



## OSPIP REVIEW & SUBMISSION PROCESS

- |                                      |   |
|--------------------------------------|---|
| A. Review the Proposal               | <ol style="list-style-type: none"> <li>1. Receive notice from Proposal Team, or</li> <li>2. Find proposal in Home Page Inbox</li> <li>3. Review PIF</li> <li>4. Check View 4 for PI's COI</li> <li>5. Update SF424</li> <li>6. Generate PDF of SF424</li> <li>7. Validate Proposal and SF424</li> <li>8. Review Errors &amp; Warnings<br/>(see detailed instructions for list of common mistakes/solutions)</li> <li>9. Review the Generated PDF</li> <li>10. Request Changes, if needed, return to #4 to review changes</li> <li>11. Request Finalized Science (required)</li> </ol> |
| B. Approve the Proposal              | <ol style="list-style-type: none"> <li>1. Review Proposal with Finalized Science</li> <li>2. Request Changes, if needed</li> <li>3. Issue OSPIP Approval (this step cannot be undone)</li> <li>4. Update SF424 to populate the OSPIP Approval to the SF424</li> </ol>   |
| C. Submit the Proposal to Grants.gov | <ol style="list-style-type: none"> <li>1. Move to the SF424 Proposal Workspace</li> <li>2. Validate Submission in SF424 and print remaining known errors<br/>(see detailed instructions for known errors)</li> <li>3. Bypass Validations in SF424, if necessary</li> <li>4. Submit to Grants.gov in SF424</li> <li>5. Submission to Federal Sponsor in eSRA Proposal (required)</li> </ol>  |

This procedure contains the specific steps in the review and submission process.

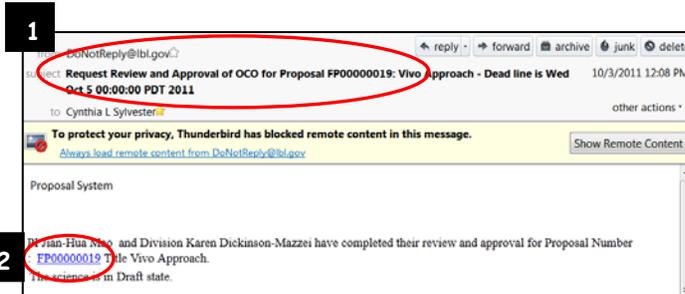
The sequence is important.

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

## A. Review the Proposal

1. Receive notice for OSPIP Review in your email.



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



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

The screenshot shows the eSRA Proposal System interface for Cynthia L. Sylvester. The "My Inbox" tab is selected, and a table of proposals is displayed below. A red arrow points from the note above to the "My Inbox" tab.

ID	Name	SmartForm	State	Due Date	Principal Investigator	Date Modified
FP00000158	Cynthia Test 1	[Edit]	Awaiting Submission To Federal Sponsor	10/5/2012 PI		4/14/2011 4:47 PM
FP00000159	Cynthia Test 2	[Edit]	OSPIP Proposal Review	10/5/2012 PI		9/23/2011 3:59 PM

3. Review Proposal Information Form

**Example for OCO**

**3**

FP00000319 Funding Ph

**CURRENT STATE**

OSPIP Proposal Review

Proposal Information **PIF** Approvals Comments Attachments Contacts Submission T

**PROPOSAL INFORMATION**

Primary Sponsor: National Institutes of Health  
 PI: Rebecca J Abergel  
 OCO: Cynthia Sylvester  
 RA: Karen Dickisson-Mazzei  
 Status of Science: Draft  
 Submission Deadline: 10/5/2012  
 NIH Application #:

**BUDGET TOTALS**

Starting Date: 7/1/2012  
 Number of Periods: 2  
 Total Direct: \$500,000  
 Total Indirect: \$250,010  
 Total LBNL Costs: \$750,010  
 FAC Costs: \$22,500  
 Total Project Costs: \$772,510  
 Sponsor Costs: \$750,010  
 Awarded Total: \$0.00

**SF424 INFORMATION**

SF424 Tracking#:   
 SF424 Received Date/Time:   
 SF424 Status Updated:   
**SF424 Current Status:** Pre-Sub View  
 PDF Version: View

**History**

Activity	Author	ID	Activity Date
Approved for OSPIP Review	Blue, Stacey		10/4/2011 10:46 AM PDT
TESTING - PLEASE IGNORE.			
Approved for Division Review	Blue, Stacey		10/4/2011 10:46 AM PDT
TESTING - PLEASE IGNORE.			



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. It is updated continuously as the proposal is completed.



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

Proposal Information **PIF** Approvals Comments Attachments Contacts Submission T

Lawrence Berkeley National Laboratories  
**Proposal Information Form**

Every grant or contract proposal must be submitted through the Office of Sponsored Projects and Industry Partnerships (OSIP) prior approval before being sent to the proposed sponsor. The Proposal Information Form (PIF) accompanies the proposal to 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:** FP00000319  
**Deadline:** 10/5/2012  
**Deadline Type:** Receipt  
**Proposal Submission Process:** Electronic via grants.gov

**LBNL Staff Participation in the Research**

Multiple PI(s)/Mentor:  
 Name Role Positive Disclosure  
 There are no items to display

Sr/Key Personnel:  
 Name Role Positive Disclosure  
 Paul D Adams Co-Investigator no

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

NH POC disclosures have been sent to the R110

**Project Purpose:** Basic Research  
**Proposal Type:** New  
**Proposal Title:** Example for OCO Review, Approval, and Submission of an Application  
**Period of Performance:** 7/1/2012 to 6/30/2014  
**Sponsor's Total Budget:** \$750,010.00

**II. LBNL Budget**

Summary Budget Information (By Contract Year)

Period	Start Date	End Date	Type of Costs	Costs
1	7/1/2012	6/30/2013	Direct Costs	\$250,000
			LORD	\$0
			Other NH Indirect Costs	\$125,000
			Total LBNL Costs	\$375,000
			Federal Administrative Costs*	\$11,250
			Total Project Costs	\$386,250
2	7/1/2013	6/30/2014	Direct Costs	\$250,000
			LORD	\$0
			Other NH Indirect Costs	\$125,000
			Total LBNL Costs	\$375,000
			Federal Administrative Costs*	\$11,250
			Total Project Costs	\$386,250

4. Check View 4 for PI COI



The COI for the PI is not summarized on the PIF.

### Example for OCO

4a

**CURRENT STATE**

OSPIP Proposal Review

Edit Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Request Changes from Proposal Team
- Request Finalize Science
- Issue OSPIP Approval
- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

4a. Edit (or View) Funding Proposal

4b. Jump to View 4

4b

4c. Confirm PI's DF12 is uploaded and confirm the user entered the answer. OSPIP is not responsible for reviewing the DF12 form itself, although you can by clicking on the highlighted filename.

4c

4d. "Exit" to return to the proposal workspace.

4d

- |    |  |
|----|--|
| 5. | Update SF424 to ensure all data and updates made by the division have been populated into the SF424. |
|----|--|

## Example for OCO

**CURRENT STATE**

**OSPIP Proposal Review**

Edit Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424**
- Validate Proposal and SF424
- Request Changes from Proposal Team
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UPLOAD DOCUMENTS

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

Update SF424

Use this activity to create and update the information on your SF424 Application.

5a OK Cancel

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

### Example for OCO

**CURRENT STATE**  
OSPIP Proposal Review

Edit Funding Proposal  
Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Request Changes from Proposal Team
- Request Finalize Science
- Issue OSPIP Approval
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UPLOAD DOCUMENTS



Note: There are attachments uploaded in various places within the proposal. Biosketches are uploaded in View 4, Proposal documents are uploaded in View 8, Subcontract documents are uploaded in View 9.

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

Generate SF424 PDF

Click the OK button to generate a PDF version of your application. The link to the most recently generated PDF version is displayed on the project workspace, labeled "PDF Version"

**Include Attachments:**  **6a**

(Note: PDF generation will take longer to complete.)

OK Cancel **6b**

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

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

### Example for OCO

FP00000319 Funding Proposal

Proposal Information PIF Approvals Comments Attachments Contacts Submission To Sponsor

PROPOSAL INFORMATION	BUDGET TOTALS	SF424 INFORMATION
<b>Primary Sponsor:</b> National Institutes of Health	<b>Starting Date:</b> 7/1/2012	<b>SF424 Tracking#:</b>
<b>PI:</b> Rebecca J Abergel	<b>Number of Periods:</b> 2	<b>SF424 Received Date/Time:</b>
<b>OCO:</b> Cynthia Sylvester	<b>Total Direct:</b> \$500,000	<b>SF424 Status Updated:</b>
<b>RA:</b> Karen Dickinson-Mazzei	<b>Total Indirect:</b> \$250,010	<b>SF424 Current State:</b> Pre-Submission
<b>Status of Science:</b> Draft	<b>Total LBNL Costs:</b> \$750,010	<b>PDF Version:</b> View
<b>Submission Deadline:</b> 10/5/2012	<b>FAC Costs:</b> \$22,500	
<b>NIH Application #:</b>	<b>Total Project Costs:</b> \$772,510	
	<b>Sponsor Costs:</b> \$750,010	
	<b>Awarded Total:</b> \$0.00	

**History** **6c**

Activity	Author	Activity Date
Generated PDF Version	Sylvester, Cynthia L	10/4/2011 3:09 PM PDT

Latest PDF version is available on workspace summary.



The Generated PDF is now available for viewing or printing, but you need to validate the proposal before doing the review.

7. "Validate Proposal and SF424" will perform validation checks on the eSRA proposal and the SF424.

## Example for OCO

**CURRENT STATE**

**OSPIP Proposal Review**

Edit Funding Proposal

Printer Version

**My Activities**

Copy Funding Proposal

Update SF424

**7** Validate Proposal and SF424

Request Changes from Proposal Team

Request Finalize Science

Issue OSPIP Approval

Re-Assign OSPIP Reviewer

Generate SF424 PDF

OCO Comments

Log General Comment

Email Team

UPLOAD DOCUMENTS



Note: The Validations for the eSRA proposal checks that all required fields are complete.

Validations on the SF424 applies the Grants.gov (and NIH, if this is an NIH proposal) validation rules against the SF424 document.

**Error/Warning Messages** Refresh

Message	Field Name	Jump To
4.c.1 - Missing LBNL Sr/Key Personnel's Biosketch	Attach Biosketch	4.0 Research Personnel
This is a required field; therefore, you must provide a value.	ContactTitle	
You must agree before submitting this application.	TrustAgree	
The eRA Commons Username must be submitted for the PD/PI in the PD/PI Credential field. (NIH 4.2.1)	Credential	
This is a required field; therefore, you must provide a response.	BioSketchsAttached	
The Funds Requested for the Indirect Cost Item, "Direct Costs (composite rate applied)", is off by more than a dollar from the calculated value \$125,000.00.	IndirectCostFundsRequested	
The Funds Requested for the Indirect Cost Item, "Direct Cost (composite rate applied)", is off by more than a dollar from the calculated value \$125,000.00.	IndirectCostFundsRequested	
When Human Subjects is "No", Assurance Number does not apply. (NIH 3.1.3)	HumanSubjectsIndicator	
Direct cost requests are limited to \$200K a year for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 12.3.4)	DirectCostLessConsortiumFandA	
Direct cost requests are limited to \$200K a year for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 12.3.4)	DirectCostLessConsortiumFandA	
Cumulative direct cost requests are limited to a total of \$275K for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 13.1.3)	CumulativeDirectCostLessConsortiumFandA	



Errors and Warnings are determined by the business rules applied by Grants.gov and NIH eRA Commons as well as some eSRA programming checks.

Errors will be noted in red with  indicator.

Warnings will be noted with  warning indicator.



Use <CTL> P to print the Errors and Warnings, if needed.

8. Review Errors & Warnings carefully.

Message	Field Name	Jump To
4.c.1 - Missing LBNL Sr/Key Personnel's Biosketch	Attach Biosketch	4.0 Research Personnel
This is a required field; therefore, you must provide a value.	ContactTitle	
You must agree before submitting this application.	TrustAgree	
The eRA Commons Username must be submitted for the PD/PI in the PD/PI Credential field. (NIH 4.2.1)	Credential	
This is a required field; therefore, you must provide a response.	BioSketchsAttached	
The Funds Requested for the Indirect Cost Item, "Direct Costs (composite rate applied)", is off by more than dollar from the calculated value \$125,000.00.	IndirectFundsRequested	
The Funds Requested for the Indirect Cost Item, "Indirect Costs (composite rate applied)", is off by more than dollar from the calculated value \$125,000.00.	IndirectFundsRequested	
When Human Subjects is "No", Applications that do not apply. (NIH 3.1.3)	HumanSubjectsIndicator	
Direct cost requests are limited to \$200K a year for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 12.3.4)	DirectCostLessConsortiumFandA	
Direct cost requests are limited to \$200K a year for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 12.3.4)	DirectCostLessConsortiumFandA	
Cumulative direct cost requests are limited to a total of \$275K for this application. Applications that exceed this limit may be delayed in the peer review process or rejected. (NIH 13.1.3)	CumulativeDirectCostLessConsortiumFandA	
In most cases, a Personnel Justification attachment should be included if a Modular Budget is being submitted. (NIH 13.6.1)	PersonnelJustification	

Example



Note: the Division should have performed the validations prior to submission, so there should be very few by the time the proposal reaches OSPIP.



Some of the messages are appropriate and/or expected. Others are programming glitches that need to be corrected immediately before submission. Correcting the known programming errors too early in the process means the changes will be overwritten the next time the SF424 is updated.



This error message: *You must agree before submitting the application - TrustAgree* is not an error at this stage of proposal development. This box is checked on the SF424 only when the OSPIP CO provides approval for the application (which is later in the process).



These common mistakes should be fixed by the Proposal Team so the mistakes are fixed in the eSRA Proposal then populated in the SF424 when the SF424 is updated. Some will show as errors or warnings while others might not.

Commons Mistakes to Watch for	Cause	Solution
<p>Cover letter Is missing in the SF424 (although it was uploaded in the eSRA proposal).</p> <p>(This is more of a known programming glitch, but it should be fixed as soon as the problem is discovered.)</p>	<p>If the cover letter is not uploaded before the budget is created (which initially creates the SF424), the Cover Letter switch won't be flipped.</p>	<p><b>This correction will not be overwritten by updating the SF424 and should be made as soon as it is discovered.</b></p> <p>The OSPIP CO must manually check the Cover Letter box in the SF424. The first page when in the "Edit Application" in the SF424 shows a list of forms. Check the "PHS Cover Letter" box. The next time the SF424 is updated the cover letter will be populated from the proposal to the SF424.</p>
<p>This is a required field; therefore, you must provide a value. – Total Estimated Amount</p>	<p>Total budget dollars are not shown on page 2 of the SF424.</p> <p>This is calculated from View 9.3 after the Proposal Team specifies whether FAC Waiver will be requested and the SF424 is updated</p>	<p>Proposal Team needs to complete view 9.3, if not already completed, then <u>Update the SF424</u> to populate the answer from the proposal to the SF424.</p>
<p>Filenames with unallowable characters or spaces</p>	<p>The validations might not catch mistakes in uploaded file names.</p>	<p>Make sure Grants.gov applications only use numbers, letters, and underscore in uploaded file names. Blank spaces, dashes, and other characters are not allowed. Proposal team will need to make changes, if needed.</p>
<p>The eRA Commons Username must be submitted for the PD/PI in the PD/PI Credential field</p>	<p>The eRA Commons name is specified in the Researcher Profile and populated into the proposal when the PI is selected.</p>	<p>Proposal Team needs to:</p> <ol style="list-style-type: none"> <li>1. update the Researcher Profile to include the eRA Commons user name</li> <li>2. de-select the PI in View 4 and save the change</li> <li>3. select the PI again to get the updated Researcher Profile information</li> <li>4. update the SF424 to populate the information into the SF424</li> </ol>

(continued on the next page)

Common mistakes, continued.

Commons Mistakes to Watch for	Cause	Solution
<p>A Description is required for Participant Trainee Support Cost #5, if a value for Funds Requested has been supplied – Description</p>	<p>A value, usually of zero dollars, is entered into the Participant Cost section of the budget #5, usually by a subcontractor. Therefore a description is being required.</p>	<p>The zeros in the budget must be removed.</p> <p>OSPIP CO needs to:</p> <ol style="list-style-type: none"> <li>1. remove the budget that is already in the SF424</li> </ol> <p>Proposal Team needs to:</p> <ol style="list-style-type: none"> <li>2. remove the subcontract budget from the eSRA Proposal, View 9.1</li> <li>3. correct the subcontract budget and save it</li> <li>4. upload the subcontract budget in the eSRA proposal</li> <li>5. update the SF424 to populate the information in the SF424</li> </ol>

9. Review the Generated PDF from the History Log

**Example for OCO** FP00000319 Funding Proposal

**CURRENT STATE**  
OSPIP Proposal Review

[Edit Funding Proposal](#)  
[Printer Version](#)

**My Activities**

- [Copy Funding Proposal](#)
- [Update SF424](#)
- [Validate Proposal and SF424](#)
- [Request Changes from Proposal Team](#)
- [Request Finalize Science](#)
- [Issue OSPIP Approval](#)
- [Re-Assign OSPIP Reviewer](#)
- [Generate SF424 PDF](#)
- [OCO Comments](#)

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

PROPOSAL INFORMATION		BUDGET TOTALS		SF424 INFORMATION	
Primary Sponsor:	National Institutes of Health	Starting Date:	7/1/2012	SF424 Tracking#:	
PI:	Rebecca J Abergel	Number of Periods:	2	SF424 Received Date/Time:	
OCO:	Cynthia Sylvester	Total Direct:	\$500,000	SF424 Status Updated:	
RA:	Karen Dickinson-Mazzei	Total Indirect:	\$250,010	SF424 Current State:	Pre-Submission
Status of Science:	Draft	Total LBNL Costs:	\$750,010	PDF Version	<a href="#">View</a>
Submission Deadline:	10/5/2012	FAC Costs:	\$22,500		
NIH Application #:		Total Project Costs:	\$772,510		
		Sponsor Costs:	\$750,010		
		Awarded Total:	\$0.00		

**History**

Activity	Author	Activity Date
<a href="#">Generated PDF Version</a>	Sylvester, Cynthia L	10/4/2011 3:09 PM PDT

Latest PDF version is available on workspace summary

9a. Select "Documents/Tasks/Notifications"

Activity Details (Generated PDF Version)

Author: Cynthia Sylvester (Sponsored Projects) Activity Date: 10/4/2011 3:09 PM PDT

Logged For (Funding Proposal): Example for OCO

[Activity Form](#) | [Property Changes](#) | [Documents / Tasks / Notifications](#)

Click the OK button to generate a PDF version of your application.  
The link to the most recently generated PDF version is displayed on the project workspace, labeled "PDF Version".

Include Attachments:   
(Note: PDF generation will take longer to complete)



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

Activity Details (Generated PDF Version)

Author: Cynthia Sylvester (Sponsored Projects)

Logged For (Funding Proposal): Example for OCO

[Activity Form](#) | [Property Changes](#) | [Documents / Tasks / Notifications](#)

**Documents:**

- [grantsApplication.pdf](#)
- [grantsApplication.pdf](#)

**Project Task Assignments:**

Name	Priority	User	Activity

E-mail Notifications:

9b. Select one of the PDF files to review. (They are the same.)

10. Request Changes from Proposal Team (if necessary) – 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.

## Example for OCO

**CURRENT STATE**

OSPIP Proposal Review

Edit Funding Proposal

Printer Version

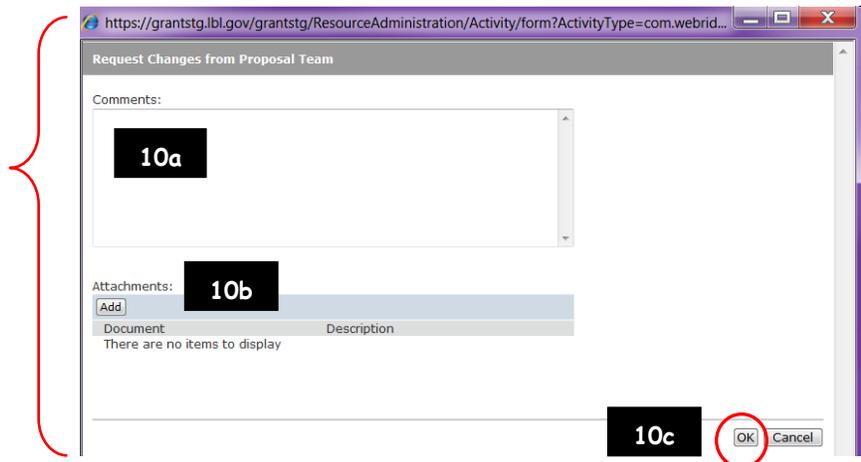
**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Request Changes from Proposal Team**
- Request Finalize Science
- Issue OSPIP Approval
- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
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- Email Team

UPLOAD DOCUMENTS

10

- 10a. Comments can be entered in the box.
- 10b. Documents can be added when requesting changes.
- 10c. Click "OK" to submit the request to the Proposal Team (the PI and the RA).



Note: Changes will come directly back to the OSPIP CO and do not require PI and Division Review and approval.



When the proposal is in "OSPIP Review: Requesting Changes" state, the proposal will not show in the inbox of the OSPIP CO but should be available in the Grants list (upper left corner of the OCO's workspace).

11. Request Finalized Science



This step is required as the final confirmation from the Proposal Team that the science is final. A proposal cannot be submitted until the science is in Final Science status as indicated in the Proposal Workspace Summary

11a. Comments should be entered in the box directing the Proposal Team to review the final Generated PDF Version and Finalize the Science. Only the Proposal Team (PI or RA) can confirm the science is final.

11b. Additional documents can be added to send to the Proposal Team.

11c. Click "OK" to submit the request.



Occasional glitch: When the proposal is in "OSPIP Review: Finalize Science" state, the proposal will not show in the inbox of the OSPIP CO or in the Grants list; but can be accessed from the link in prior email notifications.



Note: the Proposal Team can set the science back to "Draft Science" up until the OSPIP OCO issues his/her approval.

## B. Approve the Proposal

1. Review the Proposal with the Finalized Science.

- 1a. When science is finalized, the OSPIP CO will receive an email notification, and the activity will be recorded in the history of the proposal workspace and it will be noted in the Proposal Information space of the eSRA Proposal Workspace.

### Example for OCO

FP00000321 F

**CURRENT STATE**  
OSPIP Proposal Review

Edit Funding Proposal  
Printer Version

**My Activities**

- Copy Funding Proposal
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**Proposal Information** | PIF | Approvals | Comments | Attachments | Contacts | Submission To Sponsor

PROPOSAL INFORMATION		BUDGET TOTALS	SF424 INFORMATION
Primary Sponsor:	National Institutes of Health	Starting Date:	7/1/2012
PI:	Rebecca J Abergel	Number of Periods:	2
OCO:	Cynthia Sylvester	Total Direct:	\$250,000
RA:	Cynthia Sylvester Karen Dickinson-Mazzei	Total Indirect:	\$125,008
<b>Status of Science:</b>	Finalized	Total LBNL Costs:	\$375,008
<b>Submission Deadline:</b>	10/5/2012	FAC Costs:	\$11,250
<b>NIH Application #:</b>		Total Project Costs:	\$386,258
		Sponsor Costs:	\$375,008
		Awarded Total:	\$0.00
			SF424 Tracking#:
			SF424 Received Date/Time:
			SF424 Status Updated:
			SF424 Current State:
			PDF Version

**History**

Activity	Author	Activity Date
Finalized Science	PI or RA	10/6/2011 10:46 AM PDT
Science is final and the proposal is ready to submit.		
Requested Finalize Science	Sylvester , Cynthia L	10/6/2011 10:43 AM PDT
Please send when science is final and ready to submit		

**CURRENT STATE**  
OSPIP Proposal Review

Edit Funding Proposal  
Printer Version

**My Activities**

- Copy Funding Proposal
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- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

- 1b. Update SF424 to ensure all data and updates made by the division have been populated into the SF424.

- 1c. Click "OK" to start the update, then wait until the process returns you to the Proposal Workspace.

Update SF424

Use this activity to create and update the information on your SF424 Application.

OK Cancel

**CURRENT STATE**

**OSPIP Proposal Review**

Edit Funding Proposal

Printer Version

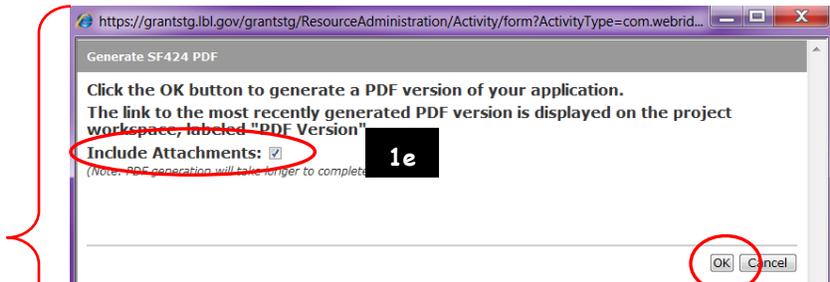
**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Request Changes from Proposal Team
- Issue OSPIP Approval
- Re-Assign OSPIP Reviewer
- 1d** Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

1d. Generate SF424 PDF

1e. Check "Include Attachments" if you want all of the uploaded documents to be merged in the PDF. Leave unchecked if you only want to review the SF424 form pages.



1f. Click "OK" to generate the PDF.

1g. Select the Generated PDF in the History Tab of the main proposal workspace.

**CURRENT STATE**

**OSPIP Proposal Review**

Edit Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
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- Validate Proposal and SF424
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- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

**Proposal Information** | PIF | Approvals | Comments | Att

PROPOSAL INFORMATION		BUDGET TOT
Primary Sponsor:	National Institutes of Health	Starting Date:
PI:	Rebecca J Abergel	Number of Peri
OCO:	Cynthia Sylvester	Total Direct:
RA:	Cynthia Sylvester Karen Dickinson-Mazzei	Total Indirect:
Status of Science:	Finalized	Total LBNL Cos
Submission Deadline:	10/5/2012	FAC Costs:
NIH Application #:		Total Project C
		Sponsor Costs:
		Awarded Total:

**History** | 1g

Activity	Author
Generated PDF Version	Sylvester, C
Latest PDF version is available on workspace summary	
SF424 Updated	Sylvester, C
Finalized Science	Sylvester, C

- 1h. Select "Documents/Tasks/Notifications" tab

### Activity Details (Generated PDF Version)

**Author:** Cynthia Sylvester (Sponsored Projects) **Activity Date:** 10/4/2011 3:11 PM  
**Logged For (Funding Proposal):** Example for OCO **1h**

**Activity Form** | Property Changes | **Documents / Tasks / Notifications**

Click the OK button to generate a PDF version of your application.  
The link to the most recently generated PDF version is displayed on the project workspace, labeled "PDF Version".

**Include Attachments:**   
*(Note: PDF generation will take longer to complete)*



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

### Activity Details (Generated PDF Version)

**Author:** Cynthia Sylvester (Sponsored Projects)  
**Logged For (Funding Proposal):** Example for OCO

**Activity Form** | Property Changes | **Documents / Tasks / Notifications**

**Documents:**

grantsApplication.pdf	<b>1i</b>
grantsApplication.pdf	

**Project Task Assignments:**

Name	Priority	User	Activity
------	----------	------	----------

**E-mail Notifications:**

- 1i. Select one of the PDF files to review. (They are the same.)

2. Request additional changes, if needed.



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

- 2a. Comments can be entered in the box.
- 2b. Documents can be added when requesting changes. The document will be attached to the email and in the history log, but are not automatically added to the proposal. These documents might be instructions or examples or other communication the OSPIP CO wants to communicate to the Proposal Team
- 2c. Click "OK" to request the changes.

**CURRENT STATE**  
OSPIP Proposal Review

Edit Funding Proposal  
Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- 2 Request Changes from Proposal Team**
- Issue OSPIP Approval
- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

Request Changes from Proposal Team

Comments: **2a**

Attachments: **2b**

Add

Document	Description
there are no items to display	

**2c** OK Cancel

The review and request changes steps can be repeated as many times as needed.



The "Issue OSPIP Approval" activity is available at any time after the proposal is submitted to OSPIP for review. However, issuing the OSPIP approval should be the final step and will lock the eSRA proposal from further edits. This approval cannot be rescinded.

3. Issue OSPIP Approval in eSRA Proposal

- 3a. You are reminded of what should be reviewed in the proposal prior to issuing OSPIP approval.
- 3b. Check the box "I Agree" to confirm all required parts of the application have been reviewed and are acceptable.
- 3c. Click "OK" to Approve the application.

**CURRENT STATE**

OSPIP Proposal Review

Edit Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Request Changes from Proposal Team
- Issue OSPIP Approval**
- Re-Assign OSPIP Reviewer
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

3

Issue OSPIP Approval

**OSPIP Contracts Officer Approvals**

Prior to submitting a proposal to the Sponsor, all proposals are reviewed by OSPIP. The following areas are to be reviewed by the OCO prior to submission of the proposal:

PIF	Vertebrate animals for HARC approval
Institutional eligibility to apply	Financial Conflict of Interest
Sponsor's cover page (if required)	Subcontract (Institutional letter of endorsement and appropriate forms)
Budget for appropriateness	Letters of Support
Less than Full Cost Recover Requests	Certifications and Assurances
Research Plan/Scope of Work for institutional risk and legal compliance	Award terms and conditions
Human Subjects for HARC Approval	Additional information required by the sponsor
DOE Review and Approval Required	

The proposal is complete and is ready for submittal with final science to the sponsor

\* I Agree:  **3b**

*If you would like to request changes from the proposal team please exit this form and select 'Request Changes from Proposal Team'.*

**3c**

3a



Note: If further changes need to be made after issuing the OSPIP approval there are two options:

1. OSPIP CO can enter the changes directly in the SF424.
2. The Proposal Team can copy the proposal which will copy the answers to questions, but will require re-selecting the solicitation, re-entering the budget, re-uploading the documents, and going through the PI and Division approvals again.

4	Update SF424 to populate the OSPIP Approval to the SF424 which will check the Trust Agreement box.
---	--

**CURRENT STATE**

Awaiting Submission To Federal Sponsor

View Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
- 4** Update SF424
- Submit to Federal Sponsor
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS

4a. Click "OK" to create and update the information on the SF424 Application.

Update SF424

Use this activity to create and update the information on your SF424 Application.

4a

### C. Submit the Proposal to Grants.gov

1. Do final review and submission of the SF424 in the SF424 Proposal Workspace

- 1a. Go to the "Submission To Sponsor" tab in the Funding Proposal Workspace
- 1b. Select the SF-424 document, or click "edit" to leave the eSRA Proposal Workspace and go to the SF424 Proposal Workspace.

**CURRENT STATE**  
Awaiting Submission To Federal Sponsor

View Funding Proposal  
Printer Version

**My Activities**  
Copy Funding Proposal  
Update SF424  
Submit to Federal

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

**Submissions To Sponsor**

Name	SmartForm	Date Created	Date Modified	State
SF-42400000311 for FP00000321	[Edit]	10/6/2011 10:19 AM	10/6/2011 10:25 AM	Pre-Submission

**History**

Activity	Author	Activity Date
SF424 Updated	Sylvester, Cynthia L	10/6/2011 11:33 AM PDT
Issued OSPIP Approval	Sylvester, Cynthia L	10/6/2011 11:26 AM PDT



Note: If you get lost, you can refer to the upper right corner to determine whether you are in the eSRA Proposal Workspace or the SF424 Proposal Workspace.

#### Example for OCO

FP00000319 Funding Proposal

**CURRENT STATE**  
Awaiting Submission To Federal Sponsor

View Funding Proposal

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

**Submissions To Sponsor**

Name	SmartForm	Date Created	Date Modified	State
SF-42400000309 for FP00000319	[Edit]	10/4/2011 10:17 AM	10/4/2011 10:23 AM	Pre-Submission



The heading will always let you know if you are in the **eSRA Proposal Workspace** or the **SF424 Proposal Workspace**.



Note that the Current State of the eSRA Proposal is **"Awaiting Submission To Federal Sponsor"** while the Application Status of the SF424 is **"Pre-Submission"**

Grants > Researcher Profile

Grants > Example for OCO > SF-42400000309 for FP00000319

**Application Status**  
Pre-Submission

SF-42400000309 for FP00000319

SF-42400000309 SF424

Descriptive Title: Example for OCO Review, Approval, and Submission of an Application  
 Submission Type: New Start Date: 7/1/2012  
 PDF Version: Not Available, Please execute Generate PDF Version activity End Date: 6/30/2014  
 Tracking Number: FOA: PA-BB-R21 ( FOA00000123 )  
 Received Date/Time:  
 Status Updated:

**History**  
The query produced no results.

1c. Edit Grant Application to make any changes directly inside of the SF424

**Application Status**

Pre-Submission

1c  Edit Grant Application...

 Print Version

**Activities**

-  Validate Submission
-  Bypass Validations
-  Assign Submitters
-  Assign Editors and Readers
-  Log Comment
-  Import Subaward



Warning: Do not use the "Update SF424" activity after making changes directly inside of the SF424 or those changes will be overwritten.

1d. Select "Hide/Show Errors" to view the outstanding errors and warnings that might need to be corrected prior to submission.



See next page for list of known errors and last-minute corrections to make.

1e. Use "Jump To" and the drop down menu of Views to jump to a specific View to make corrections.

1d **Save | Exit | Hide/Show Errors | Print...** **1e** **Jump To: Select Optional Forms**

**Error/Warning Messages** Refresh

Message	Field Name	Jump To
 This is a required field; therefore, you must provide a value.	ContactTitle	PHS 398 Cover Page Supplement (v1.4) - Page 1
 You must agree before submitting this application.	TrustAgree	SF424 (R & R) (v1.2) - Page 2
 The eRA Commons Username must be submitted for the PD/PI in the PD/PI Credential field. (NIH 4.2.1) Credential	Credential	Research And Related Senior/Key Person Profile (Expanded) (v1.2)



Using "Hide/Show Errors" inside of the SF424 provides a "jump to" column with links that allows the user to jump to the page that requires correction.

1.f. Continue until all correctable errors and warnings have been changed.



These known programming issues should be fixed by the OCO directly in the SF424. We discourage the Proposal Team from making changes in the SF424 because, except for the budget which is entered directly in the SF424, any corrections in the SF424 forms will be overwritten the next time the SF424 is updated. The OCO will make these changes immediately before submission.

Known Programming Issues	Cause	Solution
The Funds Requested for the Indirect Cost Item, "Direct Costs (composite rate applied)", is off by more than a dollar from the calculated value of \$___	The validation process does a calculation and compares it to the dollars entered. Because of the complicated method by which LBNL calculates indirect costs (then calculates the overall percentage for the SF424 form), the answer is often more than \$1 different.	We will bypass this validation error when the proposal is submitted.  Do NOT recalculate the indirect costs just to get rid of this error message. Our calculations are correct and this will not be an error at either Grants.gov or NIH.
When Animals is "No", Assurance Number does not apply; but it is automatically being populated into the SF424	Programming error	Correct this just prior to submission by deleting the assurance number in the SF424.
When Animals is "No", Pending should be blank; but it is automatically being populated into the SF424	Programming error	Correct this just prior to submission by clicking the "clear" button in the SF424 next to the pending field.
When Human Subjects is "No", Assurance Number does not apply; but it is automatically being populated into the SF424	Programming error	Correct this just prior to submission by deleting the assurance number in the SF424.

2. Validate Submission in SF424

**Application Status**

**Pre-Submission**

Edit Grant Application...

Print Version

**Activities**

**2** Validate Submission

Bypass Validations

Assign Submitters

Assign Editors and Readers

Log Comment

Import Subaward

**Error/Warning Messages** Refresh

Message	Field Name	Jump To
 The Funds Requested for the Indirect Cost Item, "Direct Cost Base (composite rate applied)", is off by more than a dollar from the calculated value \$75,000.00.	IndirectCostFundsRequested	PHS 398 Modular Budget, Period 1
 The Funds Requested for the Indirect Cost Item, "Direct Cost Base (composite rate applied)", is off by more than a dollar from the calculated value \$50,000.00.	IndirectCostFundsRequested	PHS 398 Modular Budget, Period 2

Close



The known error regarding indirect cost calculations related to LBNL composite rates will remain.



The OSPIP CO may want to print these errors and warnings for reference. Once the proposal is submitted, the "Validate Submission" activity will no longer be available. Printing the list is the only way to document which errors and warnings the OSPIP CO chose to bypass.



Note: If there are no errors or warnings, the state will change to "Valid for Submission" upon validation of the proposal.

3. Bypass Validations in SF424, if necessary



If SF424 cannot validate because of remaining errors and/or warnings, the OSPIP CO must Bypass the Validations in order to submit.

3a Check the box to acknowledge the risk of submitting an application that is still validating with errors and/or warnings.

3b Click "OK" to proceed

**Application Status**

Pre-Submission

Edit Grant Application...

Print Version

**Activities**

- Validate Submission
- Bypass Validations**
- Assign Submitters
- Assign Editors and Readers
- Log Comment
- Import Subaward

3

**Bypass Validations**

Application Filing Name: FP00000321Abergel

Following optional form(s) will be included in your application:  
PHS 398 Modular Budget V1.1  
PHS Cover Letter V1.2

Following required form(s) will be included in your application:  
PHS 398 Checklist V1.3  
PHS 398 Cover Page Supplement V1.4  
PHS 398 Research Plan V1.3  
Project/Performance Site Location(s) V1.3  
Research And Related Other Project Information V1.2  
Research And Related Senior/Key Person Profile (Expanded) V1.2  
SF424 (P & R) V1.2

I acknowledge that by using this activity, the submission may contain errors and may be rejected by Grants.gov or the Offering Agency.

3a

3b OK Cancel



Note: The application is now "Valid for Submission"

**Application Status**

Valid for Submission

View Grant Application...

Print Version

**Activities**

- Submit to GrantsGov
- Generate PDF Version
- Assign Submitters
- Assign Editors and Readers
- Log Comment
- Reopen for Edit

4. Submit to Grants.gov

4a. Click "OK" to confirm

**Application Status**

Valid for Submission

View Grant Application...

Print Version

**Activities**

- Submit to GrantsGov
- Generate PDF Version
- Assign Submitters
- Assign Editors and Readers
- Log Comment
- Reopen for Edit

4

**Submit to GrantsGov**

Submit the generated application package to Grants.gov.

After submission, the tracking number and received date will be updated when you receive a response from Grants.gov. According to Grants.gov, it might take up to 48 hours to receive a response, especially during times when submission volume is high.

Are you sure?

1a



Note: The application status is now "Submitted to Grants.Gov"

**Application Status**

Submitted To GrantsGov

View Grant Application...

Print Version

**Activities**

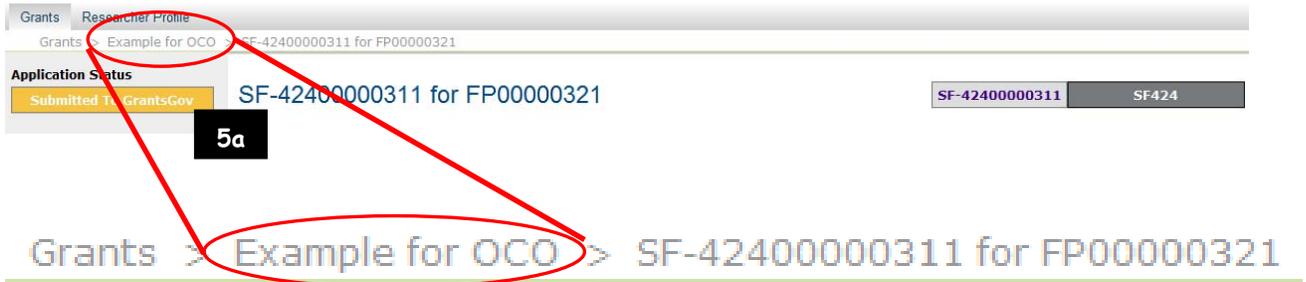
- Get Status Detail
- Generate PDF Version
- Assign Submitters
- Assign Editors and Readers
- Log Comment
- Reopen for Edit



You are not done yet !

5. Submission to Federal Sponsor in eSRA Proposal

5a. Return to the eSRA Proposal using the link to the proposal's nickname.



The eSRA Proposal still indicated "Awaiting Submission To Federal Sponsor"

**CURRENT STATE**

Awaiting Submission To Federal Sponsor

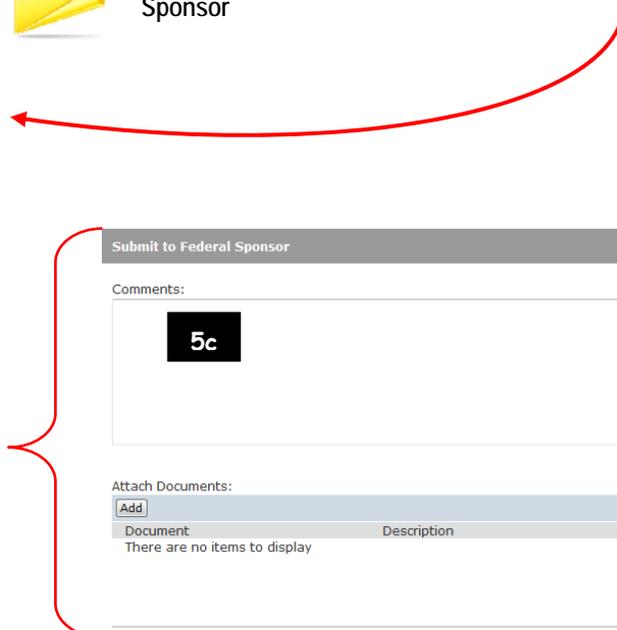
View Funding Proposal

Printer Version

**My Activities**

- Copy Funding Proposal
- Update SF424
- Submit to Federal Sponsor**
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team

UPLOAD DOCUMENTS



Submit to Federal Sponsor

Comments:

5c

Attach Documents:

Document	Description
There are no items to display	

5d OK Cancel

- 5b. Submit to Federal Sponsor will notify the Proposal Team that the proposal has been submitted.
- 5c. Enter comments, if desired
- 5d. "OK" to send the notification.

State indicates "Awaiting Response from Federal Sponsor"

Example for OCO

The screenshot displays the OSPIP proposal workspace for funding proposal FP00000321. The current state is 'Awaiting Response from Federal Sponsor', highlighted with a red circle and an arrow. The workspace is divided into three main sections: PROPOSAL INFORMATION, BUDGET TOTALS, and SF424 INFORMATION. The SF424 INFORMATION section, also circled in red, shows the current state as 'Submitted To GrantsGov' and includes a 'View' link for the PDF version. A 'History' table at the bottom lists activities such as 'Submitted to Federal Sponsor' and 'Submitted Changes to OSPIP'.

Activity	Author	Activity Date
Submitted to Federal Sponsor	Sylvester, Cynthia L	10/6/2011 4:12 PM PDT
SF424 Updated	Sylvester, Cynthia L	10/6/2011 11:33 AM PDT
Issued OSPIP Approval	Sylvester, Cynthia L	10/6/2011 11:26 AM PDT
Submitted Changes to OSPIP	Sylvester, Cynthia L	10/6/2011 11:20 AM PDT

Information regarding the Grants.gov submission is posted in the SF424 Information box on the proposal workspace.