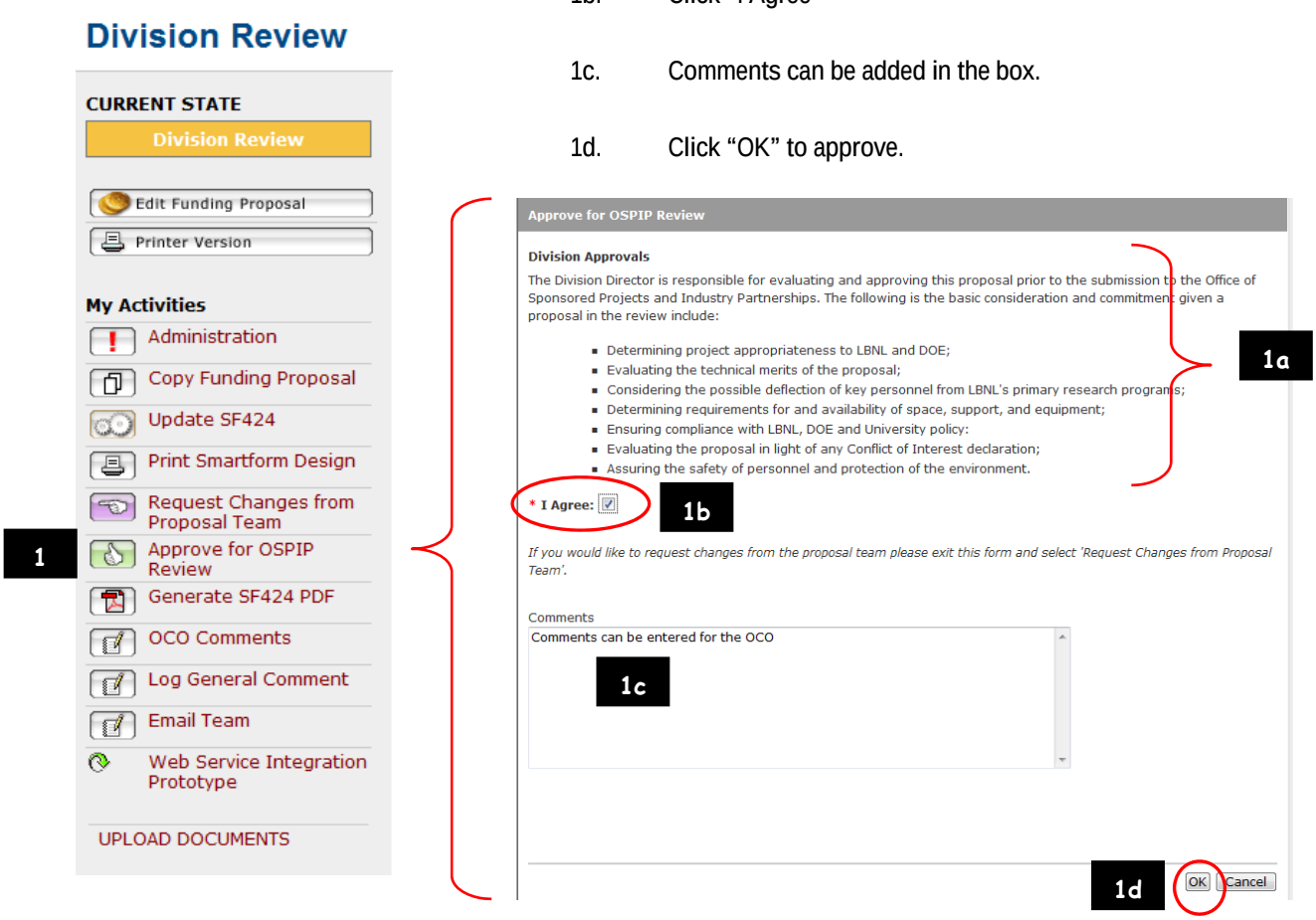
1	Approve for OSPIP Review

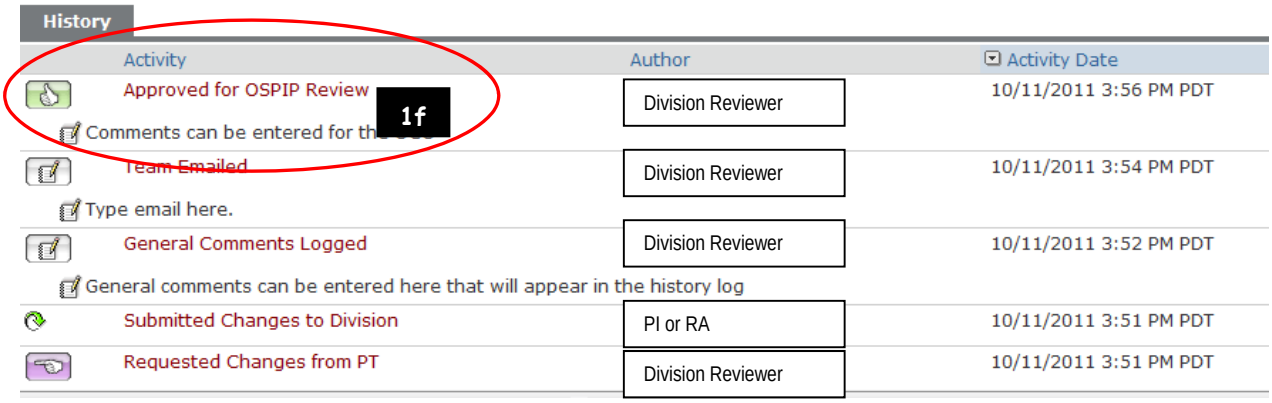
1a. Confirm the Division Approvals.

1b. Click “I Agree”

1c. Comments can be added in the box.

1d. Click “OK” to approve.



1e. The State will change to "OSPIP Proposal Review"

1f. The approval is recorded in the History Log and the OSPIP CO identified in the proposal will be notified in their Lab email and the proposal will now show in their inbox.