



# 1. PI REVIEW AND APPROVAL

This procedure contains the entire process for the PI's review and approval of an application including an electronic signature.

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

## PI Review and Approval – General Information

- Although the PI can log in directly to eSRA through <http://GoApp/OSPIP>; it is easier to link to the specific proposal from the email notification received in your Lab email. Alternate methods: type "Grants" in an LBNL browser, or locate in the A-Z Index under "eSRA Proposal System".
- A proposal may be reviewed and sent to the Division and to OSPIP for review without final science. **The application must be complete, but the science uploads can be drafts.** If you have questions about this, please contact your OSPIP Contracts Officer.
- The numbers in the written instructions will point you to the location on the related screen-print in the instructions.

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

The sequence for the basic review and approval is important.

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

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

Caution Warning	Serious Warning	Notes	Tips	Important



2. Find the proposal in the Home Page Inbox.



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



Note: In your home page, your roles will be listed on the left. Everyone has the role of "Registered User" which allows access to the system, but not to any specific proposals. You should have the role of PI. If you have other roles available, they will also be listed.

- 2a. Highlight your PI role to see the inbox of proposals for your role as PI.
- 2b. Select the proposal you want to review.



Note: Only proposals where you have required or optional actions will be in your inbox. Other proposals will be in the other tabs on your home page.



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

- 3a. Nickname (title) of the proposal
- 3b. Proposal number
- 3c. Current state of the proposal – this will determine what activities are available and who can perform actions. When the proposal is in the “PI Approval” state the Proposal Team, including the PI, cannot update or make changes to the proposal.
- 3d. These are proposal components available for the user to do with the proposal: edit or print.
- 3e. Tabs contain specific information. Information relevant to the review and approval process will be explained later in these instructions.
- 3f. Summary information box contains: proposal information, budget totals, and SF424 information.

This page of the instructions is for information only.

The screenshot shows the proposal workspace interface. Callouts are placed over various elements:

- 3a:** Points to the "Proposal Nickname" field.
- 3b:** Points to the proposal number "FP00000237".
- 3c:** Points to the "CURRENT STATE" dropdown menu, which is set to "PI Approval".
- 3d:** Points to the "Edit Funding Proposal" button.
- 3e:** Points to the navigation tabs: "Proposal Information", "PIF", "Approvals", "Comments", "Attachments", "Contacts", and "Submission To Sponsor".
- 3f:** Points to the "PROPOSAL INFORMATION" section, which includes fields for PI (National Institutes of Health), OCO (LBNL OCO), RA (There are no items to display), Status of Science (Draft), Submission Deadline (10/5/2012), and NIH Application #.
- 3g:** Points to the "My Activities" sidebar menu, which includes options like "Copy Funding Proposal", "Update SF424", "Validate Proposal and SF424", "Generate SF424", "Log General Comment", "OCO Comments", "Email Team", and "Discontinue".
- 3h:** Points to the "History" section, which shows a list of activities with columns for Activity, Author, and Activity Date. Activities include "Submitted to PI", "Generated PDF Version", and "SF424 Updated".

- 3g. Activities are actions available while proposal is in this state.
- 3h. History of activities previously taken for this proposal are shown. Comments entered and attachments to notifications are also displayed in this history section.

4. Review Proposal

There are two methods to reviewing the eSRA proposal information. These are the answers to the questions required by LBNL for submission of a proposal and might also contain questions required by the sponsor.

- 4a. **Edit Funding Proposal** will allow you to review the data fields and edit, if necessary. You will need to page through each View to see the complete proposal. To print the proposal information for your records, you will need to print each page individually; or you can print selected pages.
- 4b. **Printer Version** will create a single document that you can scroll through to see all of the questions and the answers provided. To print the proposal information for your records, you can print all of the information in a single action.

UAT 4 Scenario 4A

FP0000237 Resubmission

The screenshot displays the 'CURRENT STATE' of a proposal. On the left, a sidebar contains 'My Activities' with options like 'Copy Funding Proposal', 'Update SF424', and 'Generate SF424 PDF'. The main content area has tabs for 'Proposal Information', 'PIF', 'Approvals', 'Comments', 'Attachments', 'Contacts', and 'Submission To Sponsor'. The 'Proposal Information' tab is active, showing a table with three columns: 'PROPOSAL INFORMATION', 'BUDGET TOTALS', and 'SF424 INFORMATION'. Below this is a 'History' table listing activities such as 'Submitted to PI', 'Generated PDF Version', and 'SF424 Updated'. Callout '4a' points to the 'Edit Funding Proposal' button, and callout '4b' points to the 'Printer Version' button.

PROPOSAL INFORMATION		BUDGET TOTALS		SF424 INFORMATION	
Primary Sponsor:	National Institutes of Health	Starting Date:	4/1/2011	SF424 Tracking#:	
PI:	LBNL PI	Number of Periods:	4	SF424 Received Date/Time:	
OCO:	LBNL OCO	Total Direct:	\$915,000	SF424 Status Updated:	
RA:	There are no items to display	Total Indirect:	\$452,500	SF424 Current State:	Pre-Submission
Status of Science:	Draft	Total LBNL Costs:	\$1,367,500	PDF Version	View
Submission Deadline:	10/5/2012	FAC Costs:	\$41,025		
NIH Application #:		Total Project Costs:	\$0		
		Sponsor Costs:	\$0		
		Awarded Total:	\$0.00		

Activity	Author	Activity Date
Submitted to PI	Sylvester, Cynthia L	10/31/2011 1:55 PM PDT
Generated PDF Version	Sylvester, Cynthia L	10/31/2011 1:54 PM PDT
SF424 Updated	Gale, Phyllis M. Housel	4/19/2011 7:25 AM PDT



This is a change from the prior recommended way to review the entire proposal information.

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



**This step is optional.** You can skip this step if your proposal team has already generated an SF424 PDF for you to review.

**CURRENT STATE**

PI Approval

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team
- Discontinue

5

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 the application.**



**This step is optional.** You can skip this step if your proposal team has just generated an SF424 PDF for you to review.

**CURRENT STATE**

PI Approval

Edit Funding Proposal

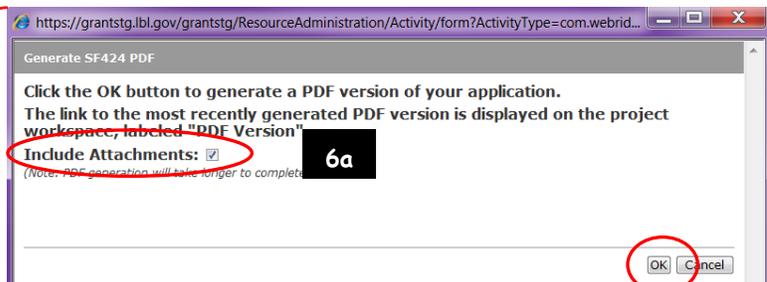
Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
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- Log General Comment
- Email Team
- Discontinue

6

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



- 6b. Click "OK" to generate the PDF.
- 6c. The Generated PDF Version will show in the History Tab of the main proposal workspace and indicate who generated it along with the date and time.

6b

History **6c**

Activity	Author	Activity Date
Generated PDF Version	PI	10/11/2011 3:48 PM PDT
Latest PDF version is available on workspace summary		
SF424 Updated	PI	10/11/2011 3:48 PM PDT
Approved for Division Review	PI or RA	10/11/2011 3:41 PM PDT
Submitted to PI	PI or RA	10/11/2011 3:41 PM PDT
Please review and approve the proposal for submission. The proposal is complete, but the science can be in DRAFT status.		
Generated PDF Version	PI or RA	10/11/2011 3:39 PM PDT
Latest PDF version is available on workspace summary		
SF424 Updated	PI or RA	10/11/2011 3:39 PM PDT

7. Review the Generated PDF from the History Log

7a. Click on the highlighted "Generated PDF Version" in the history section to access the document.

The screenshot shows the eSRA Proposal System interface. The main content area is titled 'Transgenic Mice' and includes a 'CURRENT STATE' section with a 'PI Approval' button. Below this are several tabs: 'Proposal Information', 'PIF', 'DOE', 'Approvals', 'Comments', 'Attachments', 'Contacts', 'Submission To Sponsor', 'New Sponsor Requests', and 'Change Log'. The 'Proposal Information' tab is active, displaying details such as 'Primary Sponsor: NIH NATL CANCER INSTITUTE (NCI)', 'PI: Mina Bissell', and 'Status of Science: Draft'. To the right, there are sections for 'BUDGET TOTALS' and 'SF424 INFORMATION'. On the left sidebar, under 'My Activities', the 'Generate SF424 PDF' button is circled in red and labeled '7a'. Below this, the 'History' tab is active, showing a list of activities. One activity, 'Generated PDF Version', is circled in red and labeled '7b', with a yellow highlight on the document name 'SF424.pdf'.

7b. Select hyperlink of the SF424.pdf document in the "Generated PDF Version" listing in the History tab.

8. OPTIONAL: Request changes from Proposal Team – PI may send the proposal back to the Proposal Team requesting changes without approving the proposal for division review. 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.



In the case of submitting a proposal for review with Draft Science (and you don't need changes before submitting it to the division), do not send the proposal back to the Proposal Team; submit it for approval and note in the comments box that the science is still "Draft"



Another option is to "Email the Proposal Team" without sending it back for changes; but your comments will not be saved with the proposal if you email outside of the eSRA system. See step 10 for those instructions.

**CURRENT STATE**

PI Approval

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
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- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team
- Discontinue

8

- 8a. Comments can be entered in the box.
- 8b. Documents can be added when requesting changes.
- 8c. Click "OK" to submit the request.



Note: Changes will come directly back to the PI.



When the proposal is in "PI Review: Requesting Changes" state, the proposal will show in the inbox of the PI because s/he is part of the Proposal Team.



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

History	
Activity	Author
Submitted Changes corrected	RA
Requested Changes from Proposal Team Please check the spelling on the Person Profile page	PI
Submitted to PI	PI or RA

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



**This step is optional.** You can skip this step if you don't have comments you want to log for the proposal.

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

9a. Comments should be entered in the box.

9b. Click "OK" to submit.

**CURRENT STATE**

PI Approval

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF
- Log General Comment
- Email Team
- Discontinue

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Log General Comment

Comments:  
General comments can be entered here that will appear in the history log

9a

9b

OK Cancel

10. **OPTIONAL: Email Proposal Team** – This will send an email notification to specific people on the Proposal Team and save the message, with comments and attachments, in the history section of the proposal workspace; but it will not change the state of the proposal.

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

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

**CURRENT STATE**

**PI Approval**

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
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- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF
- Log General Comment
- Email Team**
- Discontinue

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**Email Team**

Notify Team:

**10a** Add

Person

There are no items to display

Comments to be placed in the notification:

**Select One or More Persons**

Filter by Last |  | Go Clear Advanced

Deselect All

1-2 of 2

<input type="checkbox"/>	Last	First	Department	Division
<input type="checkbox"/>	Cooper	Priscilla K	Cancer & DNA Damage Responses	Life Sciences
<input type="checkbox"/>	Garcia	David A	Sponsored Projects	Office of Chief FinanceOfficer

1-2 of 2

OK Cancel

**10b**



We strongly recommend using the “Email Team” activity in eSRA rather than just your Lab email account because the text of the email will be saved with the proposal for historical reference.

- 10c. Once selected, the names will appear in the "Email Team" Window
- 10d. Comments or change can be entered in the box.
- 10e. Documents can be added when requesting changes.
- 10f. Click "OK" to submit the request.
- 10g. The email will be noted in the History Log.

**CURRENT STATE**

**PI Approval**

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team**
- Discontinue

**Email Team**

Notify Team:

Person

Priscilla K Cooper **10c** Remove

David A Garcia Remove

Comments to be placed in the notification:

**10d**

Attachments:

Add **10e**

Document	Description
There are no items to display	

**10f** OK Cancel

History	
Activity	Author
<b>10g</b> Team Emailed	PI
Comments in email to Proposal Team entered here. Attached is the budget justification. Please swap with the one in the proposal b BudgetJustification.pdf	
Submitted Changes	PI or RA
Requested Changes from Proposal Team	PI

## B. Approve the Proposal for Division Review



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

1	Approve for Division Review - The PI provides electronic approval for the proposal and submits it for Division Review.
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1a. The LBNL and Sponsor Assurances screen will pop up. **Read and check the "I Agree" box for each set of assurances.** If you cannot agree to one or more of the assurances, contact your OSPIP Contracts Officer to discuss. The proposal cannot be submitted without the PI's approval of the proposal and the required assurances.

1b. Comments can be added in the box.

1c. Click "OK" to approve.

**CURRENT STATE**

PI Approval

Edit Funding Proposal

Printer Version

**My Activities**

- Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review**
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team
- Discontinue

1

Approve for Division Review

**NIH Assurance**  
The PI Signature must be obtained and forwarded to the Sponsored Projects Office as part of the submission of the proposal. If multiple PIs are proposed in an application, this assurance must be retained for all named PIs. All PIs must sign prior to the submission of the proposal. The Sponsored Projects Office will retain the signed assurance(s) with the proposal and make it available to NIH or other authorized HHS or Federal officials upon request. (NIH NOT-OD-06-054)

PRINCIPAL INVESTIGATOR/PROGRAM DIRECTOR ASSURANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports.

\* I Agree  **1a**

**NIH Disclosure Permission Statement:**  
If this Application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name address, telephone and email address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g. possible collaborations, investment)?

\* I Agree  **1a**  
Note: that the NIH will not disclose information on multiple PIs are uploaded in the Research Personnel View 4.

**LBNL Principal Investigator Approvals**  
The Principal Investigator certifies the following prior to submission of the proposal to the Office of Sponsored Projects and Industry Partnerships:

- The information contained herein and in the proposal is true, accurate, and complete.
- If an award is made
  - I will accept full responsibility for the scientific conduct of the project and to provide the required deliverables, progress reports, and final reports.
  - I will maintain continued approval for regulatory compliance including EH&S, Conflict of Interest, Human Subjects and Animal Use continuously through the entire period of performance.
- I am not debarred, suspended, proposed for debarment or voluntarily excluded from current transaction by a federal agency or departments.

I approve this proposal  **1a**

If you would like to request a change from the proposal team please exit this form and select to "Request Changes from Proposal Team".

Comments:  
 **1b**

Attachments:  

Add
Name
There are no items to display

**1c** OK Cancel



In the case of Fellowship proposals, the activity will be "Approve for Mentor Review"



- 1e. The State will change to "Division Proposal Review"
- 1f. The approval is recorded in the History Log and the OSPIP CO identified in the proposal will be notified in their Lab Email. The proposal will now show in their inbox.

**1f**

History	Activity	Author
	Approved for Division Review	PI
	Submitted to PI	PI or RA
	Submitting to PI	
	SF424 Updated	PI or RA