Principal Investigator:
Step By Step Proposal Approval Guide
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Overview:
This guide reviews the steps which require your action as Principal Investigator. If you intend to create the proposal yourself on RAPPORT, please refer to the "Step by Step Guide to Create and Route a NEW Proposal".

- Dept. Research Administrator (DRA) or PI creates new proposal
- PI receives Notification to complete PI Routing Approval (triggered when the DRA runs the Forward to DRA activity)
- DRA routes the proposal for review: goes first to departmental reviewers, then OSP
- Once OSP approves proposal, PI receives notification and completes PI Submission Approval
- OSP submits to grants.gov

The two important steps the PI needs to complete to successfully route and submit a proposal are:

1. **PI Routing Approval**: This must be completed before the proposal can be routed for departmental review; this is the equivalent of signing the routing form. When the DRA creates the funding proposal, the execution of the Forward to DRA activity, by the DRA, will send a notification email to the PI that routing can be started and that you must complete ‘PI Routing Approval’.

2. **Forward to DRA**: When the PI creates the funding proposal and the DRA is unaware of the funding proposal (the DRA has not been listed on View 1.0 of the proposal), the PI needs to run the Forward to DRA activity. Typically, however, the DRA executes this activity.

3. **PI Submission Approval**: After the proposal has been routed and approved by OSP, the PI needs to complete this final activity before OSP can submit it to grants.gov. You will receive a notification email to alert you to perform a review of the proposal and issue approval. If you find an issue that needs to be corrected then
Logging into RAPPORT

My NetID ____________________

To look up your NetID: [http://tech.dartmouth.edu/its/services-support/help-yourself/netid-lookup](http://tech.dartmouth.edu/its/services-support/help-yourself/netid-lookup)

If you have forgotten your NetID Password, you can change it at: [http://tech.dartmouth.edu/its/services-support/help-yourself/knowledge-base/changing-your-password](http://tech.dartmouth.edu/its/services-support/help-yourself/knowledge-base/changing-your-password)

Login to RAPPORT using your NetID and password [https://grants-rapport.dartmouth.edu/](https://grants-rapport.dartmouth.edu/).

This window opens – click on My Home to be taken to your personal page:

Your personal page opens:

"My Action Items" contains proposals needing your action.

Click on the title to be taken to the proposal workspace.
Completing the PI Routing Approval

PI Routing Notification

When the Department Research Administrator (DRA) has the proposal ready to route, the DRA will run the *Forward to DRA* activity. This sends you the below notification. Click on the blue text hyperlink to be brought to RAPPORT and the specific proposal requiring your activity.

![PI Routing Approval Notification](image)

Please complete the PI Routing Approval for this proposal by clicking on the following link: [FP00000763](#).

The Routing Approval is your response to several questions that are required for proposal submission. The PI Routing Approval facilitates the reporting of your proposal submissions to the Council on Sponsored Activities.

PI Routing Approval activity

![Proposals > New R21 TBD](image)

In the proposal workspace, click on the *PI Routing Approval* activity, on the left hand navigation bar.
Clicking on this activity button brings up the pop up window below:

<table>
<thead>
<tr>
<th>Activity Button</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PI Routin Approval</strong></td>
</tr>
</tbody>
</table>

- **Are you delinquent or suspended from using Federal funds?**
  - Yes ☐ No ☑

- **Are you delinquent on any federal debt?**
  - Yes ☐ No ☑

- **Does the project involve activities outside of the United States or partnerships with international collaborators?**
  - Yes ☐ No ☑
  - If yes, then please list countries:
    - 

- **Will your project involve the shipment of equipment or materials outside of the US?**
  - Yes ☐ No ☑

- **Will your project involve research containing source code for encrypted software (other than publicly available software distributed at no charge)?**
  - Yes ☐ No ☑

- **Will your project involve the use, design, development, or production of defense related in the Munitions List (equipment, services, software, or technology, stockpiling or use of a nuclear device, chemical or biological weapons, or aiding)?**
  - Yes ☐ No ☑

- **Will your project involve the PI or any research personnel providing data, services, conducting transactions or travelling to embassied/sanctuaryed/countries?**
  - Yes ☐ No ☑

- **Is proprietary or confidential information included in the application (years or collaborators)?**
  - Yes ☐ No ☑

- **Does this project have an Actual or Potential Impact - positive or negative - on the environment?**
  - Yes ☐ No ☑

- **If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?**
  - Yes ☐ No ☑

- **Widener Permissible 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 number and e-mail address of the official supplying the applicant organization, to organizations that may be interested in contracting you for further information (e.g. possible collaboration, investment)?
    - Yes ☐ No ☑

After responding to the questions, be sure to click OK at the bottom of the page.

This approval activity then appears in the History section at the bottom of the proposal workspace.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Author</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI has approved FP for routing</td>
<td>PINine, Test M.</td>
<td>3/5/2015 4:35 PM</td>
</tr>
</tbody>
</table>

Once the PI has completed this approval, an email will be sent to the DRA named on this proposal to indicate it is ready to begin the routing process. Only a DRA can send it on the routing path through department review and then to OSP.
Completing the PI Submission Approval

PI Submission Approval – Part 1

Once OSP has approved the proposal, you will receive a notification that you can perform a final review of the proposal and issue your PI Submission Approval.

Use the notification to navigate to the proposal and select the PI Submission Approval activity from the menu to either approve the proposal or allow yourself and your DRA to make changes.

This is similar to a digital signature of approval allowing for submission and is the final step prior to submission.

Prior to this approval, it is advisable to review the final version of the proposal and check that the attachments are the correct versions. (See next page.)

If you find that any update is required, you can select that the proposal is not ready to submit. This unlocks the proposal so you and your DRA can update it. When the changes have been made, you again run the PI Submission Approval activity and indicate that the proposal is ready to submit.
Reviewing the Funding Proposal

The easiest way to see the Funding Proposal Views is to **right-click** on "Printer Version" and select "Open link in new window" to open all the views in a scrollable window.

Below is a section of the printer version:

Here the attachments can be reviewed; they can be opened by clicking on the file name.

**Update Science Attachments**

The science attachments may be updated in most states by clicking here, even if the views in the funding proposal is in a read-only state because it is being reviewed by, for example, your Chair or OSP.

Then this window opens:

Click OK or Cancel to close this window to return to the proposal workspace.
Reviewing the SF424 Forms

The SF424 workspace, of RAPPORT, is where the complete budget is found. Other specific files such as the budget justification, letters of support and others required for the specific FOA are uploaded in this section by your Department Research Administrator. The information pertinent to Dartmouth College, senior/key personnel and some criteria for oversight of the planned map into the SF424 from the Views/Smart Forms of the Funding Proposal workspace.

🌟 Attention – Proper Work Procedures for the SF424.

You may be accustomed to entering information in the SF424 through the creation and submission of Adobe Packages, the process in RAPPORT is very different. You need to use the Funding Proposal Workspace/Views to enter, add and edit proposal information and attach files. The exceptions are the budget and those specific files that are exclusively attached only to the SF424 (ask your Department Research Administrator or Grants Officer). When you use the SF424 Forms to make changes to information that maps from the Funding Proposal Views, the SF424-made changes will be overwritten by the Create-Update SF424 Activity. The Create-Update SF424 activity can be run by many - the Grants Officer, the Principal Investigator, the OSP Director, any DRA with Edit Rights and the OSP-IS team, which offers ample opportunities for files and information to disappear and be submitted. The result has been that proposals are rejected by the Federal Sponsor.

Accessing the SF424

To review the SF 424, click on the tab then click on the link as highlighted in this example.

You now enter the SF 424 workspace.

SF424 Workspace

Clicking on the highlighted link, in the preceding figure, brings you to the SF424 Workspace for the proposal. As you can see by the terminology SF42400000767 for FP00000744, the change in the displayed activities on the left, and the project type indicator in the top right corner, this is the SF424 Workspace. Click on the Print Version activity to review the proposal with the details of the budget and all attachments.
The SF424’s **Print Version** presents the proposal in the manner seen in the Adobe Forms. As you review the **Print Version**, the attachments are given by their file name. The file names are hyperlinks that will open or download (depending on the settings in your web browser) the attachments.
PI Submission Approval - Part 2

When, after the final review and making any corrections, you click OK in the PI Submission Approval form (see pg 7), the State will change from [Final Preparation] to [OSP Final Submission], and the approval will appear in the History (see image below.)

The proposal is now approved and will be submitted by OSP to Grants.gov. No further action on your part is required at this point, and you will receive email correspondence as to the review status of the proposal.

Once OSP has submitted the proposal to Grants.gov and you and the Grants Officer (GO) have reviewed the proposal in, for example, the NIH Commons or NFS FastLane, the GO will change the state to [Submitted] and the history log also records details on the submission.