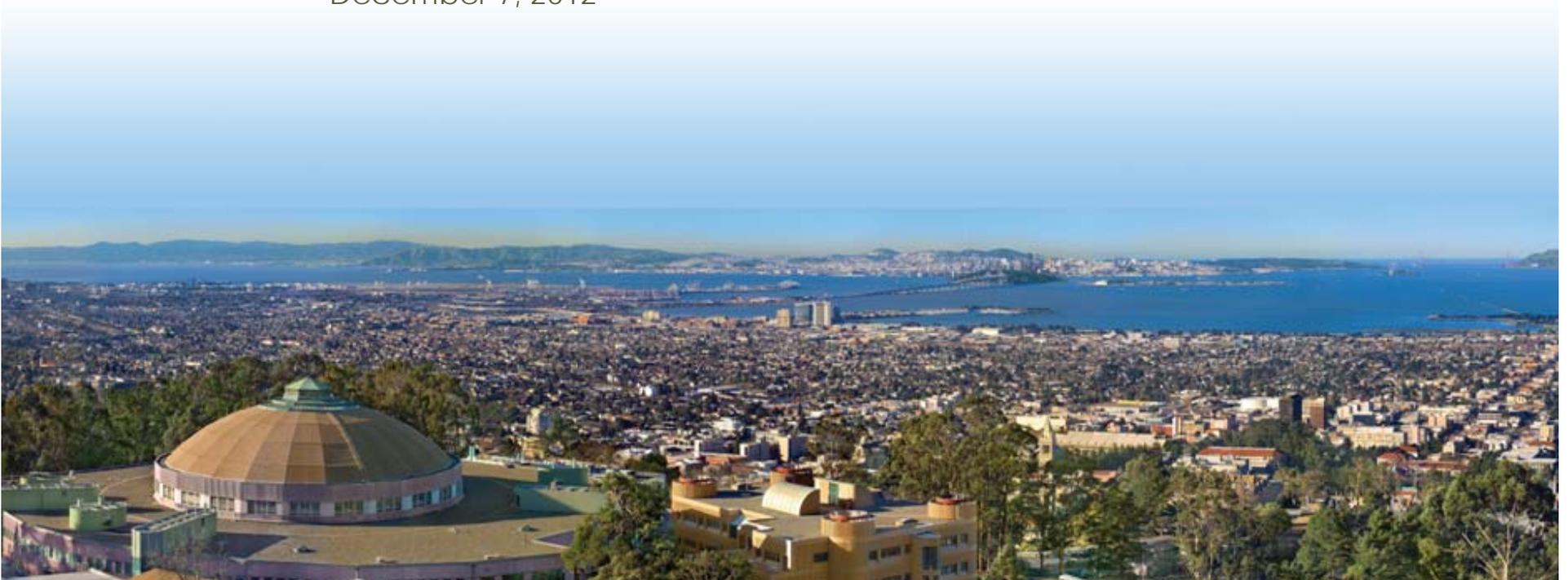


eSRA JIT and Negotiations

After the Proposal and Before the Award
Cynthia Sylvester and Parth Banker

December 7, 2012



Internal Approvals

- Which approvals are required is determined by answers in the eSRA proposal

Proposal Information	PIF	DOE	Approvals	Comments	Attachments	Contacts	Sub To
----------------------	-----	-----	-----------	----------	-------------	----------	--------

Type of Approval	Status of Approval	Approver	Date Approved
NEPA/CEQA:	Pending Request		
COI:	Not Required		
DOE Science:	Approved	Donna-Marie Spencer	9/11/2012 1:56 PM
DOE FAC Waiver:	Approved	Douglas Low	9/11/2012 2:05 PM
DOE Foreign:	Not Required		
DOE Non-Standard Agreement:	Not Required		
DOE-IP:	Not Required		
DOE Proposal:	Approved	Jacolyn Byrd	9/11/2012 2:09 PM
Export Control:	Not Required		
Homeland Security:	Not Required		
Tech Transfer:	Not Required		
Gifts:	Not Required		
Fellowship IDC Waiver:	Not Applicable		
Over Salary Cap:	Not Requested		
Non-Standard Financial Terms:	Not Requested		
Human Subjects:	Not Required		

IRB Studies:

Protocol ID	Protocol Title	Protocol File Number	Expiration Date	NOITR Reviewing Campus
There are no items to display				

Animals:

Not Required

IACUC Studies:

Protocol ID	Protocol Title	Protocol File Number	Expiration Date
There are no items to display			



Internal Approvals

- Some are manually requested
 - DOE approvals are submitted by the OSPIP CO
 - IACUC and IRB approvals are requested with Certification Request Form submitted by the PI
- Some are requested automatically by the eSRA system
 - COI – at time proposal is submitted to OSPIP if there are any positive disclosures
 - NEPA-CEQA when proposal moves into the “Negotiation” state

Email Team

- Select from the “team” of people identified in the proposal
 - RA(s)
 - PI
 - Multiple PI(s) on NIH proposals
 - Key Persons
 - OSPIP Contracts Officer

CURRENT STATE

Awaiting Response from Sponsor

View Submission

Printer Version

View Differences

Print PIF View

My Activities

Copy Proposal

Generate SF424 PDF

Log General Comment

Email Proposal Team

Email Team

- Select from the “team” of people identified in the proposal
 - RA(s)
 - PI
 - Multiple PI(s) on NIH proposals
 - Key Persons
 - OSPIP Contracts Officer

Select One or More Persons

Filter by Last [Advanced](#)

1-4 of 4

<input type="checkbox"/>	Last	First	Department	Division
<input checked="" type="checkbox"/>	Dickinson-Mazzei	Karen	Office of Chief FinanceOfficer	OCFO Field Operations Unit
<input checked="" type="checkbox"/>	Serrano	Elma	Office of Chief FinanceOfficer	OCFO Field Operations Unit
<input checked="" type="checkbox"/>	Sylvester	Cynthia	Sponsored Projects	Office of Chief FinanceOfficer
<input checked="" type="checkbox"/>	Weier	Heinz-Ulrich	Life Sciences	Cancer & DNA Damage Responses

Email Proposal Team

Notify Team:

First Name	Last Name	Employer	Title
There are no items to display			

Comments to be placed in the notification:

Attachments:

Document	Description
There are no items to display	

Email Team

- Send email comments
- Attach document(s) to the email
- Email comments and attachment will be stored in the History Section

Email Proposal Team

Notify Team:

First Name	Last Name	Employer	Title	
Karen	Dickinson-Mazzei	OCFO Field Operations Unit		<input type="button" value="Remove"/>
Cynthia	Sylvester	Sponsored Projects	Principal Contracts Officer	<input type="button" value="Remove"/>

Comments to be placed in the notification:

Comments to the team are entered here and show in History

Attachments:

Document	Description
----------	-------------

History	Funding Awards	
Activity	Author	Activity Date
<input type="checkbox"/> Proposal Team Emailed	Serrano, Elma L	<input checked="" type="checkbox"/> 12/5/2012 10:25 AM PST
<input type="checkbox"/> Comments to the team are entered here and show in History		
<input type="checkbox"/> Attachment_1.pdf		

Add Post Award RA

- Why?
 - They will be added to the “team” for email communications
 - They will receive automatic email notifications as the proposal moves toward award
 - The proposal will appear in their Home Page
- When?
 - At any time after the proposal is submitted to the sponsor
- Who can add a Post Award RA to the team?
 - Anyone with the RA role
 - PI on the proposal
 - Any OSPIP CO

Yes, you can add yourself !

Awaiting Response from Sponsor

- View Submission
- Printer Version
- View Differences
- Print PIF View

My Activities

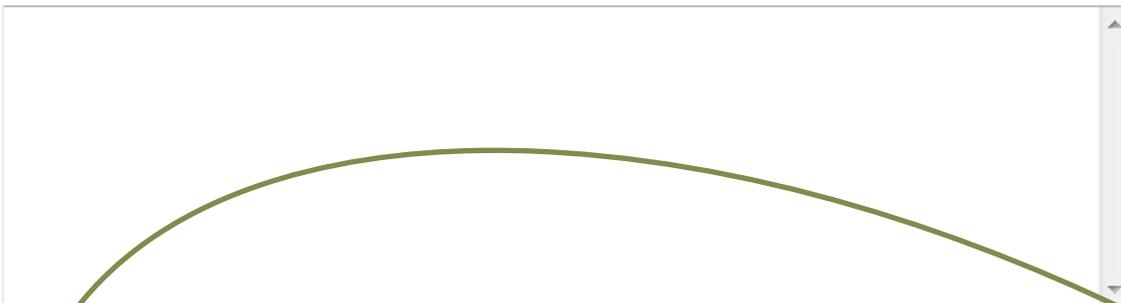
- Copy Proposal
- Generate SF424 PDF
- Log General Comment
- Email Proposal Team
- Edit RAs
- Edit Post Award RAs**

NIH Other Support

- When requested by NIH, OSPIP CO uses eSRA (instead of regular email) to request Other Support
- RA or PI can submit OS as an attachment

Upload NIH OS As Requested

Comments:



Attachments:

Document	Description
There are no items to display	

Awaiting Response from Sponsor

 View Submission

 Printer Version

 View Differences

[Print PIF View](#)

My Activities

 Copy Proposal

 Generate SF424 PDF

 Log General Comment

 Email Proposal Team

 Request IACUC CRF

 Upload NIH OS As Requested

 Edit RAs

 Edit Post Award RAs

Upload NIH Other Support As Requested

- OSPIP CO is notified by email
- Other Support is stored in the History Section

Upload NIH OS As Requested

Comments:

Attachments:

Add

Document	Description
Other Support.pdf(0.01)	

Upload Revision View Delete

History Funding Awards

Activity	Author	Activity Date
 NIH OS Uploaded As Requested  Other Support.pdf	Omoto, Karen L	12/5/2012 10:57 AM PST

Other Documents Requested by Sponsor

- Any documentation requested by the sponsor should be requested through eSRA and submitted through eSRA.

Certification Review Form (CRF)

- Separate Request is submitted for IRB and IACUC
- OSPIP CO or RA can “request” the PI to submit it
- PI submits the CRF.
- Standard information is drawn from the proposal
- PI identifies the appropriate active protocols from list provided by the HARP system
- All animal protocols are not yet in the HARP system and will required paper CRF if any of the protocols are not available in the selection list.
- CRF is routed to IACUC or IRB for review and approval.

Request CRF

- If Humans (IRB) or Animals (IACUC) work was identified on the proposal, certification may be needed.
- PI can submit without being requested
- RA and OSPIP can request CRF (a reminder to the PI it is needed)
- If both IRB and IACUC is needed, they are prepared separately
- “Request” sends email notification to PI and RA(s) and stores the request in the History Section

My Activities

-  Copy Proposal
-  Generate SF424 PDF
-  Log General Comment
-  Email Proposal Team
-  Request IACUC CRF
-  Edit RAs
-  Edit Post Award RAs

Automatic Internal Approvals

- COI is automatically requested when the proposal is submitted to OSPIP for review if there are any positive disclosures

This is one reason why it is **essential** that only complete proposals (with draft science) be submitted for OSPIP Review

- NEPA-CEQA is automatically requested when the proposal moves into the "Negotiation" state

The screenshot displays the eSRA Proposal System interface. On the left, a sidebar shows the 'CURRENT STATE' as 'Awaiting Response from Sponsor' with buttons for 'View Submission' and 'Printer Version'. The main content area features a navigation bar with 'Proposal Information', 'PIF', 'DOE', and 'Approvals' tabs. Below this, a table shows the 'Type of Approval' as 'NEPA/CEQA:' and the 'Status of Approval' as 'Pending Request'. A second, smaller version of the interface is shown below, where the 'CURRENT STATE' is 'Negotiation' and the 'Status of Approval' is 'Pending Approval', with an additional 'View Differences' button.

Request Review by Proposal Team

- If there are documents during Negotiation that need the review of the PI, RA or others on the Proposal Team, the OSPIP CO can make the request and it will be recorded in the History Section as this type of request.



Request Review by
Proposal Team

- “Validate Other Support” is a specific request (now required by NIH) to confirm that the Other Support submitted several months ago is still accurate.



Validate Other Support



Proposal “Award Pending”

- When award document arrives from the sponsor.
- The OSPIP CO “creates” the award in eSRA.
- eSRA proposal status changes to “Award Pending”
- Before an award is activated:
 - All required approvals are obtained
 - All award information is entered into eSRA
 - DOE signatures obtained, if required
 - Advance Received (or award opened on Bridge)
 - Award is integrated with RAPID
 - RAPID integration activates the award

CURRENT STATE

Award Pending

 View Submission

 Printer Version

 View Differences

[Print PIF View](#)

My Activities

 Copy Proposal

 Generate SF424 PDF

 Log General Comment

 Email Proposal Team

Reference Guides

Welcome to OSPIP

The Office of Sponsored Projects and Industry Partnerships (OSPIP) is the institutional organization responsible for submitting proposals and accepting awards from non-DOE sponsors. All proposals and awards for sponsored research must be processed through OSPIP. The Department's Contract Officers have been delegated authority from the Lab Director to submit proposals and negotiate and accept awards in accordance with [UC policy](#).

The OSPIP web site offers our customers information and forms for the Work for Others (WFO), Cooperative Research and Development Agreement (CRADA) and User Agreements Programs at LBNL. In addition, proposal forms required for Gift acceptance and working with other DOE Laboratories can be found in this site.

The Internal Resources section is password protected and is intended only for internal use by the Office of Sponsored Research and Industry Partnerships staff.

ELECTRONIC SPONSORED RESEARCH ADMINISTRATION COMES TO OSPIP.

What is eSRA?
Click on the image to learn more.



and Schedules

System being developed for tracking of proposals as well as management. When fully developed, it will process sponsored research proposals at features not available in existing team of OSPIP, BSA, IT, and the working to provide a time-saving also ensures compliance with all procedures.

bl.gov for more schedule training.

ded as needed. See the rollout files are available at [eSRA Training](#). This startup period someone from n will work with you individually are available. Resource Analysts take advantage of this d Division Reviewers can have individual training in person, or by phone.

eSRA News Updates

All Grants.gov should now go through eSRA.

09/12/2012 NEW FEATURES
[\(Recording 49 minutes\)](#)

PODCAST 2/21/2012 UPDATE

[PDF](#) of the Podcast presentation including new features and fixes in the new version.

OSPIP Process Meeting eSRA Updates: [07/31/12 \(PDF\)](#)
[recording](#)

[eSRA Training Guides \(11/02/12\)](#)
[eSRA Troubleshooting and FAQs](#)



Reference Guides



eSRA is the new enterprise system being developed for electronic submittal and tracking of proposals as well as non-financial award management.

eSRA Training is being developed and rolled-out as needed. Written guides are available here. If you need training during the start-up period someone from the eSRA Development Team will work with you individually until formal training classes are available. Resource Analysts developing proposals should take advantage of this one-on-one training. PIs and Division Reviewers can have individual training in person, or by phone.

Contact eSRAHelp@lbl.gov to schedule training.

eSRA Training Guides +

Updated	Topic	For	Description
12/02/11	Discontinue Proposal	RA	Discontinue Proposal Step by Step
11/08/11	Div Director Review	Div Dir	Review/Approval processes Step by Step for Division Directors or Designees
01/27/12	Division Director Quick Reference	Div Dir	Quick Reference for Div Director Review/Approval
09/19/12	DOE/BSO Proposal Approval	DOE/BSO	DOE/BSO Proposal Review and Approval
09/26/12	DOE/BSO Award Approval	DOE/BSO	
10/28/11	Getting Started	All	
10/12/12	IACUC Certification Process	HARC IACUC Certifier	
10/12/12	IRB Certification Process	HARC IRB Certifier	
03/19/12	Navigation	All	
06/19/12	NEPA/CEQA	NEPA/CEQA Staff	
11/08/11	OSPIP Review	OSPIP	
10/12/12	PI IACUC CRF	PI	

- Reference Materials

- FAQ & Troubleshooting

eSRA FAQ and Troubleshooting

Search this site

Guides

- Berkeley Lab Home
- OSPIP Home Page
- eSRA Home Page
- FAQ Guide
- Troubleshooting

Home

- FAQ Guide
- Troubleshooting

Return to [OSPIP Home Page](#)

The **FAQ Guide** answers the most Frequently Asked Questions about how to perform certain functions within eSRA.

The **Troubleshooting Guide** includes workarounds of fixes for known problems and corrective actions for common mistakes.

This site is managed by the eSRA Functional Leadership Team. If you have a question or problem not addressed here, please send email to eSRAHelp@lbl.gov