Using PHOEBE for Principal Investigators

This flyer introduces Phoebe to Berkeley Law faculty who will use the Sponsored Projects Office’s web-based system to approve their completed proposals and route them to the Dean for authorization and to the Sponsored Projects Office or Industry Alliances Office for University endorsement. Each new faculty user will receive an orientation from our Campus Shared Services Research Administration (CSS RA) team at the time their first proposal is prepared via Phoebe. For more information about how Phoebe works in the law school, see Contracts and Grants.

STEP 1 – Create the electronic proposal record
Our CSS RA team (“aggregator” role) will create a proposal record in Phoebe by completing each of these eight tabs, in close collaboration with the PI:

1. **Proposal** – project title, activity period, sponsor information, submission instructions.
2. **Key Persons** – PI, Co-PI(s) or Fellows, and any other optional individual.
3. **Special Review** – human subjects, positive financial disclosure, PI exceptional approval, approval status (approved, exempt, pending), and human subjects protocol number, application date, approval date and expiration date.
4. **Questions** – potential compliance issues, cost sharing, program income, space issues.
5. **Attachments and Notes** – proposal documents, cost-sharing commitment letter, exceptional PI/Co-PI request/approval, internal budget worksheet, sponsor’s indirect cost policy, sponsor’s RFP or solicitation, subrecipient documents, any other proposal documents, key-person attachments, optional notes about the proposal.
6. **Financial** – chartstring information for award, total amount requested, indirect cost rate.
7. **Permissions** – access limited to a specific proposal (viewer, narrative writer, aggregator), delete proposal.
8. **Proposal Actions** – validation check, copy to new proposal, route log, ad hoc recipients (individuals or groups) and actions (FYI, approve, complete, acknowledge).

STEP 2 – Take an action
The Action List on the Home screen contains unsubmitted proposals that may be routed for three types of actions:

1. **For your information** (FYI) – proposals routed FYI do not require review or response, view the record if you want.
2. **For your acknowledgment** – you are required to open the proposal, click on the Proposal Actions tab, and click on the acknowledgment button.
3. **For your approval** – you are required to open the record and view at least the Proposal Summary screen, proposal may be reviewed in depth by clicking on the various tabs.

STEP 3 – Approve or return a proposal
When the PI (and Co-PI, if any) approves a proposal, Phoebe routes it immediately to the Dean for approval. When the Dean approves a proposal, Phoebe immediately routes it to the Sponsored Projects Office or the Industry Alliances Office. When a proposal is returned, Phoebe immediately notifies our CSS RA team aggregator.

1. **Approve** a proposal in Phoebe **via email:**
   - Open the email from Phoebe.
   - Click the “go to” link and the Phoebe Proposal Summary tab is immediately displayed. This screen provides the certification language that the PI/Co-PI(s) will attest to, high-level information about the proposal, and the option to approve or return the proposal.
   - Approve the proposal by clicking on the Approve button.
Using PHOEBE for Principal Investigators (continued)

2. **Approve** a proposal in Phoebe via **Action List**:
   
   - Log in to Phoebe using your CalNet ID. You can find the Phoebe log in on the Research Administration and Compliance website at [http://rac.berkeley.edu/phoebe/instructions.html](http://rac.berkeley.edu/phoebe/instructions.html)
     
     - Open the Phoebe Action List on the Home screen.
     - Click on the appropriate Phoebe Doc ID link for the proposal title you would like to review and/or approve.
     - Click on the Proposal Summary tab.
     - Approve the proposal by clicking on the APPROVE button on the Proposal Summary screen.

3. **Return** a proposal:
   
   - Click on the RETURN button on the Proposal Summary screen to return a proposal to our CSS RA team aggregator who originally prepared the Phoebe record.
   - Provide a reason for returning the proposal.
   - Click YES.

**PI and Co-PI Certification:**

*As the principal investigator, I certify that (1) the information submitted within is accurate and complete; and (2) that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.*

*I understand all the university and agency regulations pertaining to this proposal, and I accept responsibility for the design, execution, management, and reporting for this project, including submission of any required reports.*

*Should this proposal be funded, my effort on sponsored projects will be adjusted and not exceed 1 FTE.*

*I certify that I am not currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from current transactions by a federal department or agency.*

**Dean’s Certification:**

*As the official departmental approver for the PI’s Academic/Research Unit, I approve this proposal for submission, and agree that we will honor all stated commitments set forth herein, including but not limited to personnel and resources. We accept responsibility for the conduct and administrative oversight on the project, should the proposal be awarded by the sponsor.*

*If applicable, VCRO approval for Exceptional PI Status will have been obtained prior to the award.*

*Updated 3/9/15*