



eSRA for OSPIP Contracts Officer

Review & Submit Proposals

Negotiations

Generate Awards

Award Modifications

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December 7, 2012



Create an Award from a Proposal

- When award document arrives from the sponsor.
- The OSPIP CO “creates” the award in eSRA.
- eSRA proposal status changes to “Proposal Awarded” but the award might not be active yet.
- 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

New Funding Award

- “New Funding Award” will create the award in eSRA, give it an award #, but not activate the award or send any information to FMS/RAPID

CURRENT STATE

Award Pending

 View Submission

 Printer Version

 View Differences

 New Funding Award

New Funding Award

- A new award is created in eSRA for the OSPIP CO to begin providing information

CURRENT STATE

Award Pending

 **View Submission**

 **Printer Version**

 **View Differences**

 **New Funding Award**

STAGING
eSRA Proposal System
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF **ENERGY**
New: Award

<< Back | Save | Print... | Continue >>

Award:

1.a *** Award Nickname:**
Non-Coding Regions Rn

1.b **Full Award Title:**
Comparative Genomics of Non-Coding Regions to Facilitate Translational Research

1.c *** Principal Investigator:**
Inna Dubchak

1.d *** Award Mechanism:**
 Award
 Master Agreement

1.d.1 **Property Attribute:**

Internal Award Identification. This is the title that will show in your Work Space.

A Master Agreement Award has no Funding Allocations or Funding Actions

Award Preparation

- Enter information from the sponsor's award document
- Enter award information that will be required by RAPID
- Proceed through the Award Views in order and answer all of the questions
 - Much of the information requested will be familiar from FMS/RAPID

Award Documents

- Award Documents are uploaded directly in eSRA during Award Preparation
- These documents will then be available to anyone viewing the award

1.k

Award Documents:

<input type="button" value="Add"/>		
	Document	Description
<input type="button" value="Upload Revision"/>	View	Notice_of_Award.pdf(0.01) <input type="button" value="Delete"/>

Award # assigned

- Award # is assigned after View 1 is saved



The screenshot displays the top navigation bar of the eSRA Proposal System. On the left is the Berkeley Lab logo. The center features the text "STAGING eSRA Proposal System LAWRENCE BERKELEY NATIONAL LABORATORY". On the right is the U.S. Department of Energy logo. Below the logo, the text "Edit: Award - AWD00000094" is circled in red. The bottom navigation bar includes a "<< Back" button, a menu with options "Save | Exit | Hide/Show Errors | Print... | Jump To:", a dropdown menu currently set to "2.0 Funding Proposals", and a "Continue >>" button.

View 2

- 2.a provides the ability to add additional proposals to a single award
- 2.b (used for NIH) is only for people that have committed effort as named in the Notice of Award.
 - That should always include the PI
 - If no one else is named, the remaining people identified by the PI as “key” should be deleted

2.a Funding Proposals funded by this Award:

<input type="text"/>	<input type="button" value="Add"/>			
Name	Principal Investigator	Primary Sponsor	Project State	
Non-Coding Regions Rn	Inna Dubchak	NIH HEART, LUNG & BLOOD, NATL INST	Award Pending	<input type="button" value="Remove"/>

2.b Award Personnel (for purpose of calculating committed effort):

<input type="button" value="Add"/>					
	Last Name	First Name	Committed Effort	Minimum Effort	
<input type="button" value="Update"/>	Dubchak	Inna			<input type="button" value="Delete"/>
<input type="button" value="Update"/>	Novichkov	Pavel			<input type="button" value="Delete"/>

Award Personnel Effort

- Enter the effort committed by the PI at JIT
- The minimum required effort will calculate when saved

Edit Award Personnel

This feature is designed for NIH and any other awards that required a specific level of effort for the PI or other key personnel. Use this only for those that require advance approval to reduce their effort.

* Person: Inna Dubchak

(Note: Division and Department will autofill when this View is saved)

Division: GN-West

Department: Genomics Division

(Note: Enter "committed effort" only if the person is required to obtain advance approval from the sponsor for a reduction of effort. Minimum Required Effort will be calculated on save.)

Committed Effort:

- Calendar Months
 Academic Months
 Summer Months

Minimum Required Effort:

2.b Award Personnel (for purpose of calculating committed effort):

	Last Name	First Name	Committed Effort	Minimum Effort	
<input type="button" value="Update"/>	Dubchak	Inna	3	Calendar Months 2.25	Calendar Months <input type="button" value="Delete"/>

2.C for special cases only

- 2.c is only used when the Period or Performance does not equal the start and end date of the award. For example, some DOD awards indicate something like this:

Period of Performance: October 1, 2009 to September 30, 2012
with research to end August 31, 2012

2.c Periods of Performance (use only when the Period of Performance does not equal the start and end date of the award):

Add

Name	Description	Start Date	End Date
------	-------------	------------	----------

There are no items to display

Terms and Conditions

- Standard Terms and Conditions have been pre-entered for selection
- Special Terms and Conditions can also be added

Terms and Conditions

3.a

Terms And Conditions:

Add

Name	Description	Effective Date	Last Effective Date
------	-------------	----------------	---------------------

There are no items to display

3.b

Special Terms And Conditions:

Add

Name	Description	Effective Date	Last Effective Date
------	-------------	----------------	---------------------

There are no items to display

Standard Terms and Conditions

- Standard terms and conditions are determined by the sponsor and the category of standard conditions associated with that sponsor
- Use radio buttons to select all the standard terms that apply

Add TermAndConditionEffective	
* Term And Condition:	
Name	Description
<input checked="" type="radio"/> Effort - PI NIH	Written prior approval is required if the PI withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.
<input checked="" type="radio"/> Fellowship - Activation Notice (PHS 4126-5)	An Activation Notice (PHS 416-5) must be submitted to the NIH awarding office as of the day the fellow begins training. See NIH Notice of Award for more information.
<input checked="" type="radio"/> Fellowship - change of plans	Fellows are required to notify the awarding unit as soon as they are aware of any possible change in plans regarding their fellowship support.
<input checked="" type="radio"/> Fellowship - Funds Availability	No funds can be disbursed until an activation notice and payback agreement, if applicable, are submitted to NIH. This award should be activated within six months, in accordance with the latest activation date.
<input checked="" type="radio"/> Fellowship - General	Budget is for stipend, institutional allowance, and other fellowship expenses. Access the NIH Commons to determine Progress Report due dates and NIH program contacts.
<input checked="" type="radio"/> Fellowship - Payback Agreement	Submission of a Payback Agreement form is required for postdoctoral fellows in their first 12 months of Kirschstein-RSA postdoctoral support. See NIH Notice of Award for more information.
<input checked="" type="radio"/> Fellowship - Payback Service Requirements	An individual's initial 12 months of NRSA postdoctoral support is subject to the payback service requirements. See NIH Notice of Award for more information.
<input type="radio"/> Fellowship - Progress Report	Noncompeting continuation applications must use the PHS 416 form set
<input type="radio"/> Fellowship - Termination Report	
<input type="radio"/> Final Financial Report (FFR) NIH	A final Federal Financial Report must be submitted through the eRA Commons within 90 days of the expiration date. See Notice of Award and the NIH Grants Policy Statement Section 8.6.1 Financial Reports for more information.
<input type="radio"/> Final Invention Statement	A FA Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date.
<input type="radio"/> Final Progress Report	A Final Scientific Report is due within 30 calendar days following the research ending date. See Notice of award for full language or the Report requirements.

Standard Terms and Conditions

- Select one, then scroll to the bottom to click “OK” to add it, and, if needed, add another one

Add TermAndConditionEffective

* Term And Condition:

Name	Description
<input checked="" type="radio"/> Effort - PI NIH	Written prior approval is required if the PI withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.
<input checked="" type="radio"/> Fellowship - Activation Notice (PHS 4126-5)	An Activation Notice (PHS 416-5) must be submitted to the NIH awarding office as of the day the fellow begins training. See NIH Notice of Award for more information.
<input checked="" type="radio"/> Fellowship - change of plans	Fellows are required to notify the awarding unit as soon as they are aware of any possible change in plans regarding their fellowship support.
<input checked="" type="radio"/> Fellowship - Funds Availability	No funds can be disbursed until an activation notice and payback agreement, if applicable, are submitted to NIH. This award should be activated within six months, in accordance with the latest activation date.
<input checked="" type="radio"/> Fellowship - General	Budget is for stipend, institutional allowance, and other fellowship expenses. Access the NIH Commons to determine Progress Report due dates and NIH program contacts.
<input checked="" type="radio"/> Fellowship - Payback Agreement	Submission of a Payback Agreement form is required for postdoctoral fellows in their first 12 months of Kirschstein-RSA postdoctoral support. See NIH Notice of Award for more information.
<input checked="" type="radio"/> Fellowship - Payback Service Requirements	An individual's initial 12 months of NRSA postdoctoral support is subject to the payback service requirements. See NIH Notice of Award for more information.
<input type="radio"/> Fellowship - Progress Report	Noncompeting continuation applications must use the PHS 416 form set
<input type="radio"/> Fellowship - Termination Report	
<input type="radio"/> Final Financial Report (FFR) NIH	A final Federal Financial Report must be submitted through the eRA Commons within 90 days of the expiration date. See Notice of Award and the NIH Grants Policy Statement Section 8.6.1 Financial Reports for more information.
<input type="radio"/> Final Invention Statement	A FA Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date.
<input type="radio"/> Final Progress Report	A Final Scientific Report is due within 30 calendar days following the research ending date. See Notice of award for full language or the Report requirements.

OK

OK and Add Another

Cancel

Special Terms and Conditions

- Special Terms and Conditions can be added that are not on the standard list

Add TermAndConditionCustom

* **Name:**

Special T&C

* **Description:**

I'm adding a special T&C that was in the Notice of Award

* Required

OK

OK and Add Another

Cancel

Review the T&C list

- Review the T&C list
- The effective date will be entered for new awards when the award is activated

Terms and Conditions

3.a

Terms And Conditions:

<input type="button" value="Add"/>				
	Name	Description	Effective Date	Last Effective Date
<input type="button" value="Update"/>	Effort - PI NIH	Written prior approval is required if the PI withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.		<input type="button" value="Delete"/>
<input type="button" value="Update"/>	General - NIH/DOE MOU	This award is issued in accordance with the MOU between DOE and NIH, effective June 18, 1998, and as such, is governed by the cost principles in DOE Acquisition Regulations (section 9731). No funds have been provided for LDRD costs or FAC; however, LDRD costs may be recovered within the total cost award.		<input type="button" value="Delete"/>

3.b

Special Terms And Conditions:

<input type="button" value="Add"/>				
	Name	Description	Effective Date	Last Effective Date
<input type="button" value="Update"/>	Special T&C	I'm adding a special T&C that was in the Notice of Award		<input type="button" value="Delete"/>

Funding Allocations

- Funding Allocation are pre-populated from the eSRA Proposal
- Funding Allocation in eSRA have more information than the Mod Lines in FMS/RAPID
 - Proposed total
 - Awarded total

Funding Allocations

Funding Allocations for this Award

4.a

Add / Edit and Remove Funding Allocations:

Add										
	Name	Description	Start Date	End Date	Proposed Total	Awarded Total	Authorized Total	Funding Proposal	Authorized Date	RAPID Description
Update			4/1/2013	3/31/2014	\$811,394	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2014	3/31/2015	\$834,942	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2015	3/31/2016	\$836,412	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2016	3/31/2017	\$811,795	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2017	3/31/2018	\$808,628	\$0	\$0	Non-Coding Regions Rn		Delete

4.b

Funding Allocation Totals:

Update Funding Allocations

- Update the Funding Allocation lines based on the award document from the sponsor
- Delete lines that were not funded, update the others
- Awarded total is the amount for that funding allocation identified in the award document either approved for spending or committed (or estimated) in the award document
- Authorized total is the amount authorized to spend

Update Funding Allocation

Funding Allocation
Create or Edit Funding Allocation

4.a.1 * Sponsor Award Reference Number or Name for this Allocation:

4.a.2 Description:

4.a.3 * Associated Funding Proposal:

ID	Name	Principal Investigator
<input checked="" type="radio"/> FP00000109	Non-Coding Regions Rn	Inna Dubchak

Clear

4.a.4 * Start Date:

4.a.5 * End Date:

4.a.6 Authorized: RAPID Short Description:

4.a.7 Enter Totals:

Proposed	Awarded	Authorized
\$811,394	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>

Funding Allocation
Create or Edit Funding Allocation

4.a.1 * Sponsor Award Reference Number or Name for this Allocation:

4.a.2 Description:

4.a.3 * Associated Funding Proposal:

ID	Name	Principal Investigator
<input checked="" type="radio"/> FP00000109	Non-Coding Regions Rn	Inna Dubchak

Clear

4.a.4 * Start Date:

4.a.5 * End Date:

4.a.6 Authorized: RAPID Short Description:

4.a.7 Enter Totals:

Proposed	Awarded	Authorized
\$811,394	<input type="text" value="\$800,000"/>	<input type="text" value="\$800,000"/>

Review Funding Allocations

- “Save” to perform the calculations in 4.b
- “Authorized date” will be entered by eSRA when the award is activated

Funding Allocations

Funding Allocations for this Award

4.a Add / Edit and Remove Funding Allocations:

Add										
	Name	Description	Start Date	End Date	Proposed Total	Awarded Total	Authorized Total	Funding Proposal	Authorized Date	RAPID Description
Update			4/1/2013	3/31/2014	\$811,394	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2014	3/31/2015	\$834,942	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2015	3/31/2016	\$836,412	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2016	3/31/2017	\$811,795	\$0	\$0	Non-Coding Regions Rn		Delete
Update			4/1/2017	3/31/2018	\$808,628	\$0	\$0	Non-Coding Regions Rn		Delete

4.b Funding Allocation Totals:

Funding Allocations

Funding Allocations for this Award

4.a Add / Edit and Remove Funding Allocations:

Add										
	Name	Description	Start Date	End Date	Proposed Total	Awarded Total	Authorized Total	Funding Proposal	Authorized Date	RAPID Description
Update	TestPeriod1		4/1/2013	3/31/2014	\$811,394	\$800,000	\$800,000	Non-Coding Regions Rn		NEW Delete
Update	TestPeriod2		4/1/2014	3/31/2015	\$834,942	\$825,000	\$0	Non-Coding Regions Rn		Delete
Update	TestPeriod3		4/1/2015	3/31/2016	\$836,412	\$825,000	\$0	Non-Coding Regions Rn		Delete
Update	TestPeriod4		4/1/2016	3/31/2017	\$811,795	\$800,000	\$0	Non-Coding Regions Rn		Delete

4.b Funding Allocation Totals:

Proposed: \$3,294,543

Awarded: \$3,250,000

Authorized: \$800,000

Deliverables Template

- The OSPIP CO can do some initial set-up for deliverables required on the award.
- The RA (or PI) will then update the specific deliverables after the award is activated
- Select any templates to get a group of deliverable to populate

Deliverables Template

Select a deliverables template to generate deliverables for the award.

5.a Deliverables Templates:

Name
<input type="checkbox"/> Multiple Year NIH Fellowship includes annual and final year reporting
<input type="checkbox"/> Multiple Year DOD Award (quarterly reporting) includes quarterly and final year reporting
<input type="checkbox"/> Multiple Year DOD Award (annual reporting) includes annual and final year reporting
<input type="checkbox"/> Multiple Year NIH Award (eSNAP) includes annual and final year reporting
<input type="checkbox"/> Multiple Year NIH Award (non-eSNAP) includes annual and final year reporting
<input type="checkbox"/> <u>Multiple Year Federal Award includes annual and final year reporting</u>
<input type="checkbox"/> NIH Annual Financial Reporting with Carryforward Approval Required

Individual Deliverable

- Delete deliverables that do not apply
- Optionally, the OSPIP CO can add special deliverables that are specified in the award document

Deliverables

6.a Add / Remove or Edit Deliverables:

Add						
	Name	Description	Due Date	Required by Sponsor?	Is Complete	
<input type="button" value="Update"/>	eSNAP Non-competing continuation	1st eSNAP due 45 days prior to start of next budget period	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	eSNAP Non-competing continuation	2nd eSNAP due 45 days prior to start of next budget period	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	eSNAP Non-competing continuation	3rd eSNAP due 45 days prior to start of next budget period	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	eSNAP Non-competing continuation	4th eSNAP due 45 days prior to start of next budget period	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	Final Federal Financial Report	Final Federal Financial Report due 90 days after end of award	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	Final Invention Statement	Final Invention Statement, reviewed by Patent Office before submitting, due 90 days after end of award	3/31/2017	yes	no	<input type="button" value="Delete"/>
<input type="button" value="Update"/>	Final Technical Report	Final technical report due 90 days after end of award	3/31/2017	yes	no	<input type="button" value="Delete"/>

Completed Award

- Award Preparation Views are done
- Award can be edited while it is still in Award Preparation state

Completed Award

This completes the Data Entry Part of the Award Setup Process

To close the SmartForm, click the Finish Button on the right.

To begin the workflow review process, execute an activity in the Award's workspace.

The Award Workspace

- Award #
- Summary Information
- Link to Proposal(s)
- Information Tabs

Non-Coding Regions Rn

AWD00000094

Funding Award

Award Type:	Award	Start Date:	4/1/2013
Direct Sponsor:	NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST	End Date:	3/31/2017
Prime Sponsor:		Award Date:	12/5/2012
Principal Investigator:	Inna Dubchak	OSPIP CO:	David Garcia

RAs: There are no items to display

Cumulative Award Totals:

This Award:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Grand Totals:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000109	Non-Coding Regions Rn	Inna Dubchak

History

Funding Allocations

T & C

Deliverables

Modifications

Comments

Approvals



The Award Workspace

- Award #
- Summary Information

Non-Coding Regions Rn

AWD00000094

Funding Award

Award Type:	Award	Start Date:	4/1/2013
Direct Sponsor:	NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST	End Date:	3/31/2017
Prime Sponsor:		Award Date:	12/5/2012
Principal Investigator:	Inna Dubchak	OSPIP CO:	David Garcia
RAs:	There are no items to display		
Cumulative Award Totals:			
This Award:	Proposed	Awarded	Authorized
	Total: \$3,294,543	\$3,250,000	\$800,000
Grand Totals:	Proposed	Awarded	Authorized
	Total: \$3,294,543	\$3,250,000	\$800,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000109	Non-Coding Regions Rn	Inna Dubchak

History

Funding Allocations

T & C

Deliverables

Modifications

Comments

Approvals

No Post-Award RA identified

- Only the Post-Award RA carries forward from the proposal to the award.
- If the field is blank, staff will not be receiving notifications
- The OSPIP CO can add a Post-Award RA at any time

The screenshot displays the eSRA Proposal System interface for a funding award. The header includes the Lawrence Berkeley National Laboratory logo, the text 'eSRA Proposal System', and the U.S. Department of Energy logo. The user is logged in as David Garcia. The main content area shows the award details for 'Non-Coding Regions Rn' (Award ID: AWD00000094). The 'Award Type' is 'Award', 'Direct Sponsor' is 'NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST', and 'Prime Sponsor' is 'NATL INST'. The 'Principal Investigator' is Inna Dubchak. The 'Award Date' is 12/5/2012, and the 'OSPIP CO' is David Garcia. The 'RAS' field is highlighted in yellow and contains the text 'There are no items to display'. Below this, a table shows 'Cumulative Award Totals' for 'This Award' and 'Grand Totals', with columns for Proposed, Awarded, and Authorized amounts. The 'Awarded Funding Proposals' table shows one proposal with ID FP00000109, Name 'Non-Coding Regions Rn', and Principal Investigator 'Inna Dubchak'. The interface includes a sidebar with 'Award Preparation' and 'Activities' sections, and a bottom navigation bar with tabs for History, Funding Allocations, T & C, Deliverables, Modifications, Comments, and Approvals.

Current State **Non-Coding Regions Rn** **AWD00000094** **Funding Award**

Award Preparation

- Edit Award
- Printer Version
- View Differences
- Create Child Award
- Award Documents
- Terms And Conditions

Activities

- Set Award Relationships
- Log Comment
- Reassign OSPIP
- Log OSPIP Comment
- Email Award Team
- Reject Award
- Award Preparation Complete
- Request DOE Signature
- Merge Word Document

Award Details:

- Award Type:** Award
- Direct Sponsor:** NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST
- Prime Sponsor:** NATL INST
- Principal Investigator:** Inna Dubchak
- RAS:** There are no items to display
- Start Date:** 4/1/2013
- End Date:** 3/31/2017
- Award Date:** 12/5/2012
- OSPIP CO:** David Garcia

Cumulative Award Totals:

This Award:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Grand Totals:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000109	Non-Coding Regions Rn	Inna Dubchak

History Funding Allocations T & C Deliverables Modifications Comments Approvals

The Award Workspace

- Link to Proposal(s)

Non-Coding Regions Rn
AWD00000094
Funding Award

Award Type:	Award	Start Date:	4/1/2013
Direct Sponsor:	NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST	End Date:	3/31/2017
Prime Sponsor:		Award Date:	12/5/2012
Principal Investigator:	Inna Dubchak	OSPIP CO:	David Garcia
RAs:	There are no items to display		

Cumulative Award Totals:

This Award:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Grand Totals:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000109	Non-Coding Regions Rn	Inna Dubchak

History
Funding Allocations
T & C
Deliverables
Modifications
Comments
Approvals

The Award Workspace

- Information Tabs
 - History of the Award
 - Funding Allocations
 - Terms and Conditions
 - Deliverables
 - Modifications
 - Approvals

Non-Coding Regions Rn
AWD0000094
Funding Award

Award Type:	Award	Start Date:	4/1/2013
Direct Sponsor:	NIH HEART, LUNG & BLOOD, NATL INST NIH HEART, LUNG & BLOOD, NATL INST	End Date:	3/31/2017
Prime Sponsor:		Award Date:	12/5/2012
Principal Investigator:	Inna Dubchak	OSPIP CO:	David Garcia

RAs: There are no items to display

Cumulative Award Totals:

This Award:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Grand Totals:	Proposed	Awarded	Authorized
Total:	\$3,294,543	\$3,250,000	\$800,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000109	Non-Coding Regions Rn	Inna Dubchak

History
Funding Allocations
T & C
Deliverables
Modifications
Comments
Approvals

The Award Preparation Workspace

- Current State
- Edit/Print/View Options
- Shortcut to Award Document
- Shortcut to Terms and Conditions
- Activities

Current State

Award Preparation

- Edit Award
- Printer Version
- View Differences
- Create Child Award

Award Documents

Terms And Conditions

Activities

- Set Award Relationships
- Log Comment
- Reassign OSPIP
- Log OSPIP Comment
- Email Award Team
- Reject Award
- Award Preparation Complete
- Request DOE Signature
- Merge Word Document
- Edit RAs
- Edit P2Cs

A Note about Internal Approvals

- Proposal Approvals stay with the proposal and are accessed through the proposal link
- Approvals with the Award:
 - IRB Certification
 - IACUC Certification
 - FCOI Approval, if applicable

Award Preparation Activities

- Set Award Relationships (for complex relationships)
- Reassign OSPIP **permanently** reassigns the award to another OSPIP CO
- Reject award available in case everything falls apart and this award cannot be activated
- Award Preparation Complete
 - Validates all required field are entered
 - Validates all FMS/RAPID information is entered
 - Start the award activation process by sending proposal and award information to FMS/RAPID

Activities	
	Set Award Relationships
	Log Comment
	Reassign OSPIP
	Log OSPIP Comment
	Email Award Team
	Reject Award
	Award Preparation Complete
	Request DOE Signature
	Merge Word Document
	Edit RAs
	Edit P2Cs

Award Preparation Activities

- Request DOE Signature, if needed

Activities

-  Set Award Relationships
-  Log Comment
-  Reassign OSPIP
-  Log OSPIP Comment
-  Email Award Team
-  Reject Award
-  Award Preparation Complete
-  Request DOE Signature
-  Merge Word Document
-  Edit RAs
-  Edit P2Cs

When DOE has to Sign

- Request approval
 - Attach the appropriate sponsor documents
 - Use comments to provide any additional information
 - Reconciliation form is automatically created
 - Current State changes to "Awaiting DOE Signature"
 - DOE Award role is notified by email
- When DOE Approves:
 - Current State changes to
 - OSPIP CO is notified by email
- DOE can request changes or additional information

Request DOE Signature

- Answer the question in the Activity View and eSRA will create the Award Reconciliation Sheet for BSO



Request DOE Signature

Request DOE Signature

* Award setup is complete:

If FAC is waived how much:

* The amount of LBNL LDRD:

Other DOE Lab LDRD:

* DOE Requirement for full funding is current fiscal year and the first three months of the next fiscal year:

Incremental Funding

Full Funding

[Clear](#)

Comments:

Attachments:

[Add](#)

Document	Description
View	DOD_IAG.pdf(0.01)

[Upload Revision](#)

[Delete](#)



DOE Signature Requested

- DOE Signature Requested is stored in History Section with the Reconciliation Sheet created by eSRA and the attachment(s) provided by the OSPIP CO
- An email notification is sent to BSO for their signature

History	Funding Allocations	T & C	Deliverables	Modifications	Comments	Approvals
Activity	Author	Activity Date				
 DOE Signature Requested	Garcia, David A	12/5/2012 3:32 PM PST				
 Reconciliation Sheet.docx						
 DOD_IAG.pdf						

- State changes to "Awaiting DOE Signature"

Current State

Awaiting DOE Signature

Funding Order Reconciliation Sheet

FUNDING ORDER RECONCILIATION SHEET

(Only Required for Direct Funding from Federal Agencies)

David Garcia

1. SPONSOR AGENCY: National Institute for Occupational
Safety and Health

2. PROPOSAL No.: FP00000171

3. LBNL Award Number: AWD00000039

4. SPONSOR Reference Award No.: spawdfp171

5. FAC Waived? no
If waived how much?

Total DOE Approved Amount for Proposal (2.) \$202,000.00

Amount of Funding Order (3.) Above: \$104,030.00

Includes LBNL LDRD	\$4,500.00
and other DOE Lab LDRD of	N/A

Prior Funding Received for Proposal (2.) Above: \$0.00

Balance Remaining on Proposal (2.) Above: \$97,970.00

This funding order is for: Incremental Funding

DOE SECTION ONLY:

WAIVER OF FULL FUNDING REQUIREMENT APPROVED: ___ DISAPPROVED: ___

DOE DIRECTOR, FINANCE AND ACCOUNTING SIGNATURE _____ DATE _____

Award Preparation Complete – Activate an Award



- eSRA checks for required approvals
- IRB and IACUC certification is not a hard stop to award creation
- eSRA checks award set-up for all information required by FMS

Award Preparation Complete

Could not execute the Award Preparation Complete activity due to one or more errors:
There are required Institutional Reviews that are Incomplete on the Funding Proposal. Please check the Approvals tab in the Funding Proposal Workspace.

* Award setup is complete:

Comments:

Attachments:

Add

Document	Description
There are no items to display	

Award Preparation Complete – Activate an Award

- eSRA sends award information to RAPID
- RAPID creates proposal, generates award and communicates back to eSRA
- If AR Approval is required, the process pauses until AR Approval is obtained

Award Activated by PeopleSoft & eSRA

- State changes to "Active Award"
- Award activation stores in the History Section

Current State

Active Award

[View Award](#)

[Printer Version](#)

[View Differences](#)

[Create Child Award](#)

[Create Modification](#)

[Award Documents](#)

[Terms And Conditions](#)

Activities

[Set Award Relationships](#)

[Log Comment](#)

[Reassign OSPIP](#)

[Update Deliverables](#)

[Log OSPIP Comment](#)

[Email Award Team](#)

[Update Key Personnel Effort](#)

[Complete Deliverable](#)

[Merge Word Document](#)

[Edit RAs](#)

[Edit P2Cs](#)

integration test AWD00000093 Funding Award

Award Type:	Award	Start Date:	12/1/2012
Direct Sponsor:	NIH GENERAL MEDICAL SCIENCE, NATL INST NIH GENERAL MEDICAL SCIENCE, NATL INST	End Date:	11/30/2013
Prime Sponsor:		Award Date:	11/19/2012
Principal Investigator:	Gary Karpen	OSPIP CO:	David Garcia

RAs: There are no items to display

Cumulative Award Totals:

This Award:	Proposed	Awarded	Authorized
Total:	\$110,000	\$110,000	\$110,000

Grand Totals:	Proposed	Awarded	Authorized
Total:	\$110,000	\$110,000	\$110,000

Awarded Funding Proposals:

ID	Name	Principal Investigator
FP00000231	integration test	Gary Karpen

History | Funding Allocations | T & C | Deliverables | Modifications | Comments | Approvals

Activity	Author	Activity Date
Award Activated	PeopleSoft, eSRA	11/19/2012 1:52 PM PST
Award Preparation Completed	Banker, Parth K	11/19/2012 1:50 PM PST

eSRA vs. RAPID

- Information only in eSRA:
 - Terms and Conditions
 - Deliverables
 - Proposal and Awarded amounts
 - Award History
- Information only in RAPID:
 - Project set-up

Information in both eSRA and RAPID must always be the same.

Award Workspace - Activities

- Current State
- Edit/Print/View Options
- Create Modification Request
- Shortcut to Award Document
- Shortcut to Terms and Conditions
- Activities

Current State

Active Award

- View Award
- Printer Version
- View Differences
- Create Child Award
- Create Modification

[Award Documents](#)

[Terms And Conditions](#)

Activities

- Set Award Relationships
- Log Comment
- Reassign OSPIP
- Update Deliverables
- Log OSPIP Comment
- Email Award Team
- Update Key Personnel Effort
- Complete Deliverable
- Merge Word Document
- Edit RAs
- Edit P2Cs

Reading the Terms & Conditions

- Standard Terms and Conditions
- Custom Terms and Conditions
- Condition effective dates



Terms And Conditions:

Name	Description	Effective Date	Last Effective Date
View Effort - PI NIH	Written prior approval is required if the PI withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.	12/5/2012	
View General - NIH/DOE MOU	This award is issued in accordance with the MOU between DOE and NIH, effective June 18, 1998, and as such, is governed by the cost principles in DOE Acquisition Regulations (section 9731). No funds have been provided for LDRD costs or FAC; however, LDRD costs may be recovered within the total cost award.	12/5/2012	

Special Terms And Conditions:

Name	Description	Effective Date	Last Effective Date
View Special T&C	I'm adding a special T&C that was in the Notice of Award	12/5/2012	

Reading the Award Documents

- Award documents are uploaded at time of award and with some post-award modifications



Award Documents

Award Documents:

Document	Description
View Notice_of_Award.pdf(0.01)	

Funding Allocations – Summary

- Proposal amount = amount requested in the original proposal
- Award amount = amount awarded in the original award document
- Authorized amount = the amount approved for spending
- Authorized funding allocations have an authorized date and are transmitted to RAPID as authorized.
- Award amounts are estimated amounts for future funding allocations.

Cumulative Award Totals:

This Award:		Proposed	Awarded	Authorized
	Total:	\$3,294,543	\$3,250,000	\$800,000

Grand Totals:		Proposed	Awarded	Authorized
	Total:	\$3,294,543	\$3,250,000	\$800,000

Funding Allocations – Details

History

Funding Allocations

T & C

Deliverables

Modifications

Comments

Approvals

Funding Allocations

Name	Authorized Date	Start Date	End Date	Proposed Total	Awarded Total	Authorized Total	Funding Proposal
TestPeriod1		4/1/2013	3/31/2014	\$811,394	\$800,000	\$800,000	Non-Coding Regions Rn
TestPeriod2		4/1/2014	3/31/2015	\$834,942	\$825,000	\$0	Non-Coding Regions Rn
TestPeriod3		4/1/2015	3/31/2016	\$836,412	\$825,000	\$0	Non-Coding Regions Rn
TestPeriod4		4/1/2016	3/31/2017	\$811,795	\$800,000	\$0	Non-Coding Regions Rn

View/Print the Award

- View the Award to scroll page by page, or “jump” to specific section of the award information
- Print the Award to print all of the information about the award for easy reference



- eSRA does not issue a SPAA, you print it yourself.

eSRA vs. RAPID

- Information only in eSRA:
 - Terms and Conditions
 - Deliverables
 - Proposal and Awarded amounts
 - Award History
- Information only in RAPID:
 - Project set-up
 - Costing

Information in both eSRA and RAPID must always be the same.

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