



## NEPA/CEQA Review and Approval

This procedure covers the entire review and approval process for NEPA/CEQA for proposal in the eSRA system.

A. Access eSRA	<ol style="list-style-type: none"> <li>1. Shortcut from an LBNL browser</li> <li>2. Alternate ways to find eSRA</li> <li>3. Review "My Home"</li> </ol>
B. Automated Request	<ol style="list-style-type: none"> <li>1. NEPA/CEQA request for review is automated</li> </ol>
C. Proposal Workspace	<ol style="list-style-type: none"> <li>1. Select Proposal to Review</li> </ol>
D. Reviewing NEPA/CEQA Answers	<ol style="list-style-type: none"> <li>1. Answers provided by the PI are on the Proposal Information Form Tab (PIF)</li> </ol>
E. Reviewing Proposal in eSRA	<p>Method 1: Review the full application submitted to the sponsor</p> <p>Method 2: Find the individual Application documents in the "Attachments" tab</p>
F. Approve NEPA/CEQA	<ol style="list-style-type: none"> <li>1. Click on the "Approve NEPA/CEQA" activity button</li> </ol>
G. Finding NEPA/CEQA Approval in the Proposal	<ol style="list-style-type: none"> <li>1. While still inside the proposal workspace:</li> <li>2. From the home workspace:</li> </ol>

### IMPORTANT INFORMATION

This procedure contains background information and the specific steps in the review and approval process.

The sequence is not important.

The front page can be used for reference. The follow pages include step-by-step instructions with screen-shot visuals.

Caution Warning	Serious Warning	Notes	Tips	Important

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## A. Access eSRA

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1.	Shortcut from an LBNL browser
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- 1a. Type "Grants" in any LBNL Browser. This should be the short-cut to eSRA
- 1b. Click "Login"
- 1c. Use LDAP username and password to access eSRA



A screenshot of the 'CENTRAL LOGIN FACILITY' form. The form is titled 'Please login below with your LBNL LDAP username and password:'. It contains two input fields: 'USERNAME:' and 'PASSWORD:'. A 'Login' button is located below the password field. A red circle highlights the entire login form area. A black box with the text '1c' is overlaid on the left side of the form.

2.	Alternate ways to find eSRA
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2a. LBNL's A-Z index under eSRA

2b. From email link

Need notification entered here.

3.	Review "My Home"
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- 3a. "My Home" will take you to your personal workspace.
- 3b. Orange title bar indicates the role that determines what your home workspace looks like. This role "NEPA" is for the NEPA/CEQA Reviewer.
- 3c. It is possible for a person to have more than one role.
- 3d. "Inbox" tab: Some roles have many tabs in their personal workspace, in order to arrange the work they are associated with their role.
- 3e. Items on the "inbox" tab require action by the person with this role.
- 3f. "Proposals" will show all proposals in the system.
- 3g. "Logoff" button

The screenshot displays the 'My Home' workspace for Jeffrey Philliber. Key elements include:

- 3a:** The top navigation bar with 'My Home' and 'Logoff' links circled in red.
- 3b:** The 'NEPA' role bar highlighted in yellow and circled in red.
- 3c:** The 'My Roles' section showing 'NEPA Registered User' circled in red.
- 3d:** The 'My Inbox' tab circled in red.
- 3e:** The table of proposals requiring action circled in red.
- 3f:** The 'Proposals' tab in the top navigation bar circled in red.

ID	Name	SmartForm	State	Due Date	Principal Investigator	Date Modified
FP0000092	BSO Demo	[Edit]	Negotiation	3/15/2012	Cooper	5/17/2012 10:58 AM
FP0000080	JIT - In OCO Review	[Edit]	Negotiation	3/15/2012	Blakely	3/8/2012 1:49 PM

## B. Automated Request

1. NEPA/CEQA Request for review is automated.



The "Approvals" tab is a general information tab that all roles with access to the proposal can view. It is a display one tab.

- 1a. In the "Awaiting Response from Sponsor" state (and all prior proposal preparation states), the NEPA/CEQA Approval status is "Pending Request."
- 1b. When the proposal enters the "Negotiation" state, the NEPA/CEQA Approval status changes to "Pending Approval."

**1a**

**CURRENT STATE**

Awaiting Response from Sponsor

Edit Submission

Printer Version

Proposal Information
PIF
DOE
Approvals
Comments

Type of Approval	Status of Approval	Approver
NEPA/CEQA:	Pending Request	



An automated notification is sent to all NEPA/CEQA Reviewers when the proposal changes states.

**1B**

**CURRENT STATE**

Negotiation

Edit Submission

Printer Version

Print PIF View

Proposal Information
PIF
DOE
Approvals
Comments

Type of Approval	Status of Approval	Approver
NEPA/CEQA:	Pending Approval	

## C. Proposal Workspace

1. Select Proposal to Review

**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF ENERGY  
Jeffrey Philliber | My Home | Projects | Logoff

Proposals Company Profiles  
Page for Jeffrey Philliber Layout

**NEPA**

**My Roles**  
NEPA  
Registered User

**Page for Jeffrey Philliber**  
Welcome to your eSRA Proposal System Personal Workspace. From this workspace you can manage your proposals that are:

- My Inbox – This Tab allows you to view all proposals that require action by you or someone on your proposal team.

**My Inbox**

Proposals that require action

ID	Name	SmartForm	State	Due Date	Principal Investigator	Date Modified
FP00000092	BSO Demo	[Edit]	Negotiation		Cooper	5/17/2012 10:58 AM
FP00000080	JIT - In OCO Review	[Edit]	Negotiation	3/15/2012	Blakely	3/8/2012 1:49 PM

1

- 1a. Actions can be taken for the proposal as a whole (for example: View, Print).
- 1b. Activities can be done to the proposal; in this case, "Approve NEPA/CEQA." Only the actions that a person is permitted to do, based on their role, will appear in this section.
- 1c. Tabs provide access to specific kinds of information. For example: in the Proposal Information Tab, summary information is provided.

**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF ENERGY  
Jeffrey Philliber | My Home | Projects | Logoff

Proposals Company Profiles  
Proposals > JIT - In OCO Review

**JIT - In OCO Review** FP00000080 Proposal

**CURRENT STATE** **1a**  
Negotiation

View Submission  
Printer Version  
Print PIF View

**My Activities**  
Approve NEPA or CEQA **1b**

You do not have the privileges to create Projects with this Project Creator Component.

(Proposal - Proposed)

**Proposal Information** **1c**  
PIF DOE Approvals Comments Attachments Contacts New Sponsor Requests Change Log

**PROPOSAL INFORMATION**

<b>Primary Sponsor:</b>	NIH AGING, NATIONAL INSTITUTE ON
<b>Foreign Location:</b>	
<b>PI:</b>	Eleanor Blakely
<b>OCO:</b>	Cynthia Sylvester
<b>RA:</b>	Erin Reiche Elma Serrano
<b>Status of Science:</b>	Finalized
<b>Submission Deadline:</b>	3/15/2012
<b>NIH Application #:</b>	IA123456

**BUDGET TOTALS**

<b>Starting Date:</b>	9/1/2012
<b>Number of Periods:</b>	2
<b>Total Direct:</b>	\$100,000
<b>Total Indirect:</b>	\$75,000
<b>Total LBNL Costs:</b>	\$175,000
<b>FAC Costs:</b>	\$5,250
<b>Total Project Costs:</b>	\$180,250
<b>Sponsor Costs:</b>	\$175,000
<b>Awarded Total:</b>	\$0.00

**SF424 INFORMATION**

<b>SF424 Tracking#:</b>	
<b>SF424 Received Date/Time:</b>	
<b>SF424 Status Updated:</b>	
<b>SF424 Current State:</b>	Pre-Submission
<b>PDF Version</b>	View

- 1d. History appears on the 2<sup>nd</sup> row of tabs and provides information about activities previously taken on this proposal.

Activity	Author	Activity Date
Review by Proposal Team Requested	Sylvester , Cynthia L	3/8/2012 1:49 PM PST
Post Award RAs Edited	Sylvester , Cynthia L	3/8/2012 1:43 PM PST
RAs Edited	Sylvester , Cynthia L	3/8/2012 1:41 PM PST
Erin, I need your help with the F&A, please keep an eye out for the email.		
Negotiation Entered	Sylvester , Cynthia L	3/8/2012 1:36 PM PST

## D. Reviewing the NEPA/CEQA Answers

1. Answers provided by the PI are on the Proposal Information Form Tab (PIF).

- 1a. The PIF View can be printed
- 1b. Scroll down for answers to the NEPA/CEQA questions

**1**

**1a**

**1b**

**U.S. DEPARTMENT OF ENERGY**

**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

Proposals > JIT - In OCO Review

**JIT - In OCO Review** **FP0000080** Proposal

**CURRENT STATE**  
Negotiation

View Submission  
Printer Version  
Print PIF View

Approve NEPA or CEQA

You do not have sufficient privileges to create Projects with this Project Creator Component.  
(Proposal - Proposed)

Proposal Information **PIF** DOE Approvals Comments Attachments Contacts New Sponsor Requests Change Log

Lawrence Berkeley National Laboratories  
**Proposal Information Form**

Every grant or contract proposal must be submitted through the Office of Sponsored Projects and Industry Partnerships (OSP) prior approval before being sent to the proposed sponsor. The Proposal Information Form (PIF) accompanies the proposal to record by the Principal Investigator and s/he's Research Division indicating approval of the proposed project. The PIF is a summary of information about the project that is used for internal review and approval and data management. The PIF information is not submitted to the proposed sponsor.

**I. General Proposal Information**

**Proposal Number:** FP0000080  
**Deadline:** 3/15/2012  
**Deadline Type:** Receipt  
**Proposal Type:** Work for Others , Federal (NIH Research)  
**Proposal Submission Process:** NEPA/CEQA Non-LBNL DOE Locations  
**Direct Sponsor:** List Other DOE Facilities:  
**Foreign Location:** DOE Collaborators And Their Funding Source:  
**Foreign Country:** DOE Will Disturb Hazardous Substances:  
**U.S. Located, Foreign Control:** DOE Describe Hazardous Substances Disturbance:  
**Principal Investigator:** DOE Will Disturb Hazardous Emissions:  
**PI's Uploaded DF12:** DOE Describe Hazardous Emissions Disturbance:  
DOE Is Safety Document Needed:  
DOE Describe Safety Documentation:  
Will Work At Non LBNL Non DOE Location:  Yes  No  
NEPA/CEQA Non-LBNL Non-DOE Locations  
Describe Non-DOE Locations:  
Will Disturb Hazardous Substances:  
Describe Hazardous Substances:  
Will Disturb Hazardous Emissions:  
Describe Hazardous Emissions:  
Is Safety Document Needed:  
Describe Safety Doc:  
Will Disturb Property:  
Describe Property Disturbance:

## E. Reviewing Proposal in eSRA

Method 1.	Review the full application submitted to the sponsor
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- 1a. Scroll down in the "History" tab
- 1b. Find the "SF424.pdf" file, or other application file

**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF ENERGY

Jeffrey Philliber | My Home | Projects | Logoff

Proposals > JIT - In OCO Review

**JIT - In OCO Review** FP0000080 Proposal

**CURRENT STATE**  
Negotiation

View Submission  
Printer Version  
Print PIF View

**My Activities**  
Approve NEPA or CEQA

*You do not have sufficient privileges to create Projects with this Project Creator Component.*

(Proposal - Proposed)

**Proposal Information** | PIF | DOE | Approvals | Comments | Attachments | Contacts | New Sponsor Requests | Change Log

PROPOSAL INFORMATION	BUDGET TOTALS	SF424 INFORMATION
<b>Primary Sponsor:</b> NIH AGING, NATIONAL INSTITUTE ON	<b>Starting Date:</b> 9/1/2012	<b>SF424 Tracking#:</b>
<b>Foreign Location:</b>	<b>Number of Periods:</b> 2	<b>SF424 Received Date/Time:</b>
<b>PI:</b> Eleanor Blakely	<b>Total Direct:</b> \$100,000	<b>SF424 Status Updated:</b>
<b>OCO:</b> Cynthia Sylvester	<b>Total Indirect:</b> \$75,000	<b>SF424 Current State:</b> Pre-Submission
<b>RA:</b> Erin Reiche Elma Serrano	<b>Total LBNL Costs:</b> \$175,000	<b>PDF Version:</b> View
<b>Status of Science:</b> Finalized	<b>FAC Costs:</b> \$5,250	
<b>Submission Deadline:</b> 3/15/2012	<b>Total Project Costs:</b> \$180,250	
<b>NIH Application #:</b> IA123456	<b>Sponsor Costs:</b> \$175,000	
	<b>Awarded Total:</b> \$0.00	

**History**

Activity	Author	Activity Date
FAC Waiver Approved	Blue , Stacey	3/8/2012 1:16 PM PST
TESTING - PLEASE IGNORE		
FAC Waiver Submitted	Sylvester , Cynthia L	3/8/2012 1:14 PM PST
Proposal Package Submitted to DOE	Sylvester , Cynthia L	3/8/2012 1:14 PM PST
Submitted to Sponsor	Sylvester , Cynthia L	3/8/2012 1:13 PM PST
Issued OSPIP Approval	Sylvester , Cynthia L	3/8/2012 1:13 PM PST
Approved for OSPIP Review	Blue , Stacey	3/7/2012 10:46 AM PST
TESTING - PLEASE IGNORE!!! - TESTING		
Approved for Division Review for NIH	Blue , Stacey	3/7/2012 10:45 AM PST
TESTING - PLEASE IGNORE!!! - TESTING		
Science Confirmed as Final	Blue , Stacey	3/7/2012 10:45 AM PST
TESTING - PLEASE IGNORE!!! - TESTING		
Submitted to PI	Blue , Stacey	3/7/2012 10:45 AM PST
TESTING - PLEASE IGNORE!!! - TESTING		
Generated PDF Version	Blue , Stacey	3/7/2012 10:45 AM PST
Latest PDF version is available on workspace summary		
SF424.pdf		
Appendix1.pdf		

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Method 2. Find the individual Application documents in the "Attachments" tab

2a. Select the part of the application you want to review, such as the Research Strategy.

The screenshot displays the eSRA Proposal System interface. At the top, the header includes the Lawrence Berkeley National Laboratory logo, the text "eSRA Proposal System", and the U.S. Department of Energy logo. Below the header, there are navigation tabs for "Proposals" and "Company Profiles". The main content area is titled "JIT - In OCO Review" and shows a proposal ID "FP0000080". A navigation bar contains several tabs: "Proposal Information", "PIF", "DOE", "Approvals", "Comments", "Attachments", "Contacts", "New Sponsor Requests", and "Change Log". The "Attachments" tab is circled in red. Below this, a table lists various attachments under different categories: "Attachments:", "PI's Biosketch:", "PI's Uploaded DF12:", "LBNL Multiple PIs:", "Other Senior/Key Personnel", "Proposal Uploads", "Research & Related Other Project Information", and "Other Attachments:". A red circle highlights the "Research Strategy" document under the "NRI Research Plan Attachments" section. A black box with the number "2" is positioned near the "Attachments" tab, and another black box with "2a" is near the "Research Strategy" document. A red arrow points from the "2a" box to the "Research Strategy" document.

## F. Approve NEPA/CEQA

1. Click on the "Approve NEPA/CEQA" activity button

The screenshot shows the 'eSRA Proposal System' interface for a 'JIT - In OCO Review' proposal (FP00000000). The 'CURRENT STATE' is 'Negotiation'. A red circle highlights the 'Approve NEPA or CEQA' button under the 'My Activities' section. A black box with the number '1' is placed over the button. The main content area displays proposal information, budget totals, and SF424 information.

PROPOSAL INFORMATION		BUDGET TOTALS		SF424 INFORMATION	
Primary Sponsor:	NIH AGING, NATIONAL INSTITUTE ON	Starting Date:	9/1/2012	SF424 Tracking#:	
Foreign Location:		Number of Periods:	2	SF424 Received Date/Time:	
PI:	Eleanor Blakely	Total Direct:	\$100,000	SF424 Status Updated:	
OCO:	Cynthia Sylvester	Total Indirect:	\$75,000	SF424 Current State:	Pre-Submission
RA:	Erin Reiche	Total LBNL Costs:	\$175,000	PDF Version	View
	Elma Serrano	FAC Costs:	\$5,250		
Status of Science:	Finalized	Total Project Costs:	\$180,250		
Submission Deadline:	3/15/2012	Sponsor Costs:	\$175,000		
NIH Application #:	IA123456	Awarded Total:	\$0.00		

- 1a. OPTIONAL: Add comments
- 1b. OPTIONAL: Attach a support document
- 1c. Click "OK" to give NEPA/CEQA approval for the proposal.

The screenshot shows the 'Approve NEPA or CEQA' dialog box. A text area for comments contains the annotation '1a'. Below it, the 'Attachments' section has an 'Add' button and a table with the annotation '1b'. At the bottom right, the 'OK' button is circled in red with the annotation '1c'.

Document	Description
There are no items to display	

## G. Finding NEPA/CEQA Approval in the Proposal

1. While still inside the proposal workspace:

1a. Approval in the History Tab will include any comments or attachments.

1b. Approval tab shows who approved and when.

**1a**

Activity	Author	Activity Date
NEPA or CEQA Approved	Philliber, Jeffrey G	6/14/2012 3:39 PM PDT

**1b**

Type of Approval	Status of Approval	Approver	Date Approved
NEPA/CEQA:	Approved	Jeffrey Philliber	6/14/2012 3:39 PM
Humans:	Not Required		
Animals:	Submitted		
COI:	Not Required		
DOE Science:	Submitted		

2. From home workspace:

- 2a. Proposal is no longer in "My Inbox" list because no action is required. (But other proposals requiring action may still be listed there.)
- 2b. All proposals are accessible from the "Proposal" list in My Inbox.

The screenshot shows the eSRA Proposal System interface. At the top, there is a header with the Berkeley National Laboratory logo, the text "eSRA Proposal System STAGING", and the U.S. Department of Energy logo. Below the header, there is a navigation bar with "Proposals" and "Com" visible. A red circle highlights the "Proposals" link, with a black box containing the number "2b" next to it. Below the navigation bar, there is a "Page for Jeffrey Philliber" link. The main content area is titled "Page for Jeffrey Philliber" and contains a welcome message and a list of roles. A red circle highlights the "My Inbox" tab, with a black box containing the number "2a" next to it. Below the "My Inbox" tab, there is a table of proposals that require action. The table has columns for ID, Name, SmartForm, State, Due Date, Principal Investigator, and Date Modified. The first row shows a proposal with ID FP00000092, Name BSO Demo, State Negotiation, and Principal Investigator Cooper. A red circle highlights the "My Inbox" tab and the first row of the table.

NEPA

My Roles  
NEPA  
Registered User

Page for Jeffrey Philliber

Welcome to your eSRA Proposal System Personal Workspace. From this workspace you can manage your proposals that are:

- My Inbox – This Tab allows you to view all proposals that require action by you or someone on your proposal team.

My Inbox

Proposals that require action

ID	Name	SmartForm	State	Due Date	Principal Investigator	Date Modified
FP00000092	BSO Demo	[Edit]	Negotiation		Cooper	5/17/2012 10:58 AM

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