

Research Community Grants Reference Guide

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Introduction

Introduction to PAM Grants

PAM is Caltech's Proposal and Agreement Management system. PAM enables Caltech researchers and administrators to create, review, submit, and track funding proposals, awards, and agreement negotiations that support their sponsored projects. PAM streamlines processes so they are more efficient, require less administrative burden, and allow for a smoother handoff between teams. PAM ensures visibility and transparency of information by providing complete information about each item in one place, including its status, contact information, and links to related items.

Easy to Use

PAM is easy to use. After first logging into PAM, the user lands on their dashboard, which lists the items requiring attention and provides a direct link to those items. Funding proposals and agreements can also be created from the dashboard. Streamlined data entry forms with built-in error checking ensure data entry is complete and correct with all the information required to start the review process. When items enter review via workflow, PAM automatically routes them to the next person for efficient and timely handling. Help is available throughout the system where it is most needed, including question-level help and a built-in Help Center with reference guides and videos.

Find Status and Key Information Quickly

In PAM, you can find the status of items going through the review and approval process quickly. Each item's state is clearly visible in multiple places, including on the PAM dashboard. When viewing an item's detail, the state is prominently displayed on the workspace screen along with a graphical representation of where the item is in the overall workflow. From the workspace, you can swiftly identify contacts, reviewers, and all related information for that item in one place.

Manage and Track Work Efficiently

From an item's workspace, the Grant Manager can conveniently reassign team members to better balance and manage workloads, as well as add other reviewers to the process, such as compliance reviewers or cost share approvers using the ancillary review feature. Additionally, the Office of Sponsored Research (OSR) or the Grant Manager can create relationships between funding proposals or awards and any agreements associated with them and easily navigate back and forth between them. The Grant Manager can record key information, notes, email correspondence, follow-up tasks, and award deliverables for a complete history of activities performed. The Grant Manager, PI, and any reviewers will receive email notifications at key points in the workflow to inform the appropriate person of next steps.

PAM Workflow

The PAM lifecycle of a project consists of several different workflows that happen in parallel to ensure proposals are submitted on time, awards are setup, managed, and tracked efficiently, and agreements are negotiated and executed as quickly as possible.

Funding Proposals

The lifecycle starts with a Grant Manager creating a funding proposal, including the budgets and SF424 if applicable. Once the funding proposal is complete, the Grant Manager submits the funding proposal into the workflow to begin the review process. The department approvers review and approve the proposal first, followed by OSR. When reviews are completed and the proposal is approved, the proposal is submitted to the sponsor either by the department or OSR.

Awards

For new awards requiring negotiated contracts before award setup, OSR will create and submit an agreement for review, so the terms are in place prior to receiving the award. Note that if a non-funded agreement is needed at any time, Grant Managers can create and submit them to go through the agreement workflow.

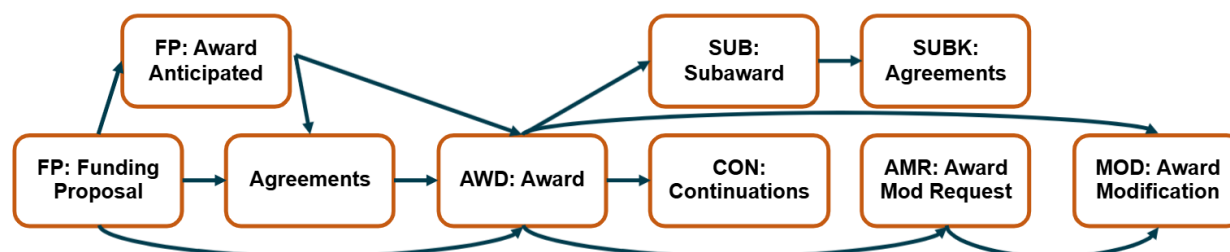
If a proposal is awarded and all terms agreed upon, or the research team requests an advance account that is approved, OSR will create an award in PAM, and it will go through a setup and data quality review process. If the award includes sub-recipients, OSR creates a subaward in the Grants module and a Subaward Agreement in the Agreements module for each sub-recipient. OSR then sends the Subaward Agreement to the Grant Manager to complete the agreement details and then submit it into the agreement workflow for OSR to manage the review, negotiation, and signing.

Award Modifications

While an award is active, changes may be required, like budget revisions or personnel changes. Grant Managers will initiate the change request by completing and submitting an award modification request in PAM. The award modification request is reviewed by OSR and submitted to the sponsor, if needed. If the award modification request is approved, OSR then creates an award modification in the system. Once reviewed and approved, the award is updated with the changes in both PAM and Oracle.

If an approved award includes multiple years, and the sponsor requires a report to issue the next increment of funding, the Grant Manager will create a continuation proposal from the initial award. The continuation proposal will go through the same review and approval process as the initial funding proposal. Once the sponsor issues the next increment of funding, OSR will create a continuation-type award modification and add the funds the sponsor has released for the next budget period to the award. Note that an award modification request is not needed for setting up noncompeting increments; OSR will automatically create the award modification to add the next year of funding in these cases.

PAM Lifecycle for Funded Projects



PAM Project Types

Grants Module		Agreements Module	
Funding Proposal	Awards	Funded	Unfunded
Funding Proposal (FP)	Award (AWD)	Gift (GFT)	Unfunded Research Collaboration (URC)
Budgets	Award Modification Request (AMR)	Sponsored Research Agreement (SRA)	Equipment Loan Agreement (ELA)
SF424	Award Modification (AM)	Fee for Service: Technical Services Agreement (TSA)	Sample Loan Agreement (SLA)
	Subaward (SUB)	Fee for Service: Facilities Use Agreement (FUA),	Memorandum of Understanding (MOU)
		Outgoing Subaward Agreement (SUB)	JPL Transfer (JPL)
			Other (OTH)

Navigation

Dashboard

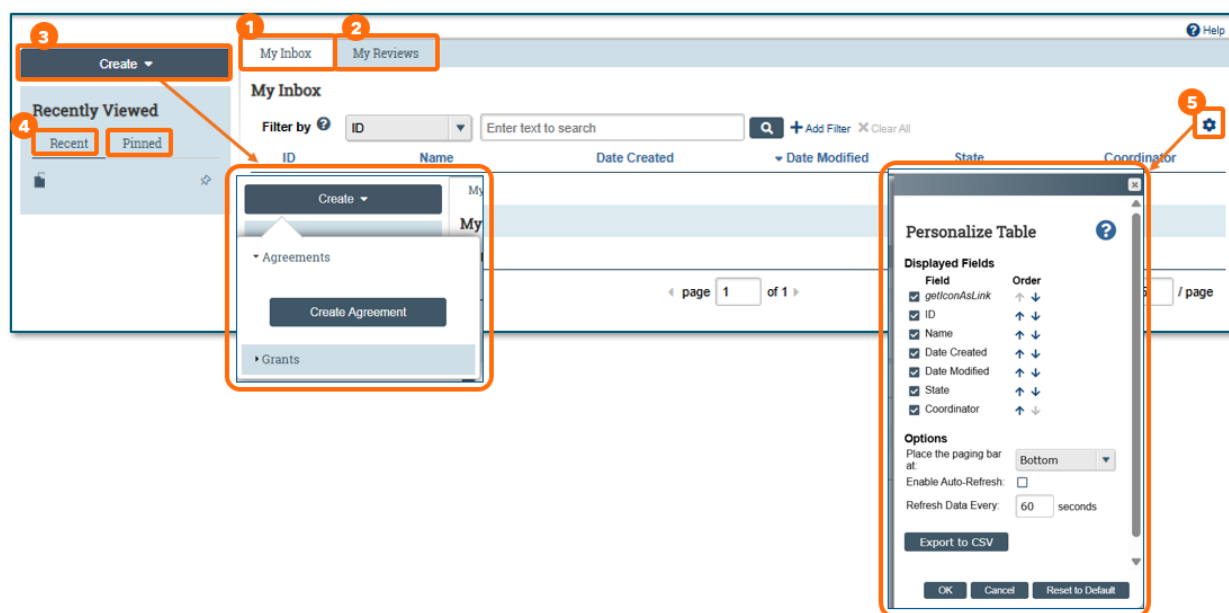
When first logging into PAM, users will be on the Grants dashboard, which is the starting point for finding items and performing many basic tasks. The dashboard is designed to help users manage their work and deadlines, so items are completed on time. Dashboards for Grant Managers and OSR include at-a-glance features, such as assignment charts, to quickly see what's coming up, who's working on what items, and how many items are in various states of the workflow. There are two sets of dashboards, one set for Grants and another for Agreements. Depending on the user's role, whether you are a PI, Grant Manager, or a member of OSR, the user will see different information on their dashboard; however, all dashboards have a similar layout and share some of the same types of information regardless of the user's role or the module.

The items below focus on the Grants Department Administrator Dashboard, which was designed to provide Grant Managers quick and easy access to relevant and frequented information in an organized, central location. From the dashboard, Grant Managers will find information about their submissions, identify critical and time-sensitive items requiring action, and resume tasks already started. From the PAM Grants Dashboard, users will see:

- **My Inbox:** Items the user is working on or requires them to take action to move them forward in the workflow. Users will only see those items if they have permission to view them, which is determined by whether they are assigned to it or are the primary contact or PI, or they have read or write access to it. My Inbox is referred to as PAM inbox throughout this reference guide.
 - Each item has an ID, and the prefix tells you what the item is, for example, FP is funding proposal and AWD is award. My Inbox also includes agreements, for examples, SRA for Sponsored Research Agreement and SUB for Outgoing Subaward Agreement.
 - The state tells you where the item is in the workflow. For example, Draft or Pre-Submission means the item has not yet been submitted into the workflow, and it can still be updated.
 - Many tables throughout PAM allow users to filter the data and sort by the column headers to find what is needed.
 - The Help icon explains how to use the filter including a wildcard so you can find items containing certain numbers or characters. Note that for all searches in the system, the wildcard is only needed at the beginning of what is being searched for.
 - Data can be exported into a CSV file. Note that when fields are hidden, only the data that is displayed is exported to CSV.
 - Click the name of the item to enter its workspace to see more detail or perform an activity. Whenever there is a hyperlink for an item's ID or name, users can enter its workspace.
- **Assignments:** The **Assignments** tab applies to the Grant Manager and OSR dashboards and includes items assigned to the user. It is a visual representation of individual assignments in the user's department so their team can manage and balance workloads. The charts show the number of items assigned to department members that were started and are in a *Draft* state or require some action by the user. Users can click a pie slice in the chart to see more detail about the items assigned to the user, as well as click the name or ID link to enter that item's workspace to view additional information or complete any necessary actions. If you open the addition detail in a separate window, the data can be analyzed alongside of the chart. From the slide-in, the user can filter the list and export the data to a CSV file using the Export to CSV button. The charts only show items from the departments the user is an administrator for.
 - The Pre-Award Staff Workload chart shows funding proposals in Department Review.
 - The Post Award Staff Workload chart shows awards in process.
- **In Process:** The **In Process** tab shows users tiles with the number of items in various stages of their respective workflows. This tab shows funding proposals and post award items, such as awards, subawards, deliverables, award modification requests, and award modifications, that have not yet completed their workflows. This tab includes an area of items on which the user is the primary contact, followed by items in the user's department that are in process. View a tile's description by hovering over the tile. Click the tile to see the data behind the number listed. Users can filter the information and use the Actions menu to change search parameters and export the data to a CSV file.
 - The My Proposals and My Post Award Items sections list in process items on which the user is assigned as the Administrative Contact.
 - All Proposals and All Post Award Items show all in process items in the user's department.

- In the Post Award items area, users will see tiles for award modification requests and subawards that are in process, and award and subaward department deliverables that are due in the next 90 days or are overdue.
- **Create menu and buttons:** On the left side of the screen is the Create drop-down menu. This menu shows the creator buttons that are available to the user, such as the Create Funding Proposal button. The menu will not show if you do not have access to any buttons.
- **Recently Viewed:**
 - **Recent:** Lists the last several items the user viewed with the most recent ones at the top. Scroll through this list to find an item you worked on recently.
 - **Pinned:** Users can pin the items in Recently Viewed section for quick and easy access. Once an item is pinned, the thumbtack icon will appear solid and the pinned item will appear on the **Pinned** tab, where it will remain until it is unpinned.
- **Personalize Table:** You can alter the tables displayed on the dashboard by using the Personalize Table gear icon.

Note: If you are a Grant Manager and do not have access to the **Assignments** tab, request access from OSR. Review the [Request PAM Access](#) section for more information



To identify what action is needed

1. Review the State column of records in your PAM inbox.

The state gives a clue as to what to do next. For example, "Department Review: Response Pending from PI" means the department reviewer is waiting for you to respond to review comments they

made on a funding proposal. You can open it, and make any needed changes, and then resubmit it to the department reviewer.

My Inbox				
My Inbox				
Filter by ⓘ State pending sponsor review 🔍 + Add Filter ✕ Clear All				
ID	Name	Date Created	▼ Date Modified	State
FP00000126	SURF - Braun Trust	6/18/2025 2:41 PM	6/30/2025 7:26 PM	Pending Sponsor Review
FP00000096	R21 HHEX	6/9/2025 9:42 AM	6/30/2025 9:40 AM	Pending Sponsor Review
2 items ◀ page 1 of 1 ▶				

To open a record awaiting your action

- 1. From your PAM inbox, click the record name.
- 2. The workspace for the record opens.

Note: A list of activities you can perform appears on the left.

To view record history

- 1. From the record workspace, click the **History** tab.
- 2. The history lists the actions performed on the record to date, including comments or generated documents added.

To find a funding proposal not on the Dashboard

- 1. In the Top Navigator, click **Grants**.
 - 2. In the Sub-Navigator, click **Funding Proposal**
 - 3. To further narrow your search, you can:
 - a. Sort the records in various ways by clicking the column headings.
 - b. Filter the records by name, state, or other attributes, using the filter tool at the top of the list. Review the [Find Data by Filtering](#) section for more information.
 - 4. Click the name of the desired funding proposal.
- The funding proposal workspace opens.

Grants Funding Proposals Page

The Grants Funding Proposal page can be accessed by selecting **Grants** in the Top-Navigator and **Funding Proposal** in the Sub-Navigator. Funding proposal records that are not in the Dashboard can be accessed on this page. Users can create funding proposals from this page, alter tables displayed by using the Personalize Table gear icon, and search for records in the tabs below. Open the funding proposal workspace by clicking the Name link. Click **Edit** in the SmartForm column to jump directly to a specific funding proposal SmartForm page.

- **Proposals** – View all funding proposals and their IDs, names, states, PIs, direct sponsors, submission types, application deadlines, assigned Specialists, and submitting departments.
- **Draft** – View funding proposals in a *Draft* state.
- **Internal Review** – View funding proposals currently in routing for internal approvals. Proposals listed here will be in *Department Review*, *Department Review: Response Pending from PI*, *Specialist Review*, *Specialist Review: Pending Changes by PI*, and *Pending Submission to Sponsor* states.
- **Sponsor Review** – View funding proposals currently under Sponsor Review. This includes funding proposals in *Pending Sponsor Review*, *JIT Response Required*, and *Pending Sponsor Review Award Anticipated* states.
- **Awarded** – View funding proposals that have been awarded. This includes funding proposals in *Award Notification Received* and *Awarded* states.
- **Completed** – View completed funding proposals in *Not Submitted* and *Not Funded* states.

DashboardAdminAgreementsGrantsSF424 CenterSettings

Funding ProposalComplex ProjectsAwardsReportsHelp CenterCentral Actions

Root > Grants > Funding ProposalComponentsPropertiesPermissions

Funding Proposal

Search ?

Create Funding Proposal

ProposalsDraftInternal ReviewSponsor ReviewAwardedCompleted

Filter by ? IDsub+ Add Filter X Clear All

ID NameSmartFormStatePIDirect SponsorSubmission TypeApplication DeadlineSpecialistSubmitting Department

Grants Awards Page

The Grants Awards page can be accessed by selecting **Grants** in the Top-Navigator and **Awards** in the Sub-Navigator. Award records that are not on the Dashboard can be accessed on this page. Users can alter tables displayed by using the Personalize Table gear icon, and search for records in the tabs below. Open the award workspace by clicking the Name link. Click **Edit** in the SmartForm column to jump directly to a specific award SmartForm page.

- **Awards** – View all awards and their IDs, names, states, PIs, assigned reviewer, award approver, direct sponsors, sponsor award ID, and assigned Specialist.

- **Active Awards** – View all active awards, their start and end dates, the assigned Specialist, and the date it was last modified.
- **Advance Account** – View awards in an *Advance Account* state.
- **Draft Awards** – View awards in a *Draft* state that are in the process of being setup.
- **Award in Review** – View awards that are currently under OSR review. Execute activities directly from here instead of opening an award workspace.
- **Subawards** – View subawards in *Active*, *Draft: Active Award*, *Draft: Award Setup In Progress*, *Subaward Review/Update Required* states. You can see high level information, including the recipient organization, parent award, award PI, start and end dates, and the date it was last modified.
- **Award Modifications** – View all award modifications in *Draft*, *Final Review*, *Pending Approval*, *Approved*, and *Withdrawn* states. Execute activities directly from here instead of opening an award modification workspace.
- **Award Mod Requests** – View all award modification requests in *Draft* and *Approved* states. Execute activities directly from here instead of opening an award modification request workspace.

Root > Grants > Awards

Components Properties Permissions

Awards

Search ?

Awards Active Awards Advance Account Draft Awards Awards in Review Subawards Award Modifications ...

Filter by ? State + Add Filter x Clear All

ID	Name	SmartForm	State	Award PI	Reviewer	Award Approver	Direct Sponsor	Sponsor Award ID	Specialist
----	------	-----------	-------	----------	----------	----------------	----------------	------------------	------------

Find Data by Filtering

Many pages contain tables that you can filter to show only specific records. You may also need to filter a list of selection options, so you can find the correct ones to select.

To filter data

In the Filter by bar:

1. Select the column to filter by.

2. Type the beginning characters for the records you want to find. You can also type a % symbol as a wildcard before the characters. Examples:

- 71 shows all items beginning with 71
- %71 shows all items containing 71

Tips: For operators you can type in the text box, click the Help icon.

To combine multiple filter criteria, click **Add Filter**.

3. Click the search icon  or **Go** to apply the filter.

Look Up Workflow Status

To find proposals in review:

1. In the Top-Navigator, click **Grants**.
2. In the Sub-Navigator, click **Funding Proposal**.
3. Click the **Internal Review** tab, and see the following columns:
 - a. **State:** To find funding proposals in *Department Review*, *Department Review: Response Pending from PI*, *Specialist Review*, *Specialist Review: Pending Changes by PI*, and *Pending Submission to Sponsor* states.
4. Click on the **Sponsor Review** tab, and see the following columns:
 - a. **State:** To find funding proposals in *Pending Sponsor Review*, *Awaiting Response from Federal Sponsor*, *Proposal Status Confirmation* *JIT Response Required*, and *Pending Sponsor Review Award Anticipated* states.
5. From the Funding Proposal workspace, click the **History** tab to see the last activity performed.

To find awards in review

1. In the Top-Navigator, click **Grants**.

2. In the Sub-Navigator, click **Awards**.
3. Click the **Awards in Review** tab.
4. On the **Awards in Review** tab, see the **State** column to find awards in *Final Review* and *Final Review – Response Pending* states.
5. From the Award workspace, click the **History** tab to see the last activity performed.

Funding Proposal Workspace

Anytime a funding proposal is opened, as indicated by “FP” in the ID, you will be in the funding proposal workspace. Workspaces display key information about a particular funding proposal. The information and activities that appear on the workspace depends on the state the funding proposal is in and your permissions in PAM. The top left of the workspace is the breadcrumb trail. As you navigate to different areas from the funding proposal workspace, you will always be able to go back to the main funding proposal.

Beneath the breadcrumb trail is the funding proposal's current state. For example, in the funding proposal workspace image, the funding proposal is in the *Specialist Review: Pending Changes by PI* state, which means the OSR PAA team returned the proposal to the PI and Grant Manager requesting clarifications or changes. The current state is also highlighted orange in the workflow diagram. In this state, the funding proposal and budget become editable again so the Grant Manager can make the required revisions.

Under “Next Steps,” there are a variety of buttons and activities you can perform, which differ based on the state of the funding proposal and your permissions.

At the top of the workspace is the funding proposal title and a summary of the funding proposal and budget information. The PD/PI is the Program Director or Principal Investigator listed on the proposal pages, and the Specialist is the OSR member assigned to the proposal. You will also see at a quick glance the sponsor, the internal submission deadline, whether the PD/PI has certified the information entered on the funding proposal pages is complete and accurate, and the link to the SF424, if it is a federal system-to-system submission. On the right is a summary of the budget, including the start date, the number of periods, and the total direct and indirect costs.

The funding proposal Workflow Map is shown in the middle of the workspace. Review the [Funding Proposal Workflow](#) section for more information.

Across the bottom of the funding proposal workspace are various tabs showing information about the funding proposal. If you do not see all the of tabs on your screen, click the ellipsis to select additional tabs for viewing.

- **Budgets:** Lists all the budgets associated with the funding proposal, including the sponsor and cost share budgets. Only users with the Salary Access role can see and access the information listed on this tab. Click the budget name to open the budget's workspace to view or edit the budget pages.
- **SF424 Summary:** For federal opportunities that are being submitted system-to-system, if the SF424 has been created, a link to it will appear not only in the summary area, but on the **SF424 Summary** tab as well. Additional fields on this tab will update once the SF424 form is submitted to Grants.gov.

- **History:** Shows the activities that have been performed on the funding proposal, including who performed the activity and when. This tab also shows if a budget and SF424 were created. While they are separate “records”, they are part of the funding proposal. When a funding proposal is sent into workflow, the budget and SF424 are part of it. Click on a completed activity to see details about what occurred.
- **Reviewers:** Starts with the contacts listed on the funding proposal, including the PI, project personnel, and the Grant Manager (administrative contact). It then lists the department reviewers that need to approve the funding proposal, including its budget and SF424, for it to move forward in the workflow. Below Reviewers are any Ancillary Reviews added to the funding proposal and whether their review is required. The name of the person completing the review and whether they accepted the funding proposal is listed. The Grants Administrative Editors area is a list of department members that can edit the proposal. The list may include department heads that want to see all proposals for their department.
- **Attachments:** Shows links to documents added to the funding proposal, including documents added using the Add Attachments activity. Users with the Salary Access role will see a Budget Attachments section that lists any documents attached in the Budget SmartForm. Click the link to open a document on this tab.
- **Financials:** Shows the proposed budget by category for each period. By default, the sponsor budget totals from all budgets associated with a funding proposal are rolled up into the totals shown on the **Financials** tab. However, budget editors can exclude individual budgets, if desired. When a proposal is submitted to the sponsor, an additional section of financial summaries will be presented on this tab. These financial summaries will show the budget amounts at time of submission.
- **Reviewer Notes:** Shows the notes reviewers added to the specific pages of the funding proposal during their reviews. Click the link to jump directly to the specific funding proposal page to which the note applies.
- **Related Projects:** Shows all agreements linked to the funding proposal. Users can create relationships to funding proposals by using the Manage Relationships activity or from other modules.
- **Change Log:** Shows the changes made to the funding proposal pages during the workflow. Click an activity to see details of what was changed.
- **Division/Provost Tab:** Shows a summary of key information about the proposal to facilitate review and approval from the Division Chair/Provost’s Office.

Proposal Status Confirmation

Next Steps

- Edit Funding Proposal
- Printer Version
- COI Disclosure Status
- Funding Anticipated
- Award Letter Received
- Return to Pending Sponsor Review
- Withdraw Submitted or Not Funded Proposal
- Manage Ancillary Reviews
- Submit Ancillary Review
- Manage Relationships
- Manage Tags
- Create Agreement

Test - AH - 010225

FP00000033 Funding Proposal

Proposal Information

PD/PI: Ana Hagendorf
 Department: BBE
 Specialist: David Mayo
 Sponsors: NATIONAL INSTITUTES OF HEALTH
 Internal Submission Deadline: 1/9/2025
 Application Deadline: 1/14/2025
 Certifications Complete: 1 of 1
 SF424 Link: SF-42400000006

Budget Information

Starting Date: 2/3/2025
 Number of Periods: 5
 Total Direct: \$2,691,550
 Total Indirect: \$4,887
 Total: \$2,696,437

Workflow: Draft → Department Review → Specialist Review → **Sponsor Review** → Complete
 (Clarification Requested and Changes Required loops are shown between steps)

Working Budgets

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
NATIONAL INSTITUTES OF HEALTH	[Edit]	1/27/2025 10:53 AM	Under Review	Federal	\$2,696,437	yes

Budget Workspace

A budget workspace is accessed from the funding proposal workspace on the **Budgets** tab. Click the name of the budget to open it. Anytime a budget is opened, as indicated by “BU” in the ID, you will be in the budget workspace. Workspaces display key information about a particular budget. The information and activities that appear on the workspace depends on the state the budget is in and your permissions in PAM. There are two ways to navigate back to the funding proposal workspace, including the breadcrumb trail in the top left or the funding proposal name link in the Budget workspace summary area.

Note: Only administrators with the Salary Access role can access the budget workspace. Investigators are not granted salary access. If you are a Grant Manager that needs salary access permissions, contact OSR. See the [Request PAM Access](#) section for more information.

Underneath the breadcrumb trail is the state of the budget. While the budget has a state, it does not go through its own review workflow. It is part of the funding proposal and is reviewed alongside the proposal. The budget should be completed prior to submitting for review. The budget’s state indicates where the proposal is in the review and submission process instead of navigating back to the funding proposal to check its state.

On the left are buttons which allow users to view or edit the budget pages and activities that can be performed based on the state and user permissions.

The budget ID and the text “Project Budget” is located at the top right and indicates you are on the budget workspace. You will also see the subaward count and a link to the cost share budget if there is one.

Below the summary area are tabs of budget information.

- **Financials:** Lists the budget categories and F&A cost detail for each period in this specific budget.
- **Subawards:** Shows any outgoing subaward budgets created for the primary budget. Click the name to open the subaward budget’s workspace. The subaward budget’s workspace has the same layout as the budget workspace.

- **Documents:** Lists all the documents attached on the budget's *Attachments* page.
- **Snapshots:** The system records the total direct and indirect costs for a budget whenever you activate an award for a funding proposal, a continuation, a renewal, or a resubmission on the **Snapshots** tab. When there is an entry, click **View** to see the budget costs when the award for a funding proposal was activated.
- **History:** Shows all the activities performed on the budget.

Root > Grants > Test - AH - 010225 > NATIONAL INSTITUTES OF HEALTH

Admin View Help

Draft

Next Steps

Edit Budget

Printer Version

Create Subaward

Create Cost Share

Make A Copy

Log General Comments

Export Budget

Manage Tags

Recalculate Budget Totals

Administration

NATIONAL INSTITUTES OF HEALTH

Sponsor:

NATIONAL INSTITUTES OF HEALTH

Grand Total:

\$2,696,437

PI:

Ana Hagendorf

Budget Type:

Federal

Funding Proposal:

Test - AH - 010225

Subaward Count:

2

Financials

Subawards

Documents

Snapshots

History

Current All-Period Totals: Caltech	Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
Personnel:	\$1,315	\$1,355	\$1,395	\$1,437	\$1,481	\$6,983
Salaries:	\$1,050	\$1,082	\$1,114	\$1,147	\$1,182	\$5,575
Benefits:	\$265	\$273	\$281	\$290	\$299	\$1,408
General:	\$506,000	\$521,000	\$536,450	\$552,363	\$568,754	\$2,691,567
Consultant Services	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000	\$10,000
Equipment	\$500,000	\$515,000	\$530,450	\$546,363	\$562,754	\$2,654,567
Publication Costs	\$1,500	\$1,500	\$1,500	\$1,500	\$1,500	\$7,500
Travel: Domestic	\$2,500	\$2,500	\$2,500	\$2,500	\$2,500	\$12,500
Subaward:	\$0	\$0	\$0	\$0	\$0	\$0
Subaward Direct:	\$0	\$0	\$0	\$0	\$0	\$0
Subaward F&A:	\$0	\$0	\$0	\$0	\$0	\$0
Total Direct less Subaward F&A:	\$507,315	\$522,355	\$537,845	\$553,800	\$570,235	\$2,691,550
Total Direct:	\$507,315	\$522,355	\$537,845	\$553,800	\$570,235	\$2,691,550
Total F&A:	\$920	\$948	\$976	\$1,006	\$1,037	\$4,887
Project Total:	\$508,235	\$523,303	\$538,821	\$554,806	\$571,272	\$2,696,437

F&A Costs (Non-Standard)	Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
Start Date:	2/3/2025	2/3/2026	2/3/2027	2/3/2028	2/3/2029	

SF424 Workspace

For federal system-to-system submissions, an SF424 will be created from and linked to the related funding proposal. An SF424 workspace is accessed from the funding proposal workspace it is linked to. From the funding proposal workspace, it can be accessed from the SF424 link in the summary area or from the **SF424 Summary** tab. Anytime an SF424 is opened, as indicated by "SF" in the ID, you will be in the SF424 workspace. The SF424 workspace displays key information about a particular SF424. The information and activities that appear on the workspace depends on the state the SF424 is in and your permissions in PAM. There are two ways to navigate back to the funding proposal workspace, including the breadcrumb trail in the top left of the SF424 workspace or the funding proposal ID link labeled Parent Project in the SF424 summary area.

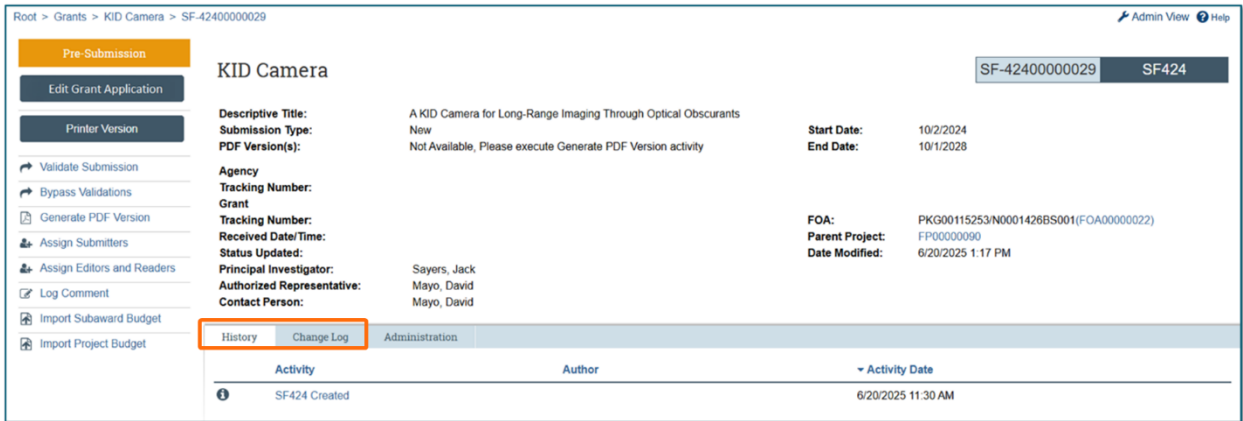
Note: For federal, system-to-system opportunities, if an SF424 link does not appear on the funding proposal workspace, it means the SF424 has not yet been created.

Underneath the breadcrumb trail is the state of the SF424, which indicates where the SF424 is regarding the electronic submission to the Sponsor. The buttons and activities on the left allow you to view or edit the SF424 pages and add various attachments that are required for electronic submission.

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The SF424 ID is located at the top right of the workspace. The summary area shows general SF424 information, including the start and end dates of the opportunity and the Funding Opportunity Announcement.

The **History** and **Change Log** tabs are exactly like those on the funding proposal workspace, except they show all the activities performed and the changes made to the SF424.



Award Workspace

Anytime an award is opened, as indicated by the “AWD” in the ID and the text “Funding Award”, you will be in the award workspace. Workspaces display key information about a particular award. The information and activities that appear on the workspace depends on the state the award is in and your permissions in PAM. The top left of the workspace is the breadcrumb trail. As you navigate to different areas from the award workspace, you will always be able to go back to the main award.

Beneath the breadcrumb trail is the award’s current state. The current state is also highlighted orange in the workflow diagram.

Under “Next Steps,” there are a variety of buttons and activities you can perform, which differ based on the state of the award and your permissions. Note that only OSR will create subawards and award modifications. Similar to the funding proposal, you may or may not be able to edit the award pages.

At the top of the workspace is the award title and a summary of the award. In the award summary, you see the award ID and the text “Funding Award”, so you know you are on the award workspace. You will notice some of the same fields here as on the funding proposal workspace. When a Specialist creates an award in PAM, the system automatically imports key pieces of data from the funding proposal into the award, such as the PD/PI, OSR member assigned as the Specialist, and the sponsor. You will also see the total project period commitment and the total award amount to date. On the right, are the project’s start and end dates, followed by the sponsor’s award number.

The Awarded Funding Proposals area lists the funding proposals related to this award. You will see the funding proposal ID, name, PI, and the status. Click the funding proposal Name link to open the funding proposal workspace.

The award Workflow Map is shown in the middle of the workspace. Review the [Award Workflow](#) section for more information.

Across the bottom of the award workspace are various tabs showing information about the award. If you do not see all the of tabs on your screen, click the ellipsis to select additional tabs for viewing.

- **Modifications:** Only appears after the award has been activated. You will see details for both modification requests, which are initiated by Grant Managers, and modifications, which are made by OSR to update awards in the system, including the state and name. To navigate to an item, click the Name link. From the modification or modification request workspace, you can either use the breadcrumb trail to navigate back to the award or click the Parent Award link in the workspace summary area.
- **Totals:** Lists the direct, indirect, and total proposed and award costs for this award and its child awards, along with the grand total amounts which include the subaward totals. The Cumulative Subaward Totals area separates out the subaward costs. This is visible to anyone who can access the award.
- **Funding Allocations:** Lists each increment of funding awarded by the sponsor.
- **Deliverables:** Lists the deliverables, such as annual reports, required by the sponsor during the life of the award. This area is where you can track the status of deliverables and mark them as complete.
- **Child Awards:** Shows any child awards that were linked to the award using the **Set Award Relationships** activity.
- **Related Projects:** Shows all agreements, including Subaward agreements linked to the award. You can navigate to the related agreement by clicking the link and then navigate back to the award using the **Related Projects** tab in the agreement workspace. When OSR creates agreements from the award workspace, the agreement will appear on the **Related Projects** tab. Additionally, you can link an agreement to this award using the **Manage Relationships** activity.
- **Reviewers:** Starts with the contacts listed on the award. This includes the PI, project personnel, and the Grant Manager (administrative contact). It then lists the Award Approver that needs to approve the award for it to move forward in the workflow. Below Reviewers are any Ancillary Reviews added to the award and whether their review is required. You will also see if the person completed their review. The Grants Administrative Editors area shows the members that can edit the award.
- **Correspondence:** Shows any correspondence that has been logged for this award. This might include conversations that occurred about the award.
- **History:** Shows the activities that have been performed on the award, including who performed the activity and when. Click on a completed activity to see details about what occurred.
- **Attachments:** Shows links to documents added to the award, including documents added using the **Upload Award Documents** activity. Click the Name link to open a document.
- **Change Log:** Shows the changes made to the award pages during the workflow. Click an activity to see details of what was changed.
- **Reviewer Notes:** Shows the notes reviewers added to the specific pages of the award during their reviews. Click the link to jump directly to the specific award page to which the note applies.
- **Related PTAs:** Displays the related PTA information associated with the award from Oracle, including the project number, task number, award number, PTA start and end dates, PTA status, and whether the PTA is chargeable.

Active

Next Steps

Edit Award

Printer Version

Create Award Modification

Request Award Modification

Create Continuation

COI Disclosure Status

Terms And Conditions

Complete

Manage Ancillary Reviews

Submit Ancillary Review

Set Award Relationships

Update Award Personnel

Upload Award Documents

Manage Deliverables

GALACTIC.MANSI

AWD00000029Funding Award

PD/PI:	Mansi Kasliwal	Award Date:	6/4/2025
Specialist:	David Mayo	Start Date:	11/26/2025
		End Date:	11/25/2030
Designated Reviewer:	Heather Steele	Sponsor Award #:	COLUMB TEST
Award Approver:	David Mayo		
Approving Dept/Div/Institute:	Physics Administration		
Administrative Contact:	Andrea Rule		
Direct Sponsor:	ABBOTT LABORATORIES		
Prime Sponsor:	NASA STENNIS		
Current Total Project Period Commitment:	\$30,004		
Current Total Award Amount To Date:	\$30,004		

Awarded Funding Proposals:

ID	Name	Principal Investigator	Status
FP00000045	GALACTIC.MANSI	Mansi Kasliwal	Awarded

Draft

Designated Review

Final Review

Active

Complete

Response Pending

Response Pending

Advance Account

Modifications

Totals

Funding Allocations

Deliverables

Child Awards

Related Projects

Reviewers

Correspondence

History

...

Help Center Overview

Users can access the Help Center to review written and video resources.

- 1. In the Top Navigator, click **Grants**.
- 2. In the Sub-Navigator, click **Help Center**.
- 3. Click the **Guides** tab to access written resource guides. Click on the file name of the specific resource you wish to open.
- 4. Click the **Videos** tab to access video resources. Click on the file name of the specific resource you wish to open.

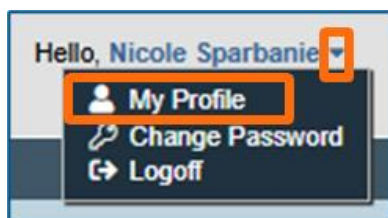
Manage My Profile

The **Modify Person Profile** activity allows all users to update select data on their profile, including name, ERA Commons username, and ORCID. All users have access to the **Modify Person Profile** activity for their own profile only. Users with the Salary Access role or the Specialist Finance/Grants role can execute this activity on any profile.

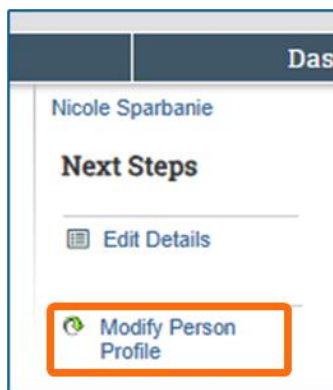
Update Your Own Profile

- 1. In the top-right corner of the page, click the down arrow next to your name.
- 2. Select **My Profile**.

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3. Click **Modify Person Profile** on the left to edit the information.



4. Update the necessary information in the Person Information slide-in window.
5. Click **OK**.

Creating and Submitting Funding Proposals, Budgets, and SF424s

This section covers the creation, development, and review activities pertaining to funding proposals.

Funding Proposal Workflow

Below is the funding proposal Workflow Map, which provides a high-level summary of the review process. Funding proposals start in a *Draft* state when the proposal is created in the system. The workflow ends in a *Complete* State, which means the funding proposal received an award or it was removed from the workflow. Orange indicates where the proposal currently is in the workflow. Since the Workflow Map is a high-level summary, the state listed at the top left of the funding proposal workspace will provide more detail about where it is in the workflow.

When the proposal team completes the funding proposal and budget, the PI reviews their funding proposal and certifies that it is complete and accurate, then the Grant Manager submits the funding proposal into the *Department Review* state to be reviewed by the appropriate department reviewers. During *Department Review*, the funding proposal and budget SmartForms are locked and cannot be edited by the PI or Grant Manager. If department reviewers require clarification or changes to the funding

proposal or budget, they can send the funding proposal back to the Grant Manager for editing. If the funding proposal includes SF424 forms, the SF424 Research Plan attachments remain editable during *Department Review* so the research plan can be updated. There may be multiple levels of department approval, which occur sequentially. After one department reviewer approves the funding proposal, it moves to the PAM inbox of the next step of people to review.

When the last department reviewer completes their review in PAM, the funding proposal moves forward in the workflow to the *Specialist Review* state, which is performed by OSR. OSR can also request clarifications or changes from the PI and Grant Manager. If the proposal is sent back to the Grant Manager, the funding proposal and budget become editable so the proposal team can make the necessary changes. The Grant Manager can then resubmit the funding proposal back to the department or Specialist for re-review.

If no clarifications are needed by OSR, the Specialist moves the funding proposal to the ready for submission status. For system-to-system proposals, the Specialist proceeds to the submission steps in the SF424.

Funding Proposal Workflow Map



Funding Proposal State Transitions

Current State	During This State...	To Move to the Next State...	Next State
	Grant Manager creates an FP	Grant Manager saves FP	Draft
Draft <i>(Draft)</i>	Grant Manager completes funding proposal and budget SmartForms. PI certifies FP.	Submit For Department Review	Department Review
		Withdraw Proposal	Not Submitted
Department Review <i>(Department Review)</i>	Department reviewer reviews FP, can leave notes and return FP for clarification/changes, or approve FP.	Request Changes	Department Review: Response Pending from PI
	Grant Manager can update the research plan attachments.	Approve	Specialist Review

Department Review: Response Pending from PI <i>(Clarification Requested)</i>	Grant Manager can edit the FP, budgets, and SF424 to make the appropriate changes, and resubmits it for department re-review.	Submit Changes To Department Reviewer	Department Review
Specialist Review <i>(Specialist Review)</i>	OSR Specialist reviews the FP, can leave reviewer notes, and can either return it for clarification/changes or approve it.	Specialist Requests Changes Final Review	Specialist Review: Pending Changes by PI Pending Submission to Sponsor
Specialist Review: Pending Changes by PI <i>(Clarification Requested)</i>	Grant Manager can edit the FP, budgets, and SF424 to make the appropriate changes, and resubmits it for department and/or Specialist re-review.	Submit For Department Review Submit Changes to Specialist	Department Review Specialist Review
Pending Submission to Sponsor <i>(Specialist Review)</i>	FP can be returned to Specialist review or submitted to the sponsor	Submit to Federal Sponsor Submit to Non-Grants.gov Sponsor Submit to Sponsor via Proposal Team activities Return to Specialist Review	Pending Sponsor Review Specialist Review
Pending Sponsor Review <i>(Sponsor Review)</i>	The FP can be updated to reflect the appropriate grants status or withdrawn from sponsor review. The JIT process can be initiated, or an Advance Account can be requested.	Send Grants Status Update JIT Changes Required Funding Anticipated Award Letter Received	Proposal Status Confirmation JIT Response Required Pending Sponsor Review Award Anticipated Award Notification Received

JIT Response Required <i>(Changes Required)</i>	The FP becomes editable for the Grant Manager to make the requested sponsor updates. Grant Manager submits the JIT Request for OSR review.	Submit JIT response	Pending Sponsor Review Award Anticipated
Pending Sponsor Review Award Anticipated <i>(Sponsor Review)</i>	The FP can be updated to reflect an award letter has been received from the sponsor.	Award Letter Received	Award Notification Received
Proposal Status Confirmation <i>(Sponsor Review)</i>	The FP can be updated to reflect that funding is anticipated, an award letter has been received, and can be returned to the <i>Pending Sponsor Review</i> state. The JIT process can also be initiated.	Return to Pending Sponsor Review Funding Anticipated Award Letter Received	Pending Sponsor Review Pending Sponsor Review Award Anticipated Award Notification Received
Not Funded <i>(Complete)</i>	The FP was not funded by the sponsor. A resubmission proposal can be created.	Create Resubmission Reinstate Proposal (<i>OSR only</i>)	Draft Pending Sponsor Review
Award Notification Received <i>(Complete)</i>	Award notification has been received. An award and/or an agreement can be created from the FP	Create Funding Award Create Agreement	
Awarded <i>(Complete)</i>	The FP has been awarded by the sponsor. An award can be created from the FP. Renewal and revision proposals can be created.	Create Renewal Create Funding Award Create Revision Create Agreement	

Note: The bold states are the states shown in the top-left corner of the funding proposal workspace. The italicized states in parentheses are the corresponding states shown in the [Funding Proposal Workflow Map](#).

Creating Funding Proposals

This topic shows how to create a funding proposal and check it for errors and omissions. When the funding proposal will be submitted to a federal sponsor via system-to-system, ensure the funding proposal and budget are complete prior to creating the SF424. Information from the funding proposal and budget auto-populate the SF424 pages.

Create a Funding Proposal

1. From the Dashboard, click the **Create** menu and then select **Create Funding Proposal**.

Note: Caltech is not currently utilizing Complex Proposals. **Do not** select Create Complex Proposal. Multi-project proposals should be entered for submission in the sponsor's submission system, with a non-system-to-system proposal record in PAM.

2. Fill out each page of the funding proposal and click **Continue**.

Notes:

- The *Program Director / Principal Investigator / Project Lead / Fellow* field on the *General Proposal Information* page automatically populates to the user that creates the proposal. If you are creating a funding proposal on behalf of someone else, click the remove icon  to clear the information, and then search for the appropriate person.
 - The direct sponsor you select determines whether you are subsequently queried for Federal or non-Federal grant information. If the organization you are searching for is not listed, select **TBD** from the list, type the name of the organization in the provided text box, and submit a request for a new organization. Review the [Request a New Organization](#) section for more information.
 - Once you specify the sponsor, the system creates a budget you can complete. Review the [Complete a Budget](#) section for more information.
 - The funding proposal does not exist until the first page of the SmartForm is saved.
 - You can save, exit, and return to the funding proposal later. Select the proposal from your PAM inbox. From the workspace, click **Edit Funding Proposal** to edit proposal pages.
3. On the *General Proposal Information* page, if you select **Research** as the project type, additional questions appear to collect HERD Survey information. The PI will provide the research category and R&D field code to the Grant Manager.

Note: The HERD Survey questions are not specific to NSF-funded award. The HERD Survey is administered by the NSF, but it related to all research expenditures at universities, not just NSF-sponsored research.
 4. On the *Personnel* page, Click **Add** to include project personnel, including institutional key, non-key or other significant contributors as well as any non-institutional key personnel. Select **Yes** if the individual is to be considered an Investigator for COI purposes. Complete the information in the slide-in window and click **OK**.

You can also add administrative personnel on the *Personnel* page and grant them read-only or edit rights.

Notes:

- **TBD** personnel do not need to be added to the *Personnel* page. Add them to the budget instead.
 - If the funding proposal will include an SF424 for a federal system-to-system submission, it is important to add all of the project personnel and subaward personnel to this SmartForm page. What is added here will map to the SF424.
 - Grant Managers receive an email notification when the funding proposal lists Caltech personnel outside of the proposing department. Review the [Email Notifications](#) section for more information.
 - Only users who are an editor of the funding proposal can submit for department review, as well as perform other key activities on the funding proposal. If needed, you can add yourself or others as a proposal editor or change the Administrative Contact. Whether you make yourself a proposal editor or set yourself as the Administrative Contact depends on your local business process and situation. For temporary coverage, add yourself as an editor. If you are taking ownership of the funding proposal, set yourself as the Administrative Contact. These same changes can be made using the **Manage Access** activity on the proposal workspace. as well.
5. For **federal system-to-system proposal submissions**, search for the specific Federal opportunity on the *Submission Information* page. The submission type and direct sponsor will automatically populate based on the direct sponsor and prime sponsor, if applicable, entered on the *General Proposal Information* page. Under Type a package ID, opportunity ID, or CFDA number, type values in one or more of the four search criteria fields, and click **Find**. Grants.gov returns matching opportunities, their requirements, and forms. Select the desired opportunity from the returned matches and click **Save**.

Note: A search value in the Competition ID field can only be used in combination with search criteria entered in the other fields.

4. Type a package ID, opportunity ID, or CFDA number, and click Find. ?

Package ID:

Opportunity ID (PA or RFA number):

CFDA number:

Competition ID:

Find... Clear

Refresh Form Support

Package Id	Opp Id	Opportunity Title	Opening Date	Closing Date	CFDA	Comp ID	Instructions
☒ PKG00037235	PA-DD-R01	G.g. Training and NIH Ext-UAT FOA (R01)	8/16/2017	8/16/2020	93.865	FORMS-E	

Grants.gov returns matching opportunities, their requirements, and forms (if supported by Huron SF424).

Note: If the forms are not supported, they will not show up in the search results and a warning will be shown on the next page. If this is the case, the submission will have to be completed in the appropriate sponsor eRA system, with a non-system-to-system proposal created and routed in PAM.

6. Select the desired opportunity from the returned matches and click **Save**.

7. For **federal submissions that are not system-to-system submissions**, on the *Submission Information* page:
 - The submission type and direct sponsor will automatically populate based on the direct sponsor and prime sponsor, if applicable, entered on the *General Proposal Information* page.
 - Select **No** to the *Will this application be submitted system-to-system* question.
 - Enter the Package ID or Opportunity ID and the opportunity title.
 - Select the funding mechanism.
 - Add the submission documents.

The screenshot shows a web form titled "Submission Information". Several sections are highlighted with green boxes:

- Section 3:** A question "3. * Will this application be submitted system-to-system?" with radio buttons for "Yes" and "No" (selected), and a "Clear" link.
- Section 4:** A heading "4. Type a package ID, opportunity ID, or CFDA number, and click Find." followed by input fields for "Package ID:", "Opportunity ID (PA or RFA number):", "CFDA number:", and "Competition ID:". A "Find..." button is to the right of the Package ID field.
- Message:** Below the input fields, a red message states "No Funding Opportunity Announcements were selected."
- Section 4a-c:** A box titled "If the desired opportunity is not listed above, type its ID and title below:" containing three sub-sections:
 - a. Package ID: with input field "PKG00075058"
 - b. Opportunity ID: with input field "PA-GN-R01"
 - c. Opportunity title: with input field "NIH Research Project Grant (Parent R01 C"
- Section 5:** A box titled "5. Funding Mechanism:" showing a dropdown menu with "Research Project" selected and a search icon.
- Section 6:** A box titled "6. Add any general submission documents:" containing a "+ Add" button and a table with headers "Name" and "Version". Below the table, it says "There are no items to display".

8. For **non-federal submissions**, on the *Submission Information* page, click **Add** to upload the submission documents. The submission type and direct sponsor will automatically populate based on the direct sponsor and prime sponsor, if applicable, entered on the *General Proposal Information* page.

Submission Information

- Submission type:** ?
Industry/For Profit
- Direct sponsor:** ?
23andMe, Inc.
- Add any general submission documents:**

+ Add

Name	Version
There are no items to display	

- The *Funding Opportunity Announcement* page only appears if the sponsor is **federal** and **Yes** was selected to indicate it is a system-to-system submission. If it reports all required forms are supported, but an error message indicates otherwise, return to the *Submission Information* page, and click the **Refresh Form Support** button. If a confirmation prompt appears, click **OK**.
- Continue to the *Budget Periods and Key Dates* page and supply the required information.
 On this page, you can add, remove, and update budget periods. By default, PAM creates five (5) budget periods.
 - Click **Add Period** to add budget periods.
 - Click **Remove Period** to delete unnecessary budget periods.
 - Click **Update Periods** to update the period end dates or to define periods that include partial months. Check the box next to **Use Advanced Editing**, and specify the end dates, as in the example below. In such cases, the system calculates a decimal value for period duration by dividing the number of days in the partial month by 30.

Budget Periods and Key Dates

7

Add Period
Remove Period
Update Periods

Budget periods:

Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12.00	3/1/2023	2/29/2024
2	Period 2	12.00	3/1/2024	2/28/2025
3	Period 3	12.00	3/1/2025	2/28/2026
4	Period 4	12.00	3/1/2026	2/28/2027
5	Period 5	4.60	3/1/2027	7/18/2027

$$\frac{18 \text{ days}}{30} = .60$$

4 months, 18 days

Edit Budget Period

Update Budget Periods

Use advanced editing ☒

* Project start date
3/1/2023

Period number	Name	* Period end date
1	Period 1	2/29/2024
2	Period 2	02/28/2025
3	Period 3	02/28/2026
4	Period 4	02/28/2027
5	Period 5	07/18/2027

* Required

OK
Cancel

Note: Changing budget period duration by editing the start date or editing period intervals may produce changes in budget totals. This is because budget period duration is a variable in calculated salary totals.

9. Continue to the Division Information page and answer a series of optional Division-specific questions.
10. Continue to the *Compliance Review* page and answer the series of compliance-related questions.
11. On the *Additional Proposal Information* page:
 - Select any additional resources that are required for the proposal, such as IT Resources (e.g., new applications or databases), or expanded utility services (e.g., fume hoods, air conditioning).
12. After completing all required fields and any optional fields on the proposal pages, follow the completion instructions on the last page, validate the proposal, and then click **Finish**.

Note: You have only completed one of up to three steps before submitting the funding proposal into workflow. The budget(s) should be completed next. The SF424, if it is a federal system-to-system submission, will be completed third. The funding proposal, budget(s), and SF424, if applicable, should all be completed prior to submitting into workflow. Review the [Creating & Completing Budgets](#) and the [Creating and Updating SF424 Forms](#) sections for more information.

You can continue to edit the funding proposal and budget until it is routed for Department Review. When you are ready to submit the funding proposal for Department Review, review the [Submit a Funding Proposal for Review](#) section for more information.

Add Attachments to a Funding Proposal

There are various ways to upload documents to funding proposals depending on the submission type.

For all submissions, upload the PI's biosketch and other support documents, if necessary, to the *Personnel* page of the funding proposal SmartForm. You can also include biosketches and other support documents for additional proposal personnel in the Additional Personnel slide-in window.

For federal opportunities submitted via system-to-system, attach proposal documents to their respective areas in the SF424 form. Attachments can also be added by using the **Update SF424 Research Plan** activity on the funding proposal workspace. When a funding proposal is routing for approvals, the system will allow you to edit or update the research plan documents, but per the proposal deadline policy, proposals are guaranteed submission only when arriving final and ready to submit **at least three (3) business days** before the sponsor's deadline.

For non-federal opportunities and federal opportunities not submitted via system-to-system, upload documents to the General Submission Documents section in the *Submission Information* page of the funding proposal SmartForm. When a funding proposal is routing for approvals, the system will allow you to edit or update the research plan documents by using the **Update Research Plan** activity on the funding proposal workspace. However, per the proposal deadline policy effective April 3, 2023, proposals are guaranteed submission only when arriving final and ready to submit **at least five (5) business days** before the sponsor's deadline.

You can also use the **Add Attachments** activity to upload documents to the funding proposal. This activity is always available, and it is the most consistent way to upload documents that are not going to the sponsor.

Manage Relationships

Users edit rights on a Grants project can manually manage the relationship between that project and related agreements. It is essential that relationships are consistent and uniform so reports and navigation in PAM function correctly.

To manage relationships

1. From your PAM inbox, the Grants Funding Proposal page, or the Grants Awards page, open the desired project.
2. From the workspace, click **Manage Relationships**.
3. On the *Manage Relationships* form, begin typing the agreement ID or agreement name under Related submissions and select it from the list of matches. Alternatively, click the ellipsis to browse for the agreement and select all that apply. Click **OK**.
4. A list of the agreements you've added appears on the *Manage Relationships* form. To remove an agreement, click the remove button .
5. Add any comments or supporting documents, then click **OK**.

To see all agreements currently managed through this Grants project, click the **Related Projects** tab at the bottom of the workspace and look under *Related Agreements*.

Manage Tags

Sometimes users want to tag a project in a special way so it will appear in a report later. Tags can be added to any funding proposal, budget, award, or award modification. Standard reports are provided to list any funding proposal or award projects that contain tags. Tags can be used to specify if a funding proposal is a preliminary proposal or if it is a Letter of Intent.

To add tags

1. On the funding proposal workspace, budget workspace, award workspace, or award modification workspace, click **Manage Tags**.
2. Under *Associate tags*, start typing the tag name and pick from the matches, or click the ellipsis to select from the full Tag list. Select all that apply.
3. Type any comments.
4. Click **OK**.

To remove tags

1. On the funding proposal workspace, budget workspace, award workspace, or award modification workspace, click **Manage Tags**.
2. Under *Associate tags*, click the remove icon  next to the tag name to remove the tag.

- 3. Click **OK**.

Creating and Completing Budgets

This section presents topics on creating and managing different types of budgets for funding proposals.

Only users with the Salary Access Role can view and edit budgets, export budgets from the budget workspace, and see salary information.

Users that do not have the Salary Access Role cannot view or edit budgets, and they cannot export the budget from the budget workspace. Users without this role will only be able to see the **Financials** tab on the funding proposal workspace.

Complete a Budget

After you create a funding proposal, select a sponsor, and click **Save** on the initial page of the funding proposal SmartForm, PAM automatically creates a primary sponsor budget. Only users with the Salary Access role can view and edit budgets and budget attachments, export budgets, and see salary information. If your role requires salary access and you do not have the appropriate permissions in PAM, submit a request for access. Review the [Request PAM Access](#) section for more information.

If the funding proposal will be submitted to a federal sponsor via system-to-system, ensure the funding proposal and budget are complete prior to creating the SF424. Information from the funding proposal and budget auto-populate the SF424 pages. Each time the **Create-Update SF424** activity is used, it overrides the fields in the SF424 with the information in the funding proposal and budget. **If changes are needed, update the funding proposal or budget first, and then execute the Create-Update SF424 activity.** Review the [Create an SF424 Form](#) and [Update an SF424 Form](#) sections for more information.

To fill out budgets for a proposal

- 1. On the funding proposal workspace, navigate to the **Budgets** tab and click the name of the primary sponsor budget.

Budgets	SF424 Summary	History	Reviewers	Attachments	Financials	Reviewer Notes	Related Projects	Change Log	...	
Working Budgets										
Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?				
 NATIONAL INSTITUTES OF HEALTH	[Edit]	6/25/2025 9:59 AM	Draft	Federal	\$0	yes				
1 items		< page 1 of 1 >				10 / page				

- 2. On the budget workspace, click **Edit Budget**.
- 3. On the first page of the budget SmartForm, enter or update the general budget information, including the:
 - Option to enter non-standard F&A cost base and rates:

Note: Select standard F&A cost bases for on-campus research, instruction/training, and other sponsored activity project types. The project type is derived from the purpose indicated earlier on the funding proposal. For all other project types, and those which are off-campus, non-standard rates should be used.

If the F&A is not standard, such as the sponsor does not allow F&A or limits the amounts, select **No** to the *Does this budget use the standard on campus indirect cost bases and rates* question. Click the down arrow to select the appropriate F&A Cost Base and enter the F&A rate for each project period. For nonstandard F&A, Q7 on the General Budget Information form is used to indicate that a MORA (Minium Overhead Review and Approval) form is necessary for this proposal. When Yes, is selected and the page is saved, the MORA smarform will become available and must be completed with the budget.

3. * Does this budget use the standard F&A cost base and rates? ?
☐ Yes ☒ No [Clear](#)

Standard F&A cost base and rates

	Period	1	2	3	4	5
	Start:	6/30/2025	6/30/2026	6/30/2027	6/30/2028	6/30/2029
	End:	6/29/2026	6/29/2027	6/29/2028	6/29/2029	6/29/2030
F&A Cost Base	Rate:	0%	0%	0%	0%	0%

Non-standard F&A cost base and rates

	Period	1	2	3	4	5
	Start:	6/30/2025	6/30/2026	6/30/2027	6/30/2028	6/30/2029
	End:	6/29/2026	6/29/2027	6/29/2028	6/29/2029	6/29/2030
F&A Cost Base	Rate:	15%	15%	15%	15%	15%

4. If **Yes**, select the appropriate F&A Cost Base and enter the F&A rate for each project period.

5. Select the appropriate F&A Cost Base and enter the F&A rate for each project period.

F&A Cost Base dropdown menu:

- [Not Selected]
- NONE
- TDC**
- MTDC
- S&W
- S&B
- S&S
- FEL
- NIH Training Grant

[Clear](#)

Note: To request MORA Approval, the Grant Manager must submit a request via Ancillary Review. Select **MORA Approval** as the ancillary review type and **Anc Rvw-F&A Waiver** as the organization. Review the [Managing Ancillary Reviews](#) section for additional information on how to request and submit ancillary reviews.

- The *Include in consolidated budgets* question determines whether the costs outlined in this budget are included or excluded from the total proposal budget displayed in the **Financials** tab of the funding proposal workspace.

Example: You may not want to consolidate a non-mandatory cost share budget that is for internal purposes only and will not be sent to the sponsor.

- Salary cap (If the default is changed, the system updates the monthly salary cap when you save the page.)
- Inflation rates

4. Include in consolidated budgets? [?](#)

☒ Yes
☐ No
[Clear](#)

5. Salary cap: [?](#)

\$225,700.00

Monthly salary cap:
\$18,808

6. Enter inflation rates:

	Inflation Rate	Inflate Period 1
Personnel Cost:	3 %	☐
General Cost:	3 %	☐

7. Is a MORA necessary for this proposal?

☒ Yes
☐ No
[Clear](#)

When done, click **Continue**.

4. On the *Personnel Cost Definition* page, add personnel.
 - a. To view or add personnel on the funding proposal, click the **Go to additional personnel on funding proposal** link.
 - b. Click **Import Proposal Personnel** to import the PI and all Caltech personnel who were added to the funding proposal's *Personnel* page as "Senior/Key person on the proposal" or as "Other personnel."
 - c. To add personnel individually or "Staff Member To Be Determined" personnel, click **Add**, and complete the form. Select their role, appointment, whether to budget summer and academic effort separately, and their annualized salary.

Notes:

- Entering personnel on the funding proposal and importing them auto-populates more information than adding them manually.

- For incoming faculty whose appointments have not yet started, (Add Guidance) For staff members who are truly TBD, simply select “Staff Member To Be Determined”.

You Are Here: Test Proposal - AH - 052925 > Test Proposal - AH - 052925 - ... > NATIONAL INSTITUTES OF HEALTH

Editing: BU00000179 [Go to forms menu](#)

Personnel Cost Definition

Go to additional personnel on funding proposal

1. **Import Proposal Personnel**

Personnel costs:

+ Add

Staff Member	Appointment	Role	Is Key
There are no items to display			

- d. Click **Update** next to a staff members name to check or update their information, if needed.

Notes:

- Enter the 12-month annualized salary amount so the month rate will calculate correctly. PAM divides the annualized salary by 12.
- If the investigators salary is over the salary cap (Add Guidance).

You Are Here: Test Proposal - AH - 052925 > Test Proposal - AH - 052925 - ... > NATIONAL INSTITUTES OF HEALTH

Editing: BU00000179

Personnel Cost Definition

Go to additional personnel on funding proposal

1. **Import Proposal Personnel**

Personnel costs:

+ Add

Staff Member			
--------------	--	--	--

Update

Edit Personnel Cost

1. **Staff member:**

2. **Role:**
Co-Investigator

3. **Appointment:**
12 months

4. **Annualized salary:**
\$120,000.00

5. **Apply inflation rate:**
☒ Yes ☐ No [Clear](#)

* Required

OK **OK and Add Another** **Cancel**

- e. When done, click **Continue**.

5. On the *Personnel Costs* page, click **Edit**.
6. In each personnel cost row, type the planned effort months and salary requested months on the project.

Notes:

- **Effort Mos:** The total number of effort months for this investigator, including any cost shared effort months.
- **Sal Req Mos:** (Salary Requested Months) The number of effort months for which salary is being requested from the sponsor.
- If the salary requested for any person is less than their projected effort (Effort Mos. > Sal Req Mos.), when you save the budget, the budget workspace alerts the Grant Manager to create a cost share budget to show how the additional funds will be provided. Review the [Create a Cost Share Budget](#) section for more information.
- Grant Managers can budget a person's effort for the entire calendar year or distribute it between summer and academic months by selecting **Yes** to the "Budget summer and academic effort separately?" question on the *Personnel Cost Definition* page.
- Click the push arrows at the right of a budget period column to replicate values in successive periods.

Personnel Costs	
Save	Period: Period 1 Start: 6/30/2025 End: 6/29/2026 Duration: 12.00
Person: Example 1 Role: PD/PI	Effort: 10 %  Sal Req: 10 %  FB Rate: 25.26 %  Annualized Sal.: \$200,000.00 Monthly Rate: \$16,666.67
Person: Example 2 Role: Co-Investigator	Effort: 15 %  Sal Req: 15 %  FB Rate: 25.26 %  Annualized Sal.: \$120,000.00 Monthly Rate: \$10,000.00
Person: Staff Member To Be Determined Role: Graduate Student	Effort: 50 %  Sal Req: 50 %  FB Rate: 25.26 %  Annualized Sal.: \$20,000.00 Monthly Rate: \$1,666.67
Salary Cost Total: Benefits Cost Total: Personnel Cost Total:	\$48,000.00 \$12,125.00 \$60,125.00

- Modify the defaults for the fringe benefit rate and the base salary if appropriate. To edit a person's base salary, click their name at the left, and edit the Annualized salary field in the form that appears.

Notes:

- When adding TBD Graduate students to the budget, Grant Managers will need to manually edit the fringe benefit rate to use the graduate student rate, since PAM defaults to the faculty/staff rate.

- The system does not blend fringe rates for future years. Departments who prefer to budget to that level of specificity should manually override the system-calculated fringe benefit amounts in future years.
 - Do not adjust the amount to reflect only the investigators 9-month salary rate. This will incorrectly adjust the calculations.
8. When satisfied with your entries, click the **Save** button to update the figures in the Totals view of the budget tables.

Personnel Costs	
Edit Show Effort	Period: Period 1 Start: 6/30/2025 End: 6/29/2026 Duration: 12.00
Person: Aaron Ames Role: PD/PI	Salary: \$20,000.00 Benefits: \$5,052.00 Total: \$25,052.00
Person: Jonathan Aalto Role: Co-Investigator	Salary: \$18,000.00 Benefits: \$4,547.00 Total: \$22,547.00
Person: Staff Member To Be Determined Role: Graduate Student	Salary: \$10,000.00 Benefits: \$2,526.00 Total: \$12,526.00
Salary Cost Total: Benefits Cost Total: Personnel Cost Total:	\$48,000.00 \$12,125.00 \$60,125.00

Personnel Costs	
Edit Show Totals	Period: Period 1 Start: 6/30/2025 End: 6/29/2026 Duration: 12.00
Person: Aaron Ames Role: PD/PI	Effort Mos.: 1.2 Sal Req Mos.: 1.2 Effort%: 10% Sal Req%: 10% FB Rate: 25.26% Annualized Sal.: \$200,000.00 Monthly Rate: \$16,666.67
Person: Jonathan Aalto Role: Co-Investigator	Effort Mos.: 1.8 Sal Req Mos.: 1.8 Effort%: 15% Sal Req%: 15% FB Rate: 25.26% Annualized Sal.: \$120,000.00 Monthly Rate: \$10,000.00
Person: Staff Member To Be Determined Role: Graduate Student	Effort Mos.: 6 Sal Req Mos.: 6 Effort%: 50% Sal Req%: 50% FB Rate: 25.26% Annualized Sal.: \$20,000.00 Monthly Rate: \$1,666.67
Salary Cost Total: Benefits Cost Total: Personnel Cost Total:	\$48,000.00 \$12,125.00 \$60,125.00

9. To view all rates and totals (with effort and salary requested represented as both months and percentages), click **Show Effort**.
- Note:** Budget viewers as well as editors can do this.
10. When done specifying personnel costs, click **Continue**.
11. On the *General Cost Definition* page, add line items for general costs not accounted for on detailed budget tables. Click **Add**, select the general cost type from the drop-down list, add the amount for the item, and enter a description. Click **OK**.

Click **Continue** once you have added all the general costs.

Notes:

- For items that you indicate should not have inflation applied, the amounts can be edited directly on the *General Costs* page. The amounts for the line item can be edited in each period instead of being automatically calculated with inflation.

- The description field validates based on the type of general cost added to the budget. Only the general cost type "Equipment" requires a description to be entered. While not all general cost types require a description, it may be helpful to enter one for later reference.

General Cost Definition

1. General costs:

+ Add

Cost Type

There are no items to display

Add General Cost

1. * General cost type:

2. Cost:

\$0.00

3. Description:

4. Apply inflation?

☐ Yes ☐ No [Clear](#)

* Required

OK OK and Add Another Cancel

ADP/Computer Services
Alterations and Renovations
Animal
Consultant Services
Equipment
Equipment or Facility Rental/User Fees
JPL
Materials and Supplies
Other
Patient Care
Publication Costs
Trainee: Other
Trainee: Stipend
Trainee: Subsistence
Trainee: Travel
Trainee: Tuition

- When done, click **Continue**.
- The general costs added on the *General Cost Definition* page populate on the *General Costs* page.
 - If inflation **is** applied, the amounts increase by the appropriate amount each period. The amounts are not editable on the *General Costs* page. Return to the *General Cost Definition* page to edit the cost.
 - If inflation is **not** applied, the amounts for that item are editable by period.
- The *F&A Cost Overrides* page reports the cost-base standard being used to calculate the F&A amount for this budget. It also reports for which categories, if any, that standard will be overridden. Only OSR Specialists can change these settings. For details on how these settings work, click the Help icon .
- On the *Attachments* page of the budget, click **Add** to attach any supporting documents. Budget attachments cannot be viewed by users without Salary Access permissions.
- If you indicated on the General Budget Information page that the Minimum Overhead Review and Approval (MORA) is necessary for this proposal, complete the MORA page.
- When satisfied with all your budget entries and attachments, click **Finish**.

You are returned to the budget workspace. You can continue to edit the budget until you submit it for Department Review. The **Financials** tab on the budget workspace now shows period and cumulative totals for the budget you have completed.

- If you did not select detailed budget tables for any cost categories, these costs are found in the General budget line item on the **Financials** tab.
- If you selected detailed budget tables for any cost categories, these costs are found in their respective budget line items on the **Financials** tab.

Create an Additional Budget

Additional budgets may need to be created for the proposal submission. For instance, you may want to create additional budgets if the funding proposal involves multiple departments or divisions, multiple PD/PIs, or estimate budgets.

To create an additional budget

1. On the funding proposal workspace, click **Create Additional Budget**.
2. Enter a title for the additional budget.
3. Select the Principal Investigator for the additional budget.
4. Click **OK**.
5. Follow the instructions detailed in the [Complete a Budget](#) section.

Note: The *Include in consolidated budgets* question determines whether the costs outlined in this budget are included or excluded from the total proposal budget displayed in the **Financials** tab of the funding proposal workspace. If the additional budget is *not* for internal purposes only and *will* be sent to the sponsor, select **Yes** to this question on the *General Budget Information* page of the Additional Budget SmartForm.

Create a Modular Budget

Modular budgets are possible in PAM. The National Institutes of Health (NIH) uses a modular budget format to request up to a total of \$250,000 of direct costs per year (in modules of \$25,000, excluding consortium F&A costs) for some applications, rather than requiring a full detailed budget. Modular budgets may not be accepted in certain cases, so follow sponsor instructions and funding opportunity guidelines. Review the [NIH Develop Your Budget](#) website for more information.

To create a modular budget

1. On the *Budget Periods and Key Dates* page of the funding proposal SmartForm, select **Yes** to the modular budget question.
2. Complete the primary sponsor budget with the level of detail your department requires. Review the [Complete a Budget](#) section for more information.

Notes:

- PAM maps the budget information to the SF424 and calculates the modules and modular offsets automatically.
- On the **Financials** tab of the funding proposal and budget workspaces, a row for **Modular Offset** appears.

Financials	Subawards	Documents	Snapshots	History							
Current All-Period Totals						Period 1	Period 2	Period 3	Period 4	Period 5	Cumulative
Personnel:						\$22,788	\$23,471	\$24,176	\$24,901	\$25,649	\$120,985
Salaries:						\$18,086	\$18,628	\$19,187	\$19,763	\$20,356	\$96,020
Benefits:						\$4,702	\$4,843	\$4,989	\$5,138	\$5,293	\$24,965
General:						\$20,000	\$20,000	\$20,000	\$20,000	\$20,000	\$100,000
Travel:						\$0	\$0	\$0	\$0	\$0	\$0
Animal Costs:						\$0	\$0	\$0	\$0	\$0	\$0
Animal Ordering:						\$0	\$0	\$0	\$0	\$0	\$0
Animal Maintenance:						\$0	\$0	\$0	\$0	\$0	\$0
Trainee:						\$0	\$0	\$0	\$0	\$0	\$0
Patient Care:						\$0	\$0	\$0	\$0	\$0	\$0
Inpatient:						\$0	\$0	\$0	\$0	\$0	\$0
Outpatient:						\$0	\$0	\$0	\$0	\$0	\$0
Subaward:						\$0	\$0	\$0	\$0	\$0	\$0
Subaward Direct:						\$0	\$0	\$0	\$0	\$0	\$0
Subaward F&A:						\$0	\$0	\$0	\$0	\$0	\$0
Modular Offset:						\$7,212	\$6,529	\$5,824	\$5,099	\$4,351	\$29,015
Total Direct less Subaward F&A:						\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$250,000
Total Direct:						\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$250,000
Total F&A:						\$30,000	\$30,000	\$30,000	\$30,000	\$30,000	\$150,000
Project Total:						\$80,000	\$80,000	\$80,000	\$80,000	\$80,000	\$400,000

- When you create the SF424, select the *PHS 398 Modular Budget* form. A modular budget page appears in the Left Navigator for each period. The amounts entered in the primary sponsor budget map to the SF424.

Validate

Compare

PHS 398 Cover Page Supplement V5.0

Research & Related Budget V3.0

PHS 398 Modular Budget V1.2 - Period 1

PHS 398 Modular Budget V1.2 - Period 2

PHS 398 Modular Budget V1.2 - Period 3

PHS 398 Modular Budget V1.2 - Period 4

PHS 398 Modular Budget V1.2 - Period 5

PHS 398 Modular Budget V1.2 - Cumulative

PHS 398 Research Plan V4.0

PHS Human Subjects and Clinical

Editing: SF-42400000231

PHS 398 Modular Budget, Period 1

*Number Of Budget Periods: 5

Budget Period: 1

* Start Date: 7/1/2023

* End Date: 6/30/2024

A. Direct Costs

Funds Requested (\$)

* Direct Cost less Consortium (F&A): \$50,000.00

Consortium (F&A): \$0.00

Total Direct Costs: \$50,000.00

B. Indirect (F&A) Costs

Indirect (F&A) Type	Indirect (F&A) Rate (%)	Indirect (F&A) Base (\$)	Funds Requested (\$)
1. MTDC	60	\$50,000.00	\$30,000.00
2.			
3.			
4.			

Cognizant Agency (Agency Name, POC Name and Phone Number):
DHHS, Arif Karim, (214) 767-3261

Indirect (F&A) Rate Agreement Date: 7/18/2022

Total Indirect (F&A) Costs: \$30,000.00

C. Total Direct and Indirect (F&A) Costs (A + B)

Funds Requested (\$): \$80,000.00

- On the *PHS 398 Modular Budget Cumulative* page, attach the necessary budget justifications.

Create a Subaward Budget

If an external collaborator will be contracted to perform work as part of a larger sponsor project, add the subaward funds budgeted for the external collaborator in the funding proposal. A subaward budget is created from and linked to a primary sponsor budget. Grant Managers have the option to enter high-level costs or detailed budget information for the subaward. If there will be an SF424 for a federal system-to-system submission, importing an R&R Subaward Budget will map the subaward budget information to the SF424, which avoids duplicate data entry.

To create and fill out a subaward budget

1. From the **Budgets** tab on the funding proposal workspace, click the name of the primary sponsor budget where you want to add a subaward budget.
2. From the primary sponsor budget workspace, click **Create Subaward**.
3. On the *Subaward Budget Information* page, provide the required information. Type a descriptive budget title.

The screenshot shows a form titled "Subaward Budget Information" with seven numbered fields:

- 1. * Title:** A text input field containing "Blood Analysis Services Budget".
- 2. * Subrecipient:** A dropdown menu showing "Beach Blood Products Experts" with an ellipsis and a close button.
- 3. Principal Investigator:** A text input field containing "Rebecca Simms (pi)".
- 4. Subawardee PI:** A dropdown menu showing "Clive Lewis" with an ellipsis and a close button.
- 5. * Subaward budget detail level:** A dropdown menu showing "Per Period Direct and Indirect Totals".
- 6. Include in consolidated budgets?** Radio buttons for "Yes" (selected) and "No", with a "Clear" link.
- 7. Subaward indirect contribution limit:** A text input field containing "\$25,000".

At the bottom, there are three buttons: "Exit" (with a close icon), "Save" (with a floppy disk icon), and "Continue" (with a right arrow icon).

4. Under "Subrecipient", start typing the subawardee organization's name and pick from the matches, or click the ellipsis to select from the full organization list.

Note: If you are unable to locate the subawardee organization's name on the list, select **TBD** and submit a New Organization Request form as detailed in the [Request a New Organization from a Subaward Budget](#) section.

5. If the subawardee's project has a PI, click the ellipsis, supply the PI information in the resulting form, and click **OK**.
6. Under "Subaward budget detail level", choose how to supply financial information. You can select either **Per Period Direct and Indirect Totals** or **SF424 Subaward Import**. Both are described below.

Option 1 – Per Period Direct and Indirect Totals

If you select **Per Period Direct and Indirect Totals**, the *Per Period Costs Totals* page for financial input becomes available that allows you to enter high-level direct and indirect costs per period. Enter direct and indirect amounts for the budget periods. Click the small arrows at the right of a Period column to replicate values in all subsequent periods. When done entering direct and indirect amounts, click **Continue**.

Notes:

- This option also populates an *All Personnel* page. Click **Add** to supply information on other Key personnel, graduate students, post grads, etc., on the subaward. **Subawardee personnel added on the subaward budget are not mapped to the SF424. Ensure the subawardee personnel are entered on the *Personnel* page of funding proposal SmartForm. The subawardee personnel will map to the SF424 from there.**
- This option does not allow you to enter a detailed subaward budget. Additionally, the funding proposal subaward budget area is separate from the *SF424 R&R Budget* and *R&R Subaward Budget*. There is no detailed mapping to the *SF424 R&R Subaward Budget* when using period totals.
- Make sure to attach a detailed subaward budget to the *Attachments* page of the subaward budget SmartForm.

Per Period Cost Totals

Total Direct:						\$150,000
Total Indirect:						\$75,000
Total Project:						\$225,000
	Period	1	2	3	4	5
	Start:	3/1/2023	3/1/2024	3/1/2025	3/1/2026	3/1/2027
Cost Totals	End:	2/29/2024	2/28/2025	2/28/2026	2/28/2027	2/29/2028
Direct:		\$30,000.00	\$30,000.00	\$30,000.00	\$30,000.00	\$30,000.00
Indirect:		\$15,000.00	\$15,000.00	\$15,000.00	\$15,000.00	\$15,000.00
Grand Total:		\$45,000.00	\$45,000.00	\$45,000.00	\$45,000.00	\$45,000.00
						Total
						\$150,000
						\$75,000
						\$225,000

1. Budget notes:

Exit Save Continue

Option 2 – SF424 Subaward Import

If you select **SF424 Subaward Import**, upload the SF424 R&R Subaward Budget PDF, provided by the subawardee, on the *SF424 Subaward Import* page for a detailed view. Click **Continue**. The totals from the form will load into the system and map to the SF424 budget for federal system-to-system proposal. Review the [Import a Subaward Budget \(Option 2 - SF424 Subaward Import\)](#) section for more information.

Note: This option is recommended when the subrecipient provides their budget in the *R&R Budget* template. Use the most recent version of the *R&R Budget* to upload the subaward budget so it maps to the SF424. You can also download the *R&R Subaward Budget* form on the SF424 workspace after an SF424 is created to provide the subrecipient a template to complete.

- Supply any other required or optional information and click **Continue**.
- On the *Attachments* page, click **Add** if you want to attach any supporting documents for internal review purposes, such as instructions. If you selected the **Per Period Direct and Indirect Total** option, attach a detailed subaward budget to the *Attachments* page of the subaward budget SmartForm.
- When satisfied with the subaward budget, validate it, and click **Finish**.

Import a Subaward Budget (Option 2 – SF424 Subaward Import)

Importing a subaward budget in the Subaward Budget SmartForm is the preferred way to import a subaward budget since the subaward budget should be completed before the SF424 is created.

Note: If the subrecipient does not provide the *R&R Budget* for import:

- Select the **Per Period Direct and Indirect Totals** option on the subaward budget SmartForm, as described in the [Create a Subaward Budget](#) section.

2. Attach a detailed subaward budget (e.g., Excel version) to the *Attachments* page of the subaward budget SmartForm.
3. The Grant Manager can still manually enter the subaward amounts directly on the SF424 *R&R Subaward Budget Attachment(s) Form*. Review the [Update an SF424 Form](#) for more information.

To import a Subaward Budget in the Subaward Budget SmartForm

1. Click on the primary sponsor budget in the funding proposal.
2. Click on the **Subaward** tab and click the name of the subaward to open the subaward.
3. Click **Edit Budget**.
4. On the *Subaward Budget Information* page, under Subaward budget detail level, select **SF424 Subaward Import**.
5. On the *SF424 Subaward Import* page, click **Choose File** and select your SF424 Subaward PDF.
6. Click **Save**.
7. The totals from the form will load into the system and map to the SF424 Budget.

Note: Use the *Research & Related Budget* to upload the subaward budget so it maps to the SF424 Budget. You can also download the *R&R Subaward Budget* form on the SF424 workspace after an SF424 is created.

SF424 Subaward Import

1. To import, select your SF424 Subaward PDF click Save.
The totals from the form will be loaded in the system.

Choose File

✕ Exit 💾 Save Continue ➔

Create a Cost Share Budget

If a funding proposal's primary sponsor budget has project effort exceeds salary requested, the budget workspace alerts you to create a cost share budget to show how the additional funds will be provided. Cost share budgets must also accompany funding proposals that have mandatory or voluntary committed cost sharing. Cost share commitments requiring institutional commitments (such as cash or fellowships) will be finalized by contributing units via Ancillary Reviews. Review the *Create a Cost Share Budget* quick reference guide for more information.

To create a cost share budget

1. From the **Budgets** tab on the funding proposal workspace, click the name of the primary sponsor budget that will include cost sharing.
2. On the budget workspace, click **Create Cost Share**.
3. On the *Cost Share Information* page, select the Cost Share Entity.

4. Select the cost share type:
 - **Mandatory:** required by the sponsor.
 - **Voluntary Committed:** a voluntary but binding commitment.
4. Click **Save or Continue**. The system creates a cost share budget and lists it on the **Budgets** tab of the funding proposal workspace. If any effort months exceed the corresponding salary requested months, the system automatically populates the cost share budget you've created with the difference.
5. Complete the other pages of the cost share budget as you would for a primary sponsor budget. Review the [Complete a Budget](#) section for more information.
 - The cost shared effort of each person entered on the *Personnel Costs* page of the primary sponsor budget will automatically populate into the cost share budget.
 - For cash contribution, on the *General Cost Definition* page of the cost share budget, select the General cost type **Other**. Enter the amount of the cash contribution in the cost field and enter "Cash contribution" in the description field.
 - For fellowships, on the *General Cost Definition* page of the cost share budget, select the General cost type **Other**. Enter the amount of the fellowship stipend in the cost field and enter "Fellowship Stipend" in the description field.
 - On the *General Budget Information* page of primary sponsor budget, click **No** for a detailed Trainee budget. On the *General Cost Definition* page of the cost share budget, select the General cost type Tuition. Enter the amount of the tuition in the cost field and enter "Tuition" in the description field.

General Costs			
Save	Period:	Period 1	Period 2
	Start:	2/1/2023	2/1/2024
	End:	1/31/2024	1/31/2025
	Duration:	12.00	12.00
Cost Type: Other			
Description: Cash contribution	\$10,000.00	\$13,000.00	\$8,000.00
Cost Type: Other			
Description: Fellowship stipend	\$9,000.00	\$9,270.00	\$9,548.00
Cost Type: Tuition			
Description: Tuition	\$15,000.00	\$15,450.00	\$15,913.00
General Cost Total:	\$34,000.00	\$37,720.00	\$33,461.00

Selected **No** to apply inflation. Can edit in this view.

Selected **Yes** to apply inflation. Cannot edit in this view.

- Leave the selection as **Yes** to include F&A costs in calculations. Unrecovered F&A will automatically be calculated.
6. On the last page, click **Finish**.

Once the cost share budget is complete, if applicable, submit the request for review via Ancillary Review to the submitting unit.

Cost Share Ancillary Review

Funding proposals that require institutional commitments (such as cash or fellowships) require an additional step. These cost share commitments will be finalized via Ancillary Review. Review the [Manage Ancillary Reviews](#) section for more information.

1. On the funding proposal workspace, click **Manage Ancillary Reviews**.
2. On the *Manage Ancillary Reviews* slide-in window, click **Add**.
3. On the *Add Ancillary Review* slide-in window, select the submitting unit in which to route the request.
4. Select **Cost Share Approval** as the review type.
5. Select **Yes** to make the response required.
6. Add any necessary comments you wish the ancillary reviewer to see.
7. When finished, click **OK**.

The Ancillary Reviewer(s) will receive an email notification alerting them to complete a review.

Creating and Updating SF424 Forms

In several funding proposal states, the Grant Manager can create or update SF424 application forms for federal system-to-system submitted applications, populating them with data from funding proposals and their budgets.

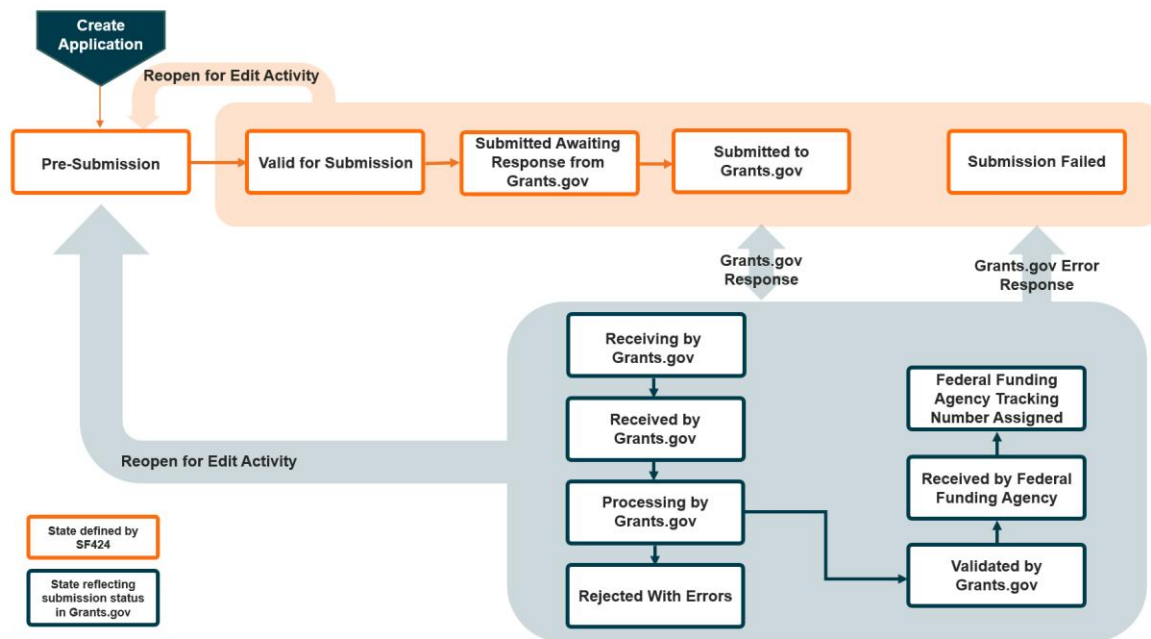
Warning: If the SF424 forms have been edited directly, re-creating or updating them from within the system could overwrite those edits. Always make your changes in the funding proposal and budget first, and then execute the **Create-Update SF424** activity. This will ensure that the funding proposal, budget, and SF424 always stay in sync.

SF424 Workflow

Similar to the funding proposal, the SF424 will go through a series of states as it progresses through creation, review, submission to and processing by Grants.gov, all the way through to being retrieved by the federal funding agency and federal funding agency tracking number assignment. Below are the SF424 states.

Grant Managers will create the SF424 once the funding proposal SmartForm and budget(s) are complete and ready to be mapped. Once it is created, the SF424 will be in a *Pre-Submission* state. After the Grant Manager validates the application, it moves to the *Valid for Submission* state. An OSR Proposal and Award Acceptance team member with university Signing Official authority will submit the proposal system-to-system to Grants.gov. Grants.gov will process the application and send automatic updates back to PAM regarding the processing status. These updates will be visible to all users with access to the SF424 record.

SF424 Workflow Diagram



Create an SF424 Form

Once the funding proposal and budget(s) are complete, but before they are submitted for review, the Grant Manager creates the SF424 in PAM. Information from the funding proposal and budget(s) auto-populate the SF424 pages. OSR submits the SF424 proposal to the sponsor.

1. From your PAM inbox or the Grants Funding Proposal page, click the name of the funding proposal to open the workspace.
2. From the funding proposal workspace, click **Create-Update SF424**. This activity appears when the funding proposal is in an editable state.

If all conditions for generating SF424 forms are met, but these activities are not available in the workspace, go to the *Submission Information* page and click the **Refresh Form Support** button. If a confirmation prompt appears, click **OK**. If these activities are still not available, **(Insert guidance for getting PAM support)**.

3. A list of required and optional SF424 forms appears in a slide-in window. Select the appropriate SF424 forms and any additional forms needed to create or update in the *Create-Update SF424* form for a proposal.

Note: If the proposal includes any subawards, be sure to select the *R&R Subaward Budget Attachment(s) Form*.

4. Click **OK**.

A success alert appears when the system has created or updated the selected SF424 forms.

Note: Only users who are a reader or editor of the SF424 can access the SF424 workspace. Each time the SF424 is created or updated, the readers and editors from the funding proposal are added to the SF424. If needed, you can add yourself or others as an SF424 reader or editor using the **Assign Editors and Readers** activity on the SF424 workspace.

Update an SF424 Form

Grant Managers can update the SF424 forms after they have been created. Each time the **Create-Update SF424** activity is used, it overrides the fields in the SF424 with the information sourced from the funding proposal and budget. If changes are needed, update the funding proposal or budget first, and then execute the **Create-Update SF424** activity again. When updating the SF424, you can select the specific forms you want updated and deselect the ones you do not want updated. Once OSR approves or submits the proposal, the documents can no longer be edited.



To update SF424 forms and add missing data

1. Click the **SF424 Link** in the *Proposal Information* summary area of the funding proposal workspace.
2. On the SF424 workspace, click **Edit Grant Application**.
3. On the *Select Optional Forms* page of the SF424, select any optional forms to include in the update of the SF424 application.

Note: If you missed a form previously, it is recommended that you re-execute the **Create-Update SF424** activity, as shown in the diagram above, so the information from the funding proposal auto-populates into the SF424 forms.

4. Click **Continue**
5. Verify the information is correct on the SF424 forms. Add or modify data in the SF424 forms as needed.
6. On the *R&R Other Project Information* page, answer the required questions and upload the required proposal documents (e.g., Project Summary/Abstract, Project Narrative, etc.)
7. On the *R&R Senior/Key Person Profile* page, verify the information imported from the funding proposal is correct.

Note: If you uploaded the biosketches and Current & Pending Support forms in the funding proposal, they will automatically populate in the SF424.

* Project Role

PD/PI

▼

Other Project Role Category

Degree Type

Ph.D.

Degree Year

2012

* Attach Biographical Sketch

 Biosketch 1.pdf(0.01) ...

Attach Current & Pending Support

 Other Support 1.pdf(0.01) ...

- On the *R&R Budget* page, upload the budget justification. Click on the budget period date links to view detailed budget information.

Note: If you need to make budget updates, make the changes in the funding proposal budgets, and then re-execute the **Create-Update SF424** activity to ensure the updates are reflected in both places.

▼ Research & Related Budget

▼ Budget Information

* UEI

KG76WYENL5K1

* Budget Type

Project

* Enter name of Organization

Caltech University

* Number of Budget Periods

5

* Budget Justification

 Budget Justification.pdf(0.01) ...

▼ Periods

* Budget Period 1

4/1/2023-3/31/2024 ... *

* Budget Period 2

4/1/2024-3/31/2025 ... *

* Budget Period 3

4/1/2025-3/31/2026 ... *

9. If the proposal includes any subawards, be sure to select the *R&R Subaward Budget Attachment(s) Form* when creating or updating the SF424 and attach the subaward budget justification. To enter the subaward budget, Grant Managers can either:
 - a. Import the *R&R Subaward Budget* from the funding proposal subaward budget. This is the preferred way to enter the subaward budget if the Grant Manager has a copy of the *R&R Subaward Budget PDF*. The information from the import will automatically populate the *R&R Subaward Budget Attachment(s) Form*. Review the [Create a Subaward Budget](#) and [Import a Subaward Budget](#) sections for more information.
 - b. Manually enter the subaward amounts on the SF424 *R&R Subaward Budget Attachment(s) Form*. On this page:
 - i. Enter the number of subawards.
 - ii. Click the ellipsis by each one to open the R&R Budget form. Enter the subawards UEI, select **Subaward/Consortium** as the *Budget Type*, enter the name of the organization, the number budget periods, and attach the subaward budget justification.
 - iii. Click on the budget period links to enter the subaward costs in detail, by period.

10. Complete any remaining SF424 forms. For example, submissions to the National Institutes of Health (NIH) require additional *PHS* forms.
11. On the last page, click **Validate** in the top left menu of the SF424 SmartForm to check for errors **prior to submitting for Department Review**. If you are no longer in the SF424 SmartForm, you can also click **Validate Submission** on the SF424 workspace.
12. Click **Finish** to return to the SF424 workspace.

To update SF424 Research Plan while proposal is routing for approvals

The Research Plan attachments, such as the Research Strategy, Specific Aims, and Project Summary, can be edited by the PI or the Grant Manager while the project is in routing for approvals, if necessary. Attachments can be updated by using the **Update SF424 Research Plan** activity on the funding proposal workspace. When a funding proposal is routing for approvals, the system will allow you to edit or update the Research Plan attachments.

Note: The SF424 should be in *Valid for Submission* state when it arrives in OSR for Specialist Review to be in compliance with the proposal deadline policy.

1. On the funding proposal workspace, click the **Update SF424 Research Plan** activity.
2. Upload the necessary updated documents.
3. Click **OK**.

Once OSR approves or submits the proposal, the documents can no longer be edited.

Generate PDF Version

Grant Managers can generate a PDF version of the SF424 forms and attachments to send to the PI to review.

To generate a PDF version

1. On the SF424 workspace, click the **Generate PDF Version** activity.
Note: This activity can be accessed in any state (i.e., *Pre-Submission*, *Valid for Submission*, *Received by Federal Funding Agency*, and *Federal Funding Agency Tracking Number Assigned*).
2. In the window that appears, click the checkbox next to “Include Attachments.”
3. Click **OK** at the bottom of the window.
4. On the summary area of the SF424 workspace, click **[View]** to open and save the PDF.

ATK Test Proposal

Descriptive Title:	ATK Test Proposal
Submission Type:	New
PDF Version(s):	[View]

Review and Certify a Funding Proposal

When a funding proposal is complete and ready for department review, PIs should review their funding proposal and certify that it is complete and accurate. If PI certification is outstanding when the proposal moves to *Department Review*, the PI will receive a reminder email to complete the certification. The final step of Department approval cannot take place until the PI has certified their proposal.

To review a funding proposal

1. From your PAM inbox, click the name of the funding proposal you want to open. Alternatively, click the funding proposal ID link provided in the *PI Certification Required* email notification.
2. Review the tabs on the funding proposal workspace, including the:
 - a. **Attachments** tab
 - b. **Financials** tab to review the budget summary
 - c. **Related Projects** tab to ensure any agreements associated with the funding proposal are present
3. Click **Edit Funding Proposal** to review detailed information included in the funding proposal SmartForm.

To certify a funding proposal

1. Once you complete your review of the funding proposal, certify that it is complete and accurate. On the funding proposal workspace, click **Certify**.

2. Read the attestations in the resulting *Certify* form.
3. Answer **Yes** or **No** to the question about significant financial interests overlapping with the research activities.
4. Type any comments and add any pertinent attachments.
5. Click **OK**.

In the *Proposal Information* summary at the top of the funding proposal workspace, the *Certified* field updates to **Yes** after certification is completed.

Note: The final step of the department approval cannot take place until the PI completes the **Certify** activity on the funding proposal. If PI Certification is outstanding when the proposal is submitted for Department Review, the PI receives a reminder notification prompting them to complete the certification. Review the [Email Notifications](#) section for more information.

To check certification status

1. From your PAM inbox or the Grants Funding Proposal page, open the desired project.
2. On the *Proposal Information* summary component of the funding proposal workspace, the *Certified* field will say **Yes**, if the proposal has been certified, or **No**, if the proposal is not certified.

Proposal Information	
PD/PI:	Changiz Geula
Department:	Alzheimer's Disease Ctr
Specialist:	Lia Floreno
Sponsors:	National Institutes of Health
Internal Submission Deadline:	12/26/2022
Certified:	Yes
SF424 Link:	SF-4240000001

Submit a Funding Proposal for Review

Once you've completed a funding proposal and its related components – budget(s) and if applicable, SF424, you are ready to submit it for review. Before you do, this is a good time to ensure the PI has certified the funding proposal is complete, correct, and that they will comply with institutional requirements. Ensure all areas of the funding proposal and its related components are complete before submitting it Department Review.

To submit a funding proposal for review

1. From the workspace, click **Submit for Department Review**.
2. If the system reports errors, such as required fields that were not completed, fix them, and submit again.

3. If the *Submit for Department Review* dialog box reports required ancillary reviews that have not been completed, it will not prevent the funding proposal from entering *Department Review* or *Specialist Review* states. However, required ancillary reviews must be completed before the funding proposal can move forward to the *Pending Sponsor Review* state.

When the system reports no errors, the funding proposal advances to the *Department Review* state to be reviewed by the appropriate department reviewers. The funding proposal automatically advances for *Specialist Review* once the final level of Department Review approves, and the PI has certified. If the proposal is not yet certified, the system also sends the PI an email notification, and the proposal appears in their PAM inbox. Review the [Email Notifications](#) section for more information.

Notes:

- To see a list of the reviewers, on the funding proposal workspace, click the **Reviewers** tab.
- If the Grant Manager needs to make changes while the funding proposal is routing, use the **Send Email** activity on the funding proposal workspace to request the reviewer return the proposal for changes. Using the **Send Email** activity will capture the request on the **History** tab of the funding proposal workspace. Review the [Send an Email](#) section for more information.
- During *Department Review* and *Specialist Review*, the funding proposal and budget SmartForms are locked and cannot be edited by the PI or Grant Manager. If clarifications are requested by a reviewer, the funding proposal and budget unlock and become editable. If the funding proposal includes SF424 forms, the SF424 Research Plan attachments are editable during *Department Review* and *Specialist Review* so the research plan can be updated.

Reviewing Funding Proposals

Review a Funding Proposal

When a research team completes a funding proposal, they submit it for review. The system sends an email notification to the appropriate reviewer, and the funding proposal appears in their PAM inbox.

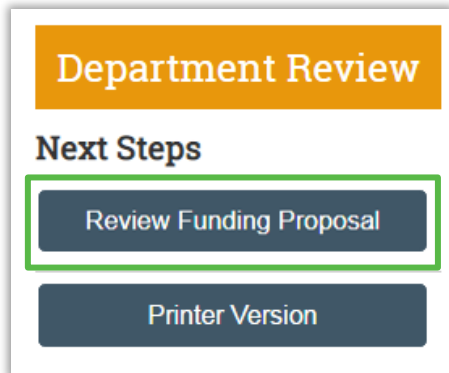
Note: The PI will receive an email notification at this time if they have not yet certified the funding proposal.

The proposal initially goes through a department review process. Department reviewers can add reviewer notes on the proposal pages and request clarifications or changes from the PI and Grant Manager. There can be multiple stages of Department Review that occur sequentially. The final step of Department Review cannot be completed until the PI certifies the funding proposal.

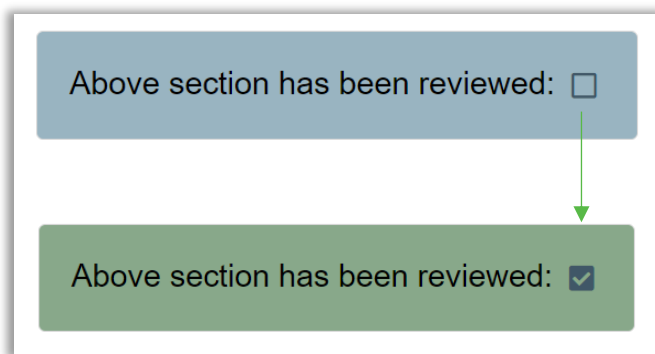
When the proposal passes Department Review, it enters Specialist Review, which is performed by OSR. OSR reviewers can add comments and edit the proposal themselves.

This topic shows the basic procedure for a department review. It is essentially the same for OSR reviews. While Grant Managers generally will not be reviewing proposals, unless they are also considered a Department Reviewer, it is helpful to understand the review process.

1. Open the proposal by clicking its name from the email notification or your PAM inbox.
2. From the funding proposal workspace, click **Review Funding Proposal**.



3. Review the data in the funding proposal. You can scroll through the proposal sections or use the Left Navigator to jump to specific sections.
 - a. To see what changed between this and a previous version, click **Compare** on the Left Navigator and select the version to compare against.
 - b. If you find problems, you can add reviewer notes for the PI. Review the [Request Changes or Additional Information](#) section for more information.
4. After reviewing each section, select the check box at the bottom to indicate you have reviewed it.



- a. The section turns from blue to green, and the check mark for the section also turns green.
 - b. If someone edits the proposal later, the check mark turns gray and an Edit icon appears, indicating to review that section again.

Note: If you do not use this change tracking feature, or miss a check box, it does not prevent the funding proposal from moving forward in the review process.
5. When finished reviewing, click **Exit** to return to the funding proposal workspace.
6. If you found problems in the proposal, you can request changes from the PI and Grant Manager. Review the [Request Changes or Additional Information](#) section for more information.
7. If you are satisfied with the proposal, submit it for the next review in its workflow. Review the [Submit a Department Review](#) section for more information.

Print Proposal Pages

1. On the funding proposal workspace, click **Printer Version**.
2. Click **Print** at the top of the preview.
3. In the Print dialog box, select the desired printer, and click **Print**.
4. In the Print dialog box, select **Save as PDF**, and click **Save** to save it instead of printing.

Request Changes or Additional Information

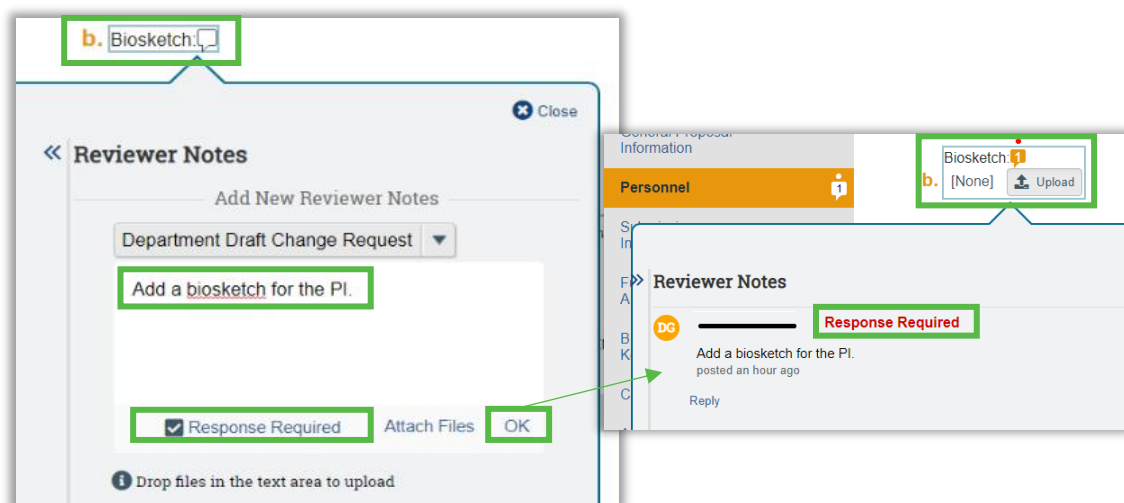
During both department and OSR reviews of a funding proposal, the reviewer can request clarifications or changes. You do this by adding reviewer notes to specific fields and pages in the funding proposal, and then issuing a clarifications request to the project owner.

This topic illustrates the procedure with a funding proposal in Department Review, though the procedure is essentially the same for all project types and review cycles. For information on reviewing a funding proposal, review the [Review a Funding Proposal](#) section.

To add reviewer notes to the funding proposal

1. Open the funding proposal SmartForm for viewing. Review the [Review a Funding Proposal](#) section for more information.
2. Navigate to an item you want to comment on and click the note icon .
 - To comment on an entire section, click the note icon at the upper right corner of the section.
 - To comment on a specific question, click the note icon next to it.
3. Complete the reviewer note form:
 - a. Type your note in the text box.
 - b. To require the project owner to respond to this note before the workflow can complete, select **Response Required**.
 - c. Attach supporting documents, if appropriate.
 - d. Click **OK** to save your entries, and then click **Close**.

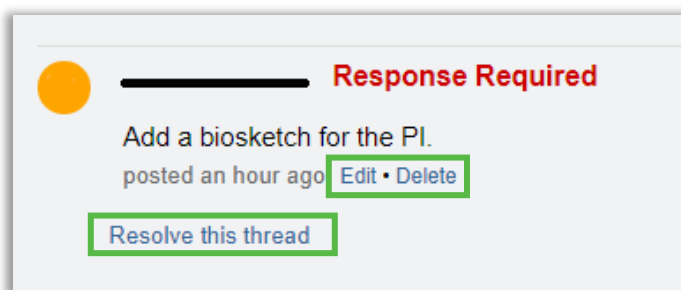
The note icon turns orange and shows the number of notes on that item. If you selected the **Response Required** checkbox, then “Response Required” will appear in red text above your note.



4. Repeat steps 2 – 3 for all the fields/sections you want to comment on.
5. To view the notes on a section or field, click its orange icon. The bottom of the reviewer note form lists all current notes for that item.
6. When done adding reviewer notes, exit the SmartForm. PAM automatically saves your notes.

To view, change, or resolve a reviewer note

1. To view a note on a section or field, click its orange icon. The bottom of the reviewer note form lists all current notes for that item.



2. To make changes in a note, click **Edit**.
3. To remove a note, click **Delete**.
4. When the project owner has adequately addressed a note, you can document this by clicking **Resolve this thread**.

Note: If a response is required, the project owner must respond to the note before you can resolve it.

To send a clarification request to the project owner

1. On the funding proposal workspace, click **Request Changes**.

2. Type your general instructions in the *Request Changes* form and click **OK**.

Department Review

Next Steps

Review Funding Proposal

Printer Version

✓ Approve

← Request Changes

Request Changes

Please describe the changes you are requesting or provide Reviewer Notes:

1 unresolved reviewer notes thread(s):

Page	Number of threads
Personnel	1

1. **Comments:**

Review the requested changes and update the proposal accordingly.

2. **Attachments:** (Optional)

+ Add

Name

There are no items to display

OK Cancel

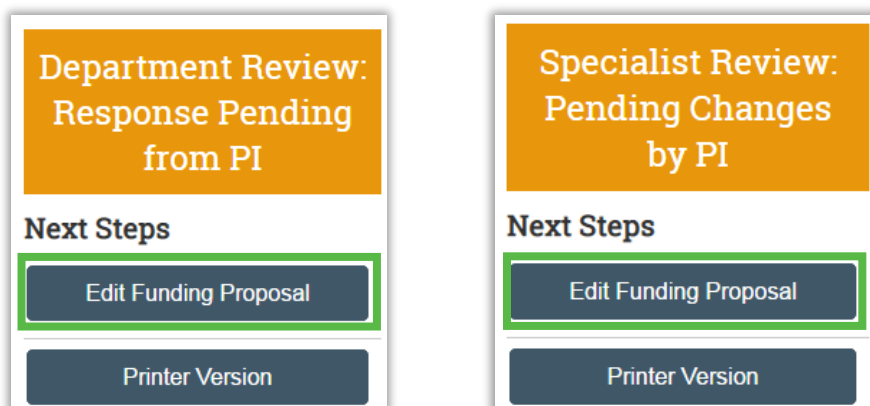
The project enters the *Department Review: Response Pending from PI* state and appears in the project Grant Managers PAM inbox. The Grant Manager and PI will receive email notifications with a link to the funding proposal letting them know that they must respond to the reviewer's request. The funding proposal will become editable so the Grant Manager can make any requested changes.

Respond to a Clarification Request

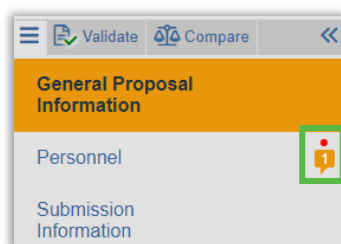
After reviewing a funding proposal, the reviewer may request changes. When they do, the Grant Manager receives an email notification with a link to the funding proposal, and the funding proposal appears in their PAM inbox. The proposal team must make the appropriate changes and submit the revised proposal for review again. Changes can be requested during Department Review or Specialist Review.

To respond to a clarification request

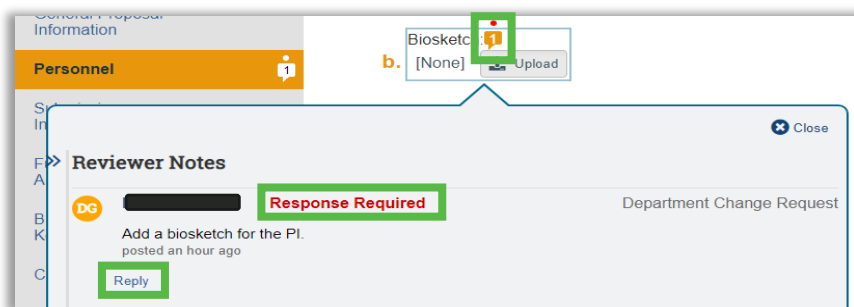
1. Navigate to the funding proposal by clicking its name in the email notification or from your PAM inbox.
2. You can click the **History** tab to review the change request.
3. From the funding proposal workspace, click **Edit Funding Proposal**. You can also use the **Reviewer Notes** tab on the workspace to navigate to the SmartForm pages with reviewer notes.



4. Navigate to a page containing reviewer notes and click a note icon  to open it.

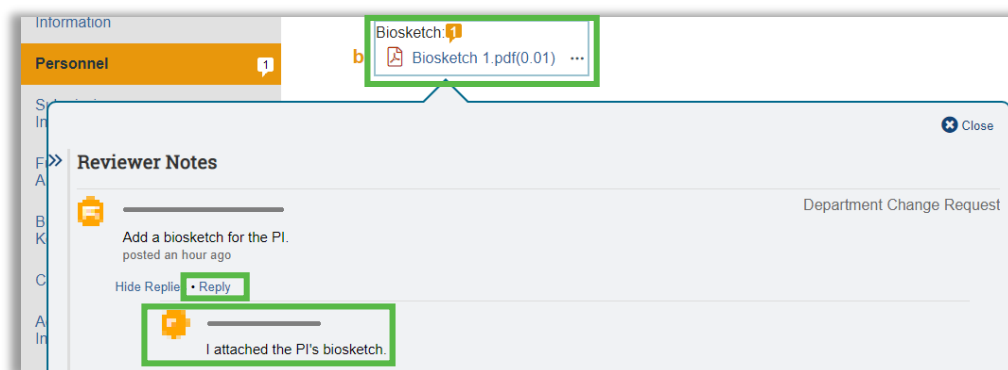


5. Review the notes the reviewer left. The reviewer may have indicated that your response is required to the note. Make the appropriate changes to the proposal.
6. When you've made the change for that reviewer note, or if no change is needed, open the reviewer note, and click **Reply**. If a note is marked "Response Required," you must reply to submit the funding proposal for re-review.



7. In the text box that appears in the reviewer note, type a description of the change or explain your response, attach any pertinent files, and then click **OK**.

Your response appears beneath the review note.



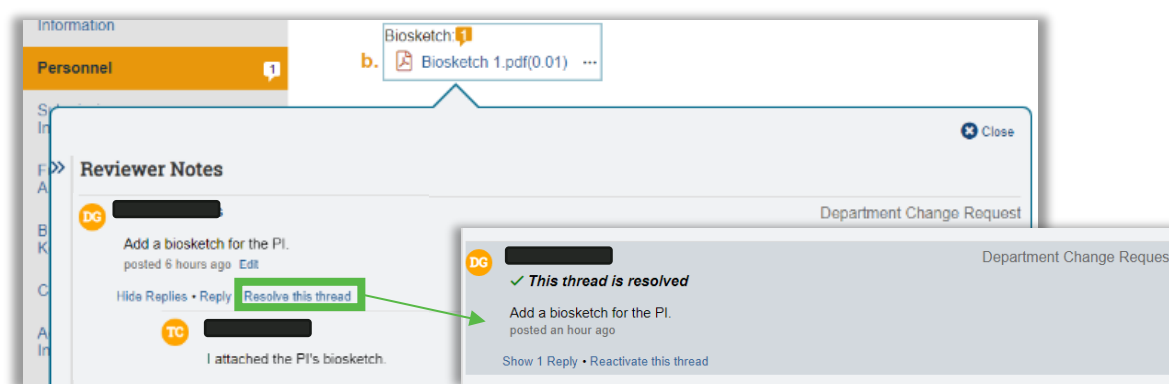
8. Close the reviewer note once you've replied. Make sure to reply to all reviewer notes that are flagged as **Response Required**.
9. When finished responding to reviewer notes, click **Save**, and then **Exit**.
10. On the funding proposal workspace, click **Submit Changes to Department Reviewer** to send it back to the department reviewer.
 To send the funding proposal back to the Specialist for re-review, click **Submit Changes to Specialist**. If the Specialist indicates the department should re-review first, use the **Submit Changes to Department Reviewer** activity.
11. Complete the *Submit Changes* form and click **OK**.

The proposal returns to the *Department Review* or *Specialist Review* states and appears in the PAM inbox of the appropriate reviewer to be rechecked.

Department and Specialist Review of Clarification Request Responses

Once the Grant Manager responds to clarification requests of a department or Specialist reviewer, they resubmit the funding proposal for Department or Specialist re-review. The reviewer will receive an email notification informing them the funding proposal is ready for re-review. The reviewer will:

1. Open the funding proposal by clicking the link in the email notification or from their PAM inbox.
2. On the funding proposal workspace, click **Review Funding Proposal**.
3. Navigate to the items that indicate a clarification. Review the clarifications made by the Grant Manager and read their reply.
4. If the reviewer agrees and accepts the clarifications, click **Resolve this thread**. If not, repeat the steps outlined in the [Request Changes or Additional Information](#) section.



5. When satisfied with the content in the funding proposal SmartForm, click **Exit** to return to the workspace to submit it for the next step in the workflow.

Submit a Department Review

The assigned department approver, when they have reviewed a funding proposal and are satisfied with its content, will submit it for the next step in the workflow. This could be another level of Department Review, or a OSR Specialist Review. For information on the review process, review the [Review a Funding Proposal](#) section.

To submit a department review

1. From the funding proposal workspace, click **Approve**.
2. Type comments and attach pertinent documents in the *Approve* form, if appropriate.
3. Click **OK**.

The system notifies the next reviewer in the workflow and the funding proposal appears in their PAM inbox.

When the proposal passes department review, it will transition to the Specialist Review state and route to the assigned OSR Specialist. PAM will notify the assigned OSR Specialist and the funding proposal will appear in their PAM inbox.

Additional Proposal Activities

The activities outlined in this section may or may not be required depending on the circumstance.

Send an Email

Users can send emails to selected recipients directly from the funding proposal workspace.

To send an email

1. In the funding proposal workspace, click **Send Email**.

2. In the *Send Email* slide-in window, type in the email subject.
3. Select at least one group of recipients.
4. Type in the comments to be included in the email.
5. Attach any necessary supporting documents.
6. Click **OK**.

Add a Comment

Users can add comments to funding proposals.

To add a comment

1. In the funding proposal workspace, click **Add Comment**.
2. In the *Add Comment* slide-in window, type in the comments you want added to the proposal.
3. Attach any necessary documents.
4. Click **OK**.

Note: The comments or documents added through this activity are logged on the **History** tab of the funding proposal workspace. They will be visible to all individuals that have access to read or edit this proposal. No email notifications are sent from PAM when comments are added to a funding proposal.

Manage Access

Users can provide access to or remove access for personnel that do not automatically have access to specific funding proposals based on their default security settings.

Note: Only users who are an editor of the funding proposal can submit for department review, as well as perform other key activities on the funding proposal. If needed, you can add yourself or others as a proposal editor or change the Administrative Contact using the **Manage Access** activity on the proposal workspace. Whether you make yourself a proposal editor or set yourself as the Administrative Contact depends on your local business process and situation. For temporary coverage, add yourself as an editor. If you are taking ownership of the funding proposal, set yourself as the Administrative Contact. These same changes can be made on the *Personnel* SmartForm page as well.

To provide access

1. In the funding proposal workspace, click **Manage Access**.
2. The Administrative Contact automatically defaults to the user executing the **Manage Access** activity. To change the Administrative Contact, clear the user by clicking the  icon. Under Select administrative contact, start typing the person's name, then select it from the list of matches. Alternatively, click the ellipsis to browse the Person list.
3. To add team members that have edit rights, under Select team members who have edit rights, start typing the person's name and select it from the list of matches. Alternatively, click the ellipsis to browse the Person list.

4. To add team members that have read-only rights, under **Select team members who have read-only rights**, start typing the person's name and select it from the list of matches. Alternatively, click the ellipsis to browse the Person list.
5. Click **OK**.

To remove access

1. In the funding proposal workspace, click **Manage Access**.
2. To the right of the individual's name you wish to remove access, click the remove icon .
3. Click **OK**.

Note: For departed employees, contact OSR to bulk-update the access on all records this individual appears on.

Copy a Proposal

Instead of initiating and completing a funding proposal from scratch, users can copy funding proposals to which they have access. This functionality saves the Grant Manager time by copying over most fields to the new funding proposal. The Grant Manager will not have to complete every field from scratch.

To copy a funding proposal

1. In the funding proposal workspace, click **Copy**.
2. In the Copy slide-in window, type in the name of the new proposal.
3. Check the **Use background processing** checkbox.
4. Click **OK**.
5. Refresh the page. The copy will appear in the list of funding proposals once it is processed.
6. Edit the necessary fields.

Note: The questions on the *Compliance Review* page will need to be recompleted on the new, copied funding proposal.

Withdraw a Proposal

If a proposal team decides not to move forward with submitting a funding proposal into workflow for review or to a sponsor for consideration, users can withdraw it.

To withdraw a proposal

1. In the funding proposal workspace, click **Withdraw Proposal**.
2. Type in the reason for withdrawal.
3. Click **OK**.

The proposal transitions to the *Not Submitted* state. Funding proposals in the *Not Submitted* state cannot be re-opened for editing; however, they can be copied to create a new funding proposal. Review the [Copy a Proposal](#) section for more information.

Locate Submitted Proposals

Submitted funding proposals no longer appear in the Grant Managers PAM inbox. There are many reasons why a Grant Manager may need to open a submitted funding proposal, including:

- The PI wants to request an advance account.
- Caltech received an award letter for a funding proposal and needs to indicate a change in status to OSR.
- Caltech received a request for additional information or updates from the sponsor:
 - A formal JIT request from a federal sponsor
 - Other requests for updates from the sponsor

There are multiple ways to access or see a list of the pending funding proposals that are awaiting sponsor decision and key information about those proposals.

To locate a submitted proposal

1. From your Dashboard, click the **In Process** tab.
 - Under “My Proposals,” click the **Proposals Pending Sponsor Response** tile to see the funding proposals on which you are assigned as the Admin Contact/RA that are pending sponsor review.
 - Under “All Proposals,” click the **Proposals Pending Sponsor Response** tile to see all the funding proposals in your department that are pending sponsor review.
2. From the Grants Funding Proposal page, click the **Sponsor Review** tab to see all funding proposals from your department that are pending sponsor review.

Notify OSR of Grants Status

There will be times when it is necessary to inform OSR of an update to the grant's status. This may be because the Grant Manager received sponsor correspondence that an award was received, is anticipated, or was not funded.

To send a Grants Status Update

1. Navigate to the funding proposal workspace.
2. On the funding proposal workspace, click **Send Grants Status Update**.
3. In the *Send Grants Status Update* form, select the appropriate grants status, include any necessary comments and attachments, and click **OK**.

SR will review the update and run the appropriate activity to move the funding proposal into the appropriate state.

Respond to a Just-in-Time (JIT) Request

When a sponsor requests updated information for a submitted funding proposal, such as the NIH Just-In-Time (JIT), both the Grant Manager and OSR will perform steps in PAM. The Grant Manager can initiate the process by informing OSR of the updated information/JIT request. This topic explains how to update the funding proposal in such cases.

To respond to a Just-In-Time request

1. Once the Grant Manager learns that a JIT request was received and the PI plans to respond, search for the funding proposal on one of the Grants Funding Proposal pages. Click the name of the funding proposal to open the workspace.
2. From the funding proposal workspace, click **Send Grants Status Update**. In the *Send Grants Status Update* window:
 - Select **JIT Info Requested** as the grants status.
 - Click **Add** to attach the sponsor notification or request
 - Click **OK**

The proposal transitions from the *Pending Sponsor Review* state to the *Proposal Status Confirmation* state. The assigned OSR Specialist receives a notification of the Grants Status Update, and the proposal appears in their PAM inbox.

3. From the funding proposal workspace, OSR clicks **JIT Changes Required** and clicks **OK** in the resulting form.

The funding proposal transitions to the *JIT Response Required* state and becomes editable. It appears in the Grant Manager's PAM inbox, and the system sends an email notification to the PI and Grant Manager. Review the [Email Notification](#) section for more information.

Note: If the study team hasn't already initiated protocol submissions for projects including human or animal subjects, they should initiate that process now. Consult the IRB and IACUC websites for more information and guidance.

4. From the funding proposal workspace, the Grant Manager clicks **Edit Funding Proposal** to make the updates requested by the sponsor. Open the budget and click **Edit Budget** on the budget workspace if changes were requested to the budget.

Note: Do not upload the JIT documents to the funding proposal SmartForm. Attach a single PDF of the documents in the next step.

5. When the Grant Manager is finished making the changes to the funding proposal, the Grant Manager clicks **Submit JIT Response** on the funding proposal workspace to submit the changes to OSR.

Note: Upload a single PDF of the JIT documents to this activity window.

The funding proposal transitions to the *Pending Sponsor Review Award Anticipated* state. It appears in the OSR Specialist's PAM inbox. PAM sends an email notification to the OSR Specialist. Review the [Email Notifications](#) section for more information.

6. OSR reviews the JIT changes made by the Grant Manager. If OSR requires additional changes, OSR re-executes the process by clicking **JIT Changes Required**. It reappears in the Grant Managers PAM inbox, and an email notification is sent to the PI and Grant Manager.

7. If no additional changes are required, OSR clicks **Send Email** on the funding proposal workspace to notify the Grant Manager that documents can be uploaded to the external sponsor system. Add an email subject line, select at least one group of recipients, and add comments to be included in the email notification. Click **OK**.

The user is returned to the funding proposal workspace and can move forward with the sponsors JIT response process.

Updating the Funding Proposal with the Sponsor Determination

When Caltech receives a determination from a sponsor, the Grant Manager should open the funding proposal and update the information. The funding proposal can be updated with pre-official and official award notifications.

To respond to pre-official award notification

- From the funding proposal workspace, click **Funding Anticipated**.

The funding proposal transitions to the *Pending Sponsor Review Award Anticipated* state.

To respond to official award notification

- From the funding proposal workspace, click **Award Letter Received**.

The funding proposal transitions to the *Award Notification Received* state.

Create an Agreement from a Funding Proposal

Grant Managers can create and access related agreements directly from a funding proposal workspace. This activity is an important step in establishing relationships between funding proposals and agreements. Review the *PAM Research Community Agreements Reference Guide* for additional information on creating and submitting agreements.

To create an Agreement from a Funding Proposal

1. From your PAM inbox or one of the tabs on the Grants Funding Proposal page, click the name of the funding proposal for which you would like to create an agreement.
2. On the funding proposal workspace, click **Create Agreement**.
3. On the slide-in window, select the **Agreement Type** you want to create.
4. Click **OK**.
5. On the funding proposal workspace, click the **Related Projects** tab.
6. Click either the ID or Name links to open the agreement workspace.
7. On the agreement workspace, click **Edit Agreement** to make the necessary changes.

Note: Grant Managers can also use the **Manage Relationships** activity to view agreements already linked to a funding proposal or to link a new agreement that was created outside of the funding proposal workspace. Review the [Manage Relationships](#) section for more information.

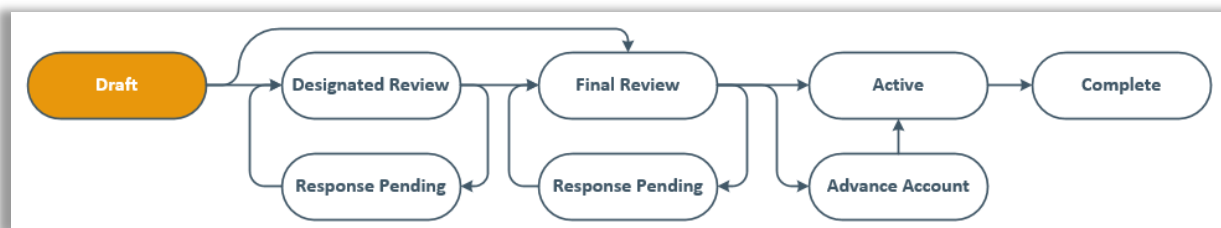
Creating and Activating Awards

Award Workflow

An OSR team member creates awards when Caltech receives an award notification from the sponsor (or is confident Caltech will receive one). The OSR team member enters all the necessary information in the award, sends it to the Grant Manager for budget reconciliation, if necessary, and initiates a Final Review, which sends the award to the assigned Award Approver. The assigned Award Approver performs the final review, and either sends the award back to the OSR team member for changes or activates the award, which formalizes the sponsor's authorization to spend funds and establishes the award in Oracle.

The Award Workflow Map below provides a high-level summary of the review process. Awards start in a *Draft* state when created in the system. The workflow ends in a *Complete* state, which means the award performance has ended, and it is closed out in PAM. Orange indicates where the award currently is in the workflow. Since the Workflow Map is a high-level summary, the state listed at the top left of the award will provide more detail about where it is in the workflow. The Award State Transitions chart highlights what can happen during a specific award state and what activities are necessary to move it to the next state.

Award Workflow Map



Award State Transitions

Reconcile an Award Budget

OSR may contact a Grant Manager to reconcile a budget if an award is significantly cut by the sponsor from the amount proposed, if the award is complex and requires multiple financial accounts/chart strings, or if the award has changes to subaward total dollars. The award will be in a *Draft* state when sent to the Grant Manager.

To reconcile the award budget

1. Open the desired award by clicking the link in the email notification or from your PAM inbox.
2. From the award workspace, click **Edit Award**.
3. On the *Budget Reconciliation* page, select the budget period allocation to reconcile. A list of budget categories appears. If there are multiple allocations that need to be reconciled, the OSR Specialist will indicate this in the ancillary review comments. The Grant Manager will select the first allocation that needs to be reconciled, complete that reconciliation, and save it. Then, the Grant Manager will repeat the same process for the additional allocations.

Note: Only authorized and advance account allocations are available to select. Allocations that are not yet authorized cannot be reconciled.

General Award Information

Related Items

Financial Setup

Budget Allocations

Budget Reconciliation

Personnel

Effort

Terms And Conditions

Award / Authorized Budget Reconciliation

All Allocations

Total Sponsor Awarded to Date: ?	\$85,315
Total Reconciled to Date:	\$85,315
Difference:	\$0

Select the Budget Allocation to display: ?

- None Selected
- 23andMe, Inc. Award Period 1
- 23andMe, Inc. Award Period 2
- 23andMe, Inc. Award Period 3

Undo All Changes

4. There are two approaches Grant Managers can take to populate the budget: Importing from a proposal budget or manually adding the authorized amounts.

Option 1: Import Budget

- i. To populate the Baseline column with amounts from the proposal’s budget, click **Import (\$)**.
- ii. On the *Import Budget* form, select the budget periods from which to import amounts, and click **OK**.

Select the Budget Allocation to display: ?

National Institutes of Health Award Period 1

Start Date: 2/1/2023

Undo All Changes

Budget Categories	Baseline ?	Import (\$)	Rollup Adjustments	Adjust
Academic Personnel 60010	\$0			
Non-Academic Personnel 60100	\$0			

Clear

Import Budget: FP00000481

WARNING: Importing budget period(s) will overwrite all Baseline, Adjustment and Cost Share totals. It will also overwrite all personnel and replace it with personnel from the selected periods. This only applies to the currently selected Allocation.

Click 'Cancel' if you do not wish to import.

Select the budget period(s) you want to import.

Budget: National Institutes of Health

- ☒ Period 1 (2/1/2023-1/31/2024)
- ☐ Period 2 (2/1/2024-1/31/2025)
- ☐ Period 3 (2/1/2025-1/31/2026)

OK Cancel

- iii. Adjust the imported values by entering positive or negative values in the Adjustments column values until the Difference amount in the page header reaches zero. The Total column will automatically update to reflect the difference. **Active Allocation Total amounts cannot be less than zero in any budget category.**

All Allocations

Total Sponsor Awarded to Date: \$80,337

Total Reconciled to Date: \$80,337

Difference: \$0

Current Allocation

Total Sponsor Awarded: \$80,337

Total Reconciled: \$80,337

Difference: \$0

Select the Budget Allocation to display: National Institutes of Health Award Period 1

Start Date: 2/1/2023 End Date: 1/31/2024

Budget Categories	Baseline	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation	Total
Academic Personnel	60010	\$16,667		\$0	↑ - \$3,500	\$13,167	
Non-Academic Personnel	60100	\$0		\$0	↑ \$0	\$0	
Fringe Benefits	60180	\$4,083		\$0	↑ -\$857	\$3,226	

Note: The system calculates indirect cost by including categories flagged with the dagger symbol in the indirect cost base, then multiplying the base by the indirect rate specified in allocation setup. The indirect cost base specified in allocation setup determines which budget categories show the dagger symbol.

Option 2: Manual Entry

- i. Enter the positive amounts needed for each category in the Adjustments column. The Baseline column will remain \$0.

Budget Categories	Baseline	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation	Total
Academic Personnel	60010	\$0		\$0	↑ \$25,000	\$25,000	
Non-Academic Personnel	60100	\$0		\$0	↑ \$0	\$0	
Fringe Benefits	60180	\$0		\$0	↑ \$6,250	\$6,250	
Salaries Restricted	60200	\$0		\$0	↑ \$0	\$0	
Non-Academic Temp, Work Study	60210	\$0		\$0	↑ \$0	\$0	
Employee Human Subject Costs	60220	\$0		\$0	↑ \$0	\$0	
NIH Modular Direct Cost Budget	72800	\$0		\$0	↑ \$0	\$0	
Industry Clinical DC Budget	72900	\$0		\$0	↑ \$0	\$0	
Supplies	73000	\$0		\$0	↑ \$8,000	\$8,000	
F&A	78700	\$0		\$0	↑ \$35,315	\$35,315	

- ii. Like the Import option, the F&A will automatically calculate based on the F&A cost base and rate entered during award set-up.
 - iii. The budget is reconciled when the Difference is \$0.
5. When you've reconciled the budget (by either option), click **Save** and then **Exit** at the bottom of the page.
 6. To notify OSR that the reconciliation is complete, click **Submit Ancillary Review** on the award workspace.
 7. Complete the *Submit Ancillary Review* form. Answer **Yes** to the questions to indicate the reconciliation is complete. Any comments entered will populate in the email notification to OSR.

Submit Ancillary Review

1. Select the review you are submitting:

Organization	Person	Review Type	Required
☒	Lissa Chambers	Award Needs Department Response	yes

2. * Do you accept this submission? [?](#)
☒ Yes ☐ No [Clear](#)

3. * Is the ancillary review complete? [?](#)
☒ Yes ☐ No [Clear](#)

4. Comments:
 The budget is all set!

5. Supporting documents:
[+ Add](#)

Name
There are no items to display

OK **Cancel**

8. Click **OK**.

You are returned to the award workspace. Once the Ancillary Review is updated, the **Reviewers** tab will reflect the new information. The award no longer appears in the Grant Managers PAM inbox. The assigned OSR Specialist receives an email notification that the Ancillary Review was completed, and award setup will resume.

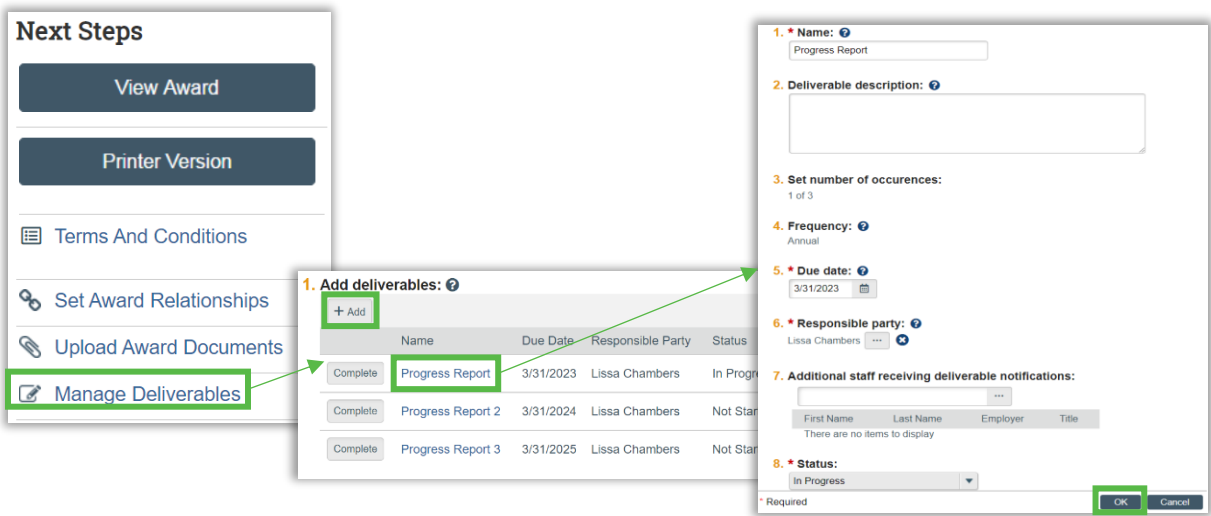
Additional Award Activities

Manage Deliverables

Deliverables created in PAM as part of OSR’s award set-up on the *Deliverables* page or using the **Manage Deliverables** activity provide a way to track sponsor and Caltech requirements for the award, such as deadlines, special reports, and progress reports. The business process is for OSR to add deliverables during initial award set-up. **Managing deliverables is optional for Grant Managers**, but Grant Managers can update deliverables over the period of performance to capture deliverable submission dates. For NIH RPPR submissions, OSR will update the associated deliverable when the progress report is submitted.

To Add or Edit Deliverables

- 1. Open the desired award from your PAM inbox or the Grants Awards page.
- 2. Click **Manage Deliverables** on the award workspace.
- 3. Click **Add** to add a new deliverable and completing the form.
- 4. Click the deliverable name link to update an existing deliverable.
- 5. Click **OK**.



Note: PAM will send reminder emails to responsible parties 90, 60, and 30 days prior to the deliverable due date if the deliverable is outstanding. The deliverable also appears in the *My Deadlines* section of the Dashboard.

To Complete Deliverables

The assigned Specialist or the Grant Manager, if assigned as the Responsible Party of the deliverable, can complete deliverables in PAM.

1. Open the desired award from your PAM inbox or the Grants Awards page.
2. On the **Deliverables** tab of the award workspace, click **Complete** for the deliverable that has been produced. The *Edit Deliverable* form will open.

	Deliverable	Owner First	Owner Last	Due Date	Status	Completion Date	Completed By
Complete	Progress Report	Lissa	Chambers	3/31/2023	In Progress		
Complete	Progress Report 2	Lissa	Chambers	3/31/2024	Not Started		
Complete	Progress Report 3	Lissa	Chambers	3/31/2025	Not Started		

3. Drag the deliverable documents into the **Attach completed document(s)** field on the *Edit Deliverable* form or click **Add** and choose the file from your local drive.
4. Enter the date the deliverable was completed and the name of the person who completed it.

Edit Deliverable

Complete Deliverable

1. **Name:**
Progress Report

2. **Due date:**
12/30/2022

3. *** Attach completed document(s):**
+ Add
Name
There are no items to display

4. *** Completed date:**
[Date Picker]

5. *** Completed by:**
[Dropdown Menu]

* Required **OK** **Cancel**

5. Click **OK**.

On the award workspace **Deliverables** tab, the deliverable you completed no longer displays a **Complete** button, and its status has changed to *Completed*. The *Completion Date* and *Completed By* columns populate with the information entered on the *Complete Deliverable* window. You can still click the deliverable name link to view the deliverable information, but it can no longer be edited.

Create an Agreement from an Award

Grant Managers can create and access related agreements directly from an award workspace. This activity is an important step in establishing relationships between awards and agreements. Review the *PAM Research Community Agreements Reference Guide* for additional information on creating and submitting agreements.

To create an Agreement from an Award

1. From your PAM inbox or one of the tabs on the Grants Awards page, click the name of the award for which you would like to create an agreement.
2. On the award workspace, click **Create Agreement**.
3. On the slide-in window, select the **Agreement Type** you want to create.
4. Click **OK**.
5. On the award workspace, click the **Related Projects** tab.
6. Click either the ID or Name links to open the agreement workspace.
7. On the agreement workspace, click **Edit Agreement** to make the necessary changes.

Note: Grant Managers can also use the **Manage Relationships** activity to view agreements already linked to an award or to link a new agreement that was created outside of the award workspace. Review the [Manage Relationships](#) section for more information.

Subawards

Outgoing Subawards Workflow

Review the [PAM Agreements Research Community Reference Guide](#) for detailed information on the Agreements components of this process.

Initiating a Subaward and Subaward Agreement (SUB) for a New Award

1. When a notice of award is received by the OSR Awards Management team, a draft award is set up. The award is then routed through the review workflow and activated.
2. Once the award is *Active*, the OSR Awards Management team will send the award notice to the PI and Grant Manager (admin contact) on the award.
3. OSR will complete the first three SmartForm pages of the agreement (*Agreement Upload*, *General Information*, and *Outgoing Subaward Setup Questions* pages). After completing these pages, OSR will notify the Grant Manager using the **Email Agreement** activity from the agreement workspace.
4. The email notification triggered by OSR will notify the Grant Manager that the subaward agreement has been initiated and requires their completion and submission. They will see the agreement in their PAM inbox in the *Pre-Submission* state. They can click the agreement name to go to the workspace, where they can continue to edit and submit the agreement.
5. The Grant Manager completes the remaining pages of the agreement (excluding the *Negotiation Information* page as this page is only to be filled in by OSR) and attaches supporting materials as needed.

6. After completing the agreement SmartForms and verifying all information is accurate and complete, the Grant Manager will submit the agreement. After submitting, the agreement will move to the *Unassigned* state.
7. OSR will assign a team member to generate, negotiate, and sign the subaward agreement.
8. The PI and Proxy will be notified throughout the workflow if clarification is needed and once the agreement language is approved. Once the agreement completes the signing process and is activated, the agreement will move to the *Active* state. When the agreement is activated, the PI, Proxy, and Collaborators will also receive a notification with a link to the fully executed agreement.
9. Once the agreement is fully signed and activated, the OSR enters the subaward record in the parent award and activates it.

Grant Manager Responsibilities Overview

All the Grant Manager responsibilities for subaward setup and modification take place in the PAM Agreements module. The information below highlights the Grant Managers responsibilities in the subaward workflow. Review the [PAM Agreements Research Community Reference Guide](#) for detailed information.

- If the subaward is no longer moving forward, the Grant Manager can discard the agreement. Review the *Discard an Agreement* section of the [PAM Agreements Research Community Reference Guide](#) for more information.
- The Grant Manager can re-assign the agreement to other unit staff or add collaborators by using the **Manage Access** activity on the agreement workspace. Review the *Add an Agreement Collaborator* section of the [PAM Agreements Research Community Reference Guide](#) for more information.
Note: Make sure to list yourself as a collaborator (even if you are already the Primary Contact) so you can receive email notifications related to this agreement.
- The Grant Manager completes the *Outgoing Subaward Agreement Information* and *Outgoing Subaward Regulatory Compliance* pages of the agreement and attaches supporting materials as needed, as well as checks the information already input on the *Outgoing Subaward Setup Questions* page.
- Once the agreement is complete, the Grant Manager submits it to move it to the *Unassigned* state.

Requesting Award Modifications

Award Modification Request Workflow

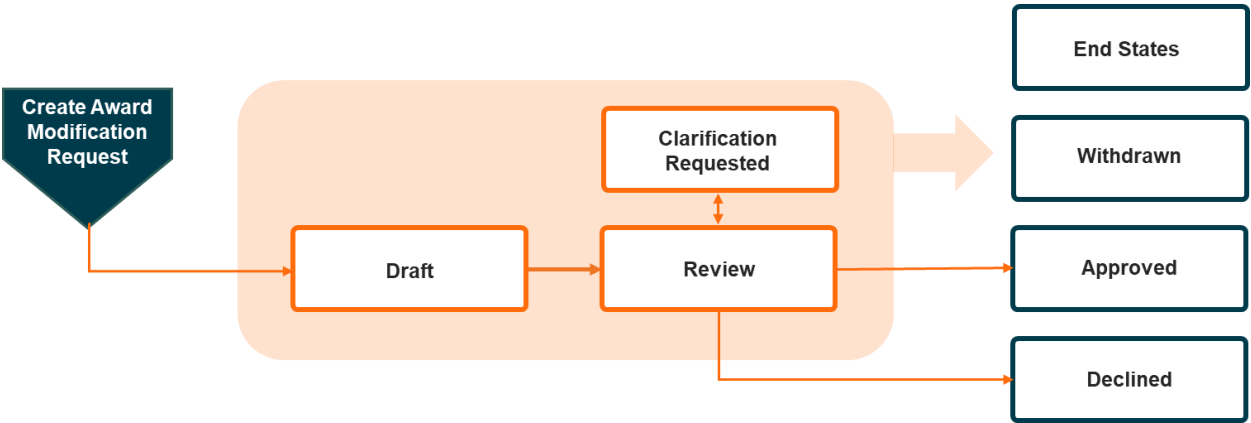
There are times when it is necessary to make a change to an active award. The Grant Manager must submit a request to OSR to have a change made to an active award. The request must be made in PAM with an award modification request. PAM offers a wide variety of modification types, such as scope, budget, and personnel effort changes. Award Modification Requests have their own review cycle.

The Grant Manager creates, edits, and submits the Award Modification Request to OSR for review. OSR can return the request to the Grant Manager for additional edits, or they can approve or decline the

request. Grant Managers can withdraw the request in PAM if it is no longer needed. OSR will indicate if the request was sent to the sponsor if it needs sponsor approval. After the request is approved, OSR will move forward with creating the appropriate award modification.

The Award Modification Request Workflow Map provides a high-level summary of the review process. The Award Modification Request State Transitions chart highlights what can happen during a specific award modification request state and what activities are necessary to move it to the next state.

Award Modification Request Workflow Map



Award Modification Request State Transitions

Current State	During This State...	To Move to the Next State...	Next State
	Award Mod Request is created	Create and save Award Mod Request	Draft
Draft	Award Mod Request can be edited by Grant Manager	Submit to Specialist Withdraw	Review Withdrawn
Review	OSR reviews the Award Mod Request and can approve, decline, request changes, or withdraw it	Approve Decline Request Changes Withdraw	Approved Declined Clarification Requested Withdrawn
Clarification Requested	RA makes the necessary edits to the Award Mod Request	Submit Clarifications Withdraw	Review Withdrawn

Request an Award Modification

Active awards often need to be changed in some way. For example, you may need to address sponsor requests, update awarded amounts, or account for an approved extension. This section shows how to create an award modification request and submit it for review.

Award modifications can be requested on awards in *Active* or *Advance Account* states. PAM supports multiple award modification requests for a single award. Typically, the Grant Manager (administrative contact) on the award requests the modifications, though several other roles have permissions to do so.

Note: Make sure to follow any local unit-defined business processes regarding any additional approvals that should be collected prior to submitting the request for OSR review. Those approvals, where needed, should be documented and attached to the request prior to submitting for OSR review.

To submit an award modification request

1. Open the award that needs to be changed from the **Active Awards** tab on the Grants Awards page.
2. From the award workspace, click **Request Award Modification**.
3. In the SmartForm on the *Request Details* page, type a meaningful title and description for the modification request, and select the request type(s). Supply any of the optional information.

Note: You can select more than one request type in a single *Award Modification Request* form. Review the [Types of Award Modification Requests](#) section for more information.

6. * Select request type(s): ?

- ☐ Award Relinquishment or Transfer
- ☐ Carryforward
- ☐ Scope Change
- ☐ Department Change
- ☐ No-Cost Extension
- ☐ Rebudget
- ☐ At-Risk Spending
- ☐ Open Account Codes
- ☐ Personnel-Effort Change
- ☐ Subaward Personnel Change
- ☐ Outgoing Subaward Modification

To proceed to the next page, click "Save" then click "Continue".

✕ Exit 💾 Save Finish

4. When satisfied with your entries, click **Save** and **Finish** to save your work and populate the additional pages of the SmartForm. Click **Exit** to go to the award modification request workspace.

The system creates the modification request in the *Draft* state, and it appears in your PAM inbox until you submit it for review.

5. Complete the SmartForm pages that appear based on your earlier request type selections. One page will appear for each type selected on the initial page, and each page requires different information.

Note: If you accidentally made the wrong selection, return to the *Request Details* page and update your selection.

6. When finished, validate the request, correct any errors, and click **Finish**.

The request closes and you are taken to the award modification request workspace.

7. When you are ready to submit the request for OSR review, click **Submit to Specialist** on the award modification request workspace.

8. On the *Submit to Specialist* form, optionally supply any instructions and supporting documents, then click **OK**.

The award modification request transitions to the *Review* state and appears in the assigned Specialist's PAM inbox.

Types of Award Modification Requests

PAM offers a variety of award modification request types for selection. More than one request type can be selected in a single request. Each request type populates a different SmartForm page for the Grant Manager to complete.

Note: If a PI or Grant Manager receives an award notice directly from the sponsor, forward the sponsor email or notice to (email address).

Revision | Supplement

Additional funds needed during a current project period to cover increased costs due to unforeseen circumstances or additional activities not identified in the current award.

No Cost Extension

An extension of the final budget period of a previously approved project period for up to 12 months, without additional funds.

No Cost Extension

1. * Is there a sponsor deadline for submitting the NCE?

☐ Yes

☐ No

[Clear](#)

2. * Are there any prior NCEs on the project?

☐ Yes

☐ No

[Clear](#)

3. * Which chartstrings should be extended?

...

Name	Principal Investigator	Indirect Cost Rate Type	Indirect Cost Base Type
There are no items to display			

4. * What is the unobligated balance across all projects?

5. * Upload budget statement (such as GM045 report) showing balance:

+ Add

Name	Modified Date
There are no items to display	

6. * What is the newly proposed end date?

7. * Explain the need for the extension/reasons for delays:

8. * Provide a plan for the unobligated funds usage/which project aims will be accomplished in the extended period:

9. Provide any other relevant attachments:

+ Add

Name	Modified Date
There are no items to display	

10. Provide any other relevant notes:

Exit

Save

Continue

Re-budget

Transfers of amounts from one expense category to another in the budget of an approved award. The awarded and authorized amounts for the budget period do not change.

Rebudget

1. * Is this related to rebudgeting approved carry forward?

☐ Yes

☐ No

[Clear](#)

2. No rebudgeting restrictions were indicated in the Terms and Conditions

3. * Is Sponsor's prior approval required?

☐ Yes

☐ No

[Clear](#)

4. * Select all chartstrings involved in the rebudgeting:

...

Name	Principal Investigator	Indirect Cost Rate Type	Indirect Cost Base Type
There are no items to display			

5. * Upload revised budget documentation:

+ Add

Name	Modified Date
There are no items to display	

6. * Does this rebudget involve adding any new subawards?

☐ Yes

☐ No

[Clear](#)

7. * Describe the impact on cost sharing:

Exit

Save

Continue

Continuation

Financial assistance (in an application or progress report) for a subsequent budget period within a previously approved project period.

Carryover

Unobligated funds remaining at the end of any budget period are carried forward to a subsequent budget period to cover allowable costs.

NGA Revised

Changes in award terms from the sponsor. Use this option to move the award from Advance Account to Active status.

Budget Allocation Correction

Correction of a data entry error or an internally triggered adjustment.

Early Termination

Close-out of an award any time prior to the planned end of the period of performance, whether initiated by the sponsor or by your institution.

Demographic Changes Only

The modification specifies only demographic changes offered in the next question.

Complete Department Edits for an Award Modification

After receiving and reviewing a request for an award modification, OSR will create an award modification to execute the changes to the award. While most award modification SmartForm pages are to be completed by OSR in PAM, there may be times a Grant Manager is requested to reconcile an award budget. This will most often occur during the following award modification types:

- Revisions | Supplement
- Re-budget
- Continuation
- NGA Revised

OSR will inform the Grant Manager through the Ancillary Review type: **Award Needs Department Response**. The Grant Manager receives an email notification, and the award modification appears in their PAM inbox. Review the [Reconcile an Award Budget](#) section for detailed instructions on how to complete a budget reconciliation.

Example: Department Edits for a Re-budget Award Modification

- 1. After OSR reviews and approves your Re-budget award modification request, OSR will create a Carryover award modification.
- 2. OSR may contact the Grant Manager to reconcile the budget via Ancillary Review. Review the [Reconcile an Award Budget](#) section for more information.
- 3. In these cases, the Grant Manager will receive an email notification in their PAM inbox. Click the link to open the award modification.
- 4. On the *Budget Reconciliation* page, select the budget allocation for the period that requires a budget reconciliation update. The budget categories appear, populated with the amounts for the current allocation.

Award / Authorized Budget Reconciliation

All Allocations

Total Sponsor Awarded to Date: \$56,293

Total Reconciled to Date: \$0

Difference: \$56,293

Select the Budget Allocation to display:

National Institutes of Health Award Period 1

None Selected

National Institutes of Health Award Period 1

Undo All Changes

Current Allocation

Total Sponsor Awarded: \$56,293

Total Reconciled: \$0

Difference: \$56,293

Start Date: 2/1/2023

End Date: 1/31/2024

- 5. Increase or decrease the total budget for this period by the appropriate re-budget amounts in the Adjustments column. Enter positive or negative adjustments to budget categories until the budget is reconciled with re-budget amounts.

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Award / Authorized Budget Reconciliation

All Allocations

Total Sponsor Awarded to Date: \$56,293

Total Reconciled to Date: \$56,293

Difference: \$0

Current Allocation

Total Sponsor Awarded: \$56,293

Total Reconciled: \$56,293

Difference: \$0

Select the Budget Allocation to display:

National Institutes of Health Award Period 1

Undo All Changes

Start Date: 2/1/2023 End Date: 1/31/2024

Budget Categories	Baseline	Import (\$)	Clear	Rollup Adjustments	Adjustments	Active Allocation Total
Academic Personnel	60010		\$0	\$0	\$0	\$0
Non-Academic Personnel	60100		\$0	\$0	\$0	\$0
Fringe Benefits	60180		\$0	\$0	\$0	\$0
Salaries Restricted	60200		\$0	\$0	\$0	\$0
Non-Academic Temp, Work Study	60210		\$0	\$0	\$0	\$0
Employee Human Subject Costs	60220		\$0	\$0	\$0	\$0
NIH Modular Direct Cost Budget	72800		\$0	\$0	\$0	\$0
Industry Clinical DC Budget	72900		\$0	\$0	\$0	\$0
Supplies	73000	\$20,000	\$0	\$1,000	\$21,000	
Consultant Services	75001	\$5,000	\$0	\$5,000	\$10,000	
Services, Restricted	75002	\$0	\$0	\$0	\$0	
Physical Plant Properties	76000	\$0	\$0	\$0	\$0	
Travel, Domestic	76761	\$10,000	\$0	-\$6,000	\$4,000	
Travel, Foreign	76762	\$0	\$0	\$0	\$0	

- When finished reconciling, click **Save and Exit**.
- Submit your ancillary review to notify OSR that the budget reconciliation is complete. Review the [Submit an Ancillary Review](#) section for more information.

Follow-On Submissions

Create a Continuation Proposal from an Active Award

A continuation is a type of follow-on submission in PAM used primarily for submitting progress reports for review and approval and to request funding of an active award for the upcoming budget year. Typically, it includes a progress report for the closing budget year. Grant Managers will create continuations proposals and submit them to OSR for review and approval.

To create a continuation proposal

- From the **Active Awards** tab on Grants Awards page, click the name of the **active award** for which continuation funding is needed.
- On the award workspace, click **Create Continuation**.

A new funding proposal opens for editing. The system gives it a default name composed of the award name suffixed with the word, “Continuation,” but it can be modified as desired.

- On the *General Information* page, update the title, if necessary, add a description, add the upcoming budget period dates, and respond to the remaining questions. Some of the information, such as the PD/PI, the submitting department, direct sponsor, and the sponsor award number automatically populate on the page. Click **Save** and **Continue**.

Note: The continuation proposal and its ID do not exist until the first page is saved. The ID is suffixed with “-Con” and the corresponding continuation number (e.g., “FP00001234-Con1”).

- On the *Level of Effort & Budgeting* page, answer the questions regarding changes in other support, effort, and budget categories. Attach a detailed budget for the upcoming period and click the ellipsis next to the deliverables questions to view the list of deliverables and select the one relevant to the continuation proposal.

8. Select the deliverable this proposal relates to:

ID00000125



Select Deliverable

Filter by
Name
Go
Clear
Advanced

Name	Description	Due Date
☐ Progress Report		12/31/2023
☐ Progress Report 2		12/31/2024
☐ Progress Report 3		12/31/2025
☐ Progress Report 4		12/31/2026
☐ Progress Report 5		12/31/2027

OK
Cancel

- On the *Compliance* page, state if the project involves any compliance requirements in the coming year. If **Yes**, enter a description and attach any compliance related documents. Documentation, like the unobligated balance calculator, should be included as **Attachments** on this page.
- On the final page, follow the completion instructions and click **Finish**.
- On the proposal workspace, click **Submit for Department Review**.

The continuation proposal remains editable until it is submitted for Department Review. The continuation proposal goes through the same review and approval process as an initial funding proposal.

Notes:

- For continuation proposals, all attachments are internal since there is no system-to-system submission. Grant Managers can use the Add Attachments activity on the workspace to add internal documents.
- For NIH progress reports, OSR will update the related deliverable in the award once the RPPR is submitted.
- It is not necessary for the Grant Managers to submit an award modification request for continuation funding. When the continuation proposal reaches the *Awarded* state, the OSR member assigned to the award automatically creates a continuation-type award modification and adds the funds the sponsor has released for the next budget period.
- The funding proposal workspace indicates when it is a continuation proposal. The title has the suffix “- Continuation” (unless it was edited), and a link to the original funding proposal appears below it. Additionally, the ID is suffixed with “-Con” and the corresponding continuation number (e.g., “FP00001234-Con1”). The word “Continuation” is found next to the ID.

Enhancing Liver Transduction - Continuation Original Funding Proposal: Enhancing Liver Transduction	FP00000009-Con1 Continuation
--	---------------------------------

Create a Renewal Proposal from an Awarded Funding Proposal

A renewal proposal is a type of funding proposal used as a competitive application for a new project with a scope based on or related to a current expiring award. To create a renewal proposal, you must be logged in as a user with a role that can edit funding proposals (typically study staff).

To create a renewal proposal

1. From the Grants Funding Proposals page, click the name of the **awarded funding proposal** for which a renewal is needed.
2. Click **Create Renewal**.

A new funding proposal opens for editing. The system gives it a default name composed of the award name suffixed with the word, “Renewal,” but it can be modified as desired.

3. Supply the information requested on each page as you would for a regular funding proposal. Click **Continue**.

Note: At the top of the *General Proposal Information* page, the application type automatically populates as a **Renewal**. This field cannot be edited as it is determined by the way the follow-on proposal is created.

1. Type of application: ?

Renewal

a. If this is a resubmission or renewal, enter the sponsor number:

2. * Short title of proposal: ?

Enhancing Liver Transduction - Renewal

4. On the final page, follow the completion instructions and click **Finish**.
5. On the proposal workspace, click **Submit for Department Review**.

The renewal proposal goes through the same approval and submission steps as any other funding proposal.

Notes:

- The title of the renewal can be edited until it is submitted for Department Review.
- The funding proposal workspace indicates when it is a renewal. The title has the suffix “-Renewal” (unless it was edited), and a link to the original funding proposal appears below it. Additionally, renewals receive a new ID. The word “Renewal” is found next to the ID.



Create a Revision to an Awarded Funding Proposal

A revision proposal is a type of funding proposal used to request additional funding for an active award. Revisions are also known as supplements. To create a revision proposal, you must be logged in as a user with a role that can edit funding proposals (typically study staff).

To create a revision to a proposal

1. From the Grants Funding Proposals page, click the name of the **awarded funding proposal** for which a revision is needed.
2. Click the **Create Revision** activity.
A new window opens. The system gives it a default name composed of the award name suffixed with the word, “Revision” and a corresponding revision number (e.g., “Revision-1”), but it can be modified as desired.
3. Click **OK**.
4. Supply the information requested on each page as you would for a regular funding proposal and click **Continue**.

Note: At the top of the *General Proposal Information* page, the application type automatically populates as a **Revision**. This field cannot be edited as it is determined by the way the follow-on proposal is created.

1. Type of application: ?
Revision

2. * Short title of proposal: ?
Enhancing Liver Transduction - Revision -

5. On the final page, follow the completion instructions and click **Finish**.

- On the proposal workspace, click **Submit for Department Review**.

The revision goes through the same approval and submission steps as any other funding proposal.

Notes:

- The title of the revision can be edited until it is submitted for Department Review.
- The funding proposal workspace indicates when it is a revision. The title is suffixed with “-Revision” and the corresponding revision number (unless it was edited). A link to the original funding proposal appears below it. Additionally, revision IDs are suffixed with “-Rev” and the corresponding revision number (e.g., “-Rev1”). The word “Revision” is found next to the ID.

Enhancing Liver Transduction - Revision - 1
Original Funding Proposal: ATK Integration Test Proposal

FP00000022-Rev1

Revision

Create a Resubmission Proposal from a Not Funded Proposal

A resubmission proposal is a type of funding proposal used when a sponsor previously reviewed and declined to fund an application, but the investigator has modified and is resubmitting it for consideration. To create a resubmission proposal, you must be logged in as a user with a role that can edit funding proposals (typically study staff).

To create a resubmission proposal

- From the Grants Funding Proposals page, click the name of the previously **not funded proposal** for which a resubmission is need.
- Click the **Create Resubmission activity**.
A new window opens. The system gives it a default name composed of the previous proposal name suffixed with the word, “Resubmission” and a corresponding revision number (e.g., “Resubmission-1”), but it can be modified as desired.
- Click **OK**.
- Supply the information requested on each page as you would for a regular funding proposal and click **Continue**.

Note: At the top of the *General Proposal Information* page, the application type automatically populates as a **Resubmission**. This field cannot be edited as it is determined by the way the follow-on proposal is created.

1. Type of application: ?
Resubmission

a. If this is a resubmission or renewal, enter the sponsor number:

2. * Short title of proposal: ?
Enhancing Liver Transduction - Resubmis

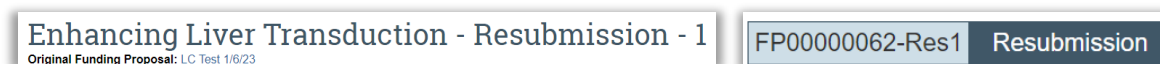
- On the final page, follow the completion instructions and click **Finish**.

6. On the proposal workspace, click **Submit for Department Review**.

The resubmission goes through the same approval and submission steps as any other funding proposal.

Notes:

- The title of the resubmission can be edited until it is submitted for Department Review.
- The funding proposal workspace indicates when it is a resubmission. The title is suffixed with “-Resubmission” and the corresponding resubmission number (unless it was edited). A link to the original funding proposal appears below it. Additionally, resubmission IDs are suffixed with “-Res” and the corresponding resubmission number (e.g., “-Res1”). The word “Resubmission” is found next to the ID.



Requesting a New Organization

Request a New Organization from a Funding Proposal

You may encounter a time when initiating a funding proposal or award where the organization you are searching for, whether a sponsor or subcontract entity, does not yet exist in the Caltech Organizations list. A new organization can be requested when you create or update a funding proposal, subaward, award, or agreement. The steps are similar for all the projects. Submit a request to OSR to have the organization added to the list.

To request a new organization from a Funding Proposal

1. From your PAM inbox or one of the tabs on the Grants Funding Proposals page, click the name of the funding proposal for which you are requesting a new organization. On the funding proposal workspace, click **Edit Funding Proposal**.
2. On the *General Proposal Information* page of the funding proposal, under “Select the direct sponsor,” select **TBD** from the Organization list, and enter the organization’s name in the provided text box. Click **Save** and **Exit**.

Note: Check the organization list to ensure the organization is not already listed. Filter the organization’s name a couple different ways. You can type a % symbol as a wildcard before or after the characters to narrow down search results.

5. * Select the direct sponsor: ?

TBD ... ✕

a. If you cannot find the organization in the list above, select "TBD" and enter its name here:

3. On the funding proposal workspace, click **Create Agreement**. Select **New Organization Request** agreement type from the drop-down box. Click **OK** to create a new organization request.

Note: While requesting a new organization is not an agreement, the Agreements functionality in PAM is used to collect the information and track the process in workflow.

4. On the funding proposal workspace, click the **Related Projects** tab to access the New Organization Request record. Click the ID link to open the Agreement workspace and edit the request.
5. On the Agreement workspace, click **Edit Agreement**.
6. On the *Agreement Upload* page:
 - a. Select yourself as the Agreement manager/Principal investigator.
 - b. Check the box for "First draft to be generated internally".
 - c. Select **New Organization Request** as the Agreement type.
 - d. Click **Continue**.
7. On the *General Information* page, enter the name of the new organization in the Contracting party name text box.
8. Supply the information requested on each page and click **Continue**.
9. When satisfied with all your entries, click **Finish**.
10. On the Agreement workspace, click **Submit**.

OSR will review the request, vet the organization, and add it to the Organization list, if appropriate. OSR will be in contact if any additional information is necessary.

Request a New Organization from a Subaward Budget

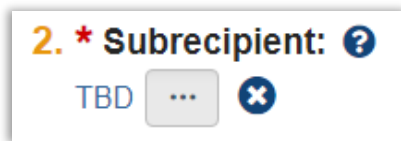
You may encounter a time when initiating a subaward budget where the subrecipient organization you are searching for does not yet exist in the Caltech Organizations list. Submit a request to OSR to have the organization added to the list.

To request a new organization from a Funding Proposal for a Subaward Budget

1. From your PAM inbox or one of the tabs on the Grants Funding Proposal page, click the name of the funding proposal for which you are requesting a new organization. On the funding proposal workspace, click the **Budgets** tab and click the name of the primary sponsor budget.

2. Click the **Subawards** tab and click the name of the subaward to open the subaward budget workspace. Click **Edit Budget**.
3. On the *Subaward Budget Information* page of the subaward budget, select **TBD** as the subrecipient.

Note: Check the organization list to ensure the organization is not already listed. Filter the organization's name a couple different ways. You can type a % symbol as a wildcard before or after the characters to narrow down search results.



4. Complete the required information and click **Save** and **Exit**.
5. Navigate back to the funding proposal workspace using the breadcrumb trail in the top left corner or the Funding Proposal link in the Summary component of the subaward budget workspace.
6. When back on the funding proposal workspace, follow the same steps as listed in the [Request a New Organization from a Funding Proposal](#) section to create the request.

When finished, OSR will review your request, vet the organization, and add it to the Organization list, if appropriate. OSR will be in contact if any additional information is necessary.

Request a New Organization from an Award

The new organization must be added to the organization list prior to the creation of an award. If a new organization request was not submitted during the funding proposal stage, users can still submit a request to OSR to have the organization added to the list by navigating back to the funding proposal from which the award will be created and making the request. Review the [Request a New Organization from a Funding Proposal](#) for more information.

To request a new organization for an Award

1. From one of the tabs on the Grants Funding Proposals page or by [searching for records](#), click the name of the funding proposal for which you are requesting a new organization.
2. On the funding proposal workspace, click **Create Agreement**.

Note: While requesting a new organization is not an agreement, the Agreements functionality in PAM is used to collect the information and track the process in workflow.
3. On the funding proposal workspace, click the **Related Projects** tab to access the New Organization Request record. Click the ID link to open the Agreement workspace and edit the request.
4. On the Agreement workspace, click **Edit Agreement**.
5. On the *Agreement Upload* page:
 - a. Select yourself as the Agreement manager/Principal investigator
 - b. Check the box for "First draft to be generated internally"
 - c. Select **New Organization Request** as the Agreement type.

- d. Click **Continue**.
6. On the *General Information* page, enter the name of the new organization in the Contracting party name text box.
7. Supply the information requested on each page and click **Continue**.
8. When satisfied with all your entries, click **Finish**.
9. On the Agreement workspace, click **Submit**.

OSR will review your request, vet the organization, and add it to the Organization list, if appropriate. OSR will be in contact if any additional information is necessary.

Once the new organization is added to the list, an award can be created, and the organization will be available for selection. OSR will also update the related project with the newly added sponsor, in place of the TBD entered initially while the request was in process.

To request a new organization for a Subaward from an Award

1. If a new organization request for a subaward was not completed during the funding proposal stage, from your PAM inbox or one of the tabs on the Grants Awards page, click the name of the award for which you are requesting a new organization. On the award workspace click the **Subawards** tab and click the name of the subaward to open the subaward workspace. Click **Edit Subaward**.
2. On the *Subaward Basic Information* page, select **TBD** as the subrecipient.
Note: Check the organization list to ensure the organization is not already listed. Filter the organization's name a couple different ways. You can type a % symbol as a wildcard before or after the characters to narrow down search results.
3. Complete the required information and click **Save** and **Exit**.
4. Navigate back to the award workspace using the breadcrumb trail in the top left corner or the Parent Award link in the Summary component of the subaward workspace.
5. When back on the award workspace, follow the same steps as listed in the [Request a New Organization from an Award](#) section to create the request.

When finished, OSR will review your request, vet the organization, and add it to the Organization list, if appropriate. OSR will also update the related project with the newly added sponsor, in place of the TBD entered initially while the request was in process. OSR will be in contact if any additional information is necessary.

Managing Ancillary Reviews

Ancillary reviews are optional reviews that can be included on a per-project basis. Reviewers can be any specific person or organization in PAM. Ancillary reviews take place concurrently with the normal review workflows and can be added to funding proposals, awards, award modifications, and agreements. In certain circumstances, such as institutional cost sharing, PI eligibility, and requesting MORA approval, an ancillary review *must* be included. Review the PAM Grants Ancillary Review Matrix and the PAM

Agreements Ancillary Review Matrix for detailed information on the types of ancillary reviews. Many ancillary review types will be used exclusively by OSR when obtaining input from other compliance offices at the university.

Add Ancillary Reviewers

Ancillary reviews are carried out in parallel with standard review cycles. As a user with edit rights on a project, you can assign ancillary reviewers, who can submit their reviews at any point in the project workflow. Activities causing a state transition display information about all ancillary reviews assigned for the project. They also warn of any outstanding required ancillary reviews.

To add ancillary reviewers

1. From your PAM inbox or one of the tabs on the appropriate Grants page, click the name of the project for which to assign an ancillary reviewer.
2. In the project workspace, click **Manage Ancillary Reviews**.
Note: If you do not see the Manage Ancillary Reviews activity, contact the Administrative Contact to provide you edit access.
3. In the *Manage Ancillary Reviews* form, click **Add**. A *Manage Ancillary Reviews* slide-in window appears.
4. On the *Add Ancillary Review* form, select an organization or person to complete the review. Begin typing the name of the organization or person you want to add as a reviewer. Alternatively, you can click the ellipses on the right to select an organization or person from the list.
5. Click the **Review Type** drop-down arrow and select the appropriate Ancillary Review Type. Review the PAM Grants Ancillary Review Matrix and the PAM Agreements Ancillary Review Matrix for detailed information on the types of ancillary reviews.
6. Select **Yes** or **No** to indicate whether a response is required for this ancillary review. In PAM Grants, any workflow blocks resulting from a **Yes** response to this question will depend on whether you're adding an ancillary review to a funding proposal, award, or award modification:
 - *Funding Proposals* – All required ancillary reviews on a funding proposal must be completed for submission to a sponsor. If ancillary reviews that are marked as required are outstanding, the workflow will stop at the *Pending Submission to Sponsor* state, and the funding proposal cannot be submitted for sponsor review.
7. Add comments or supporting documents for the reviewer as necessary. Some ancillary review types have specific required documentation that needs to be provided, so make sure you're informed on any related requirements based on the review type selected.
8. Click **OK** or **OK and Add Another** to add multiple ancillary reviews. For example, if there are multiple departments committing cost share, you will need to add an ancillary review for each department.
9. When finished adding reviewers, click **OK** on the *Manage Ancillary Reviewers* form to save your changes and close the slide-in window.
10. The added ancillary reviews will appear in the table on the **Manage Ancillary Review** activity window. Click **OK** to save and return to the project workspace.

You are returned to the project workspace. The assigned ancillary reviewers receive email notifications, and the submission appears in their PAM inbox.

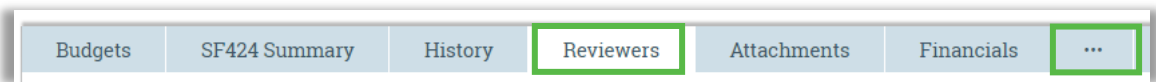
Check the Progress of an Ancillary Review

As a user with Read or Edit rights on a project, you can check the progress of ancillary reviews that have been assigned to it.

To check the progress of an ancillary review

- 1. From your PAM inbox or one of the tabs on the appropriate Grants page, open the project whose ancillary reviews you want to check.
- 2. On the project workspace, click the **Reviewers** tab.

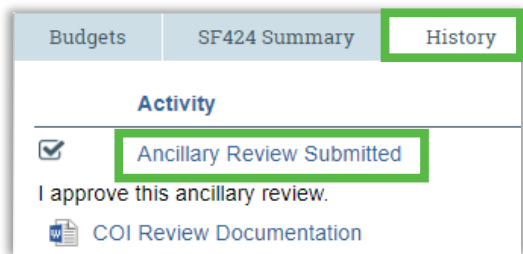
Note: If the **Reviewers** tab does not display, click the ellipsis to show additional tabs.



- 3. Examine the Ancillary Review area at the bottom of the page to see:
 - All ancillary reviews assigned for this project.
 - Whether they were assigned to individuals or organizations.
 - Whether they are required.
 - Whether they have been completed.
 - Whether the reviewers found the projects to be acceptable. The Accepted column will display whether the ancillary review was approved.

Ancillary Review					
Review Type	Person	Organization	Required	Completed	Accepted
F&A Waiver		Anc Rvw-F&A Waiver	yes	no	

- 4. To view the details of the ancillary reviewer’s response, such as their comments and attachments, click on the **History** tab and look for the **Ancillary Review Submitted** activity.



Submit an Ancillary Review

When ancillary reviews are added, the assigned ancillary reviewers will receive an email notification with a link that will take them to the related item's workspace. The project appears in their PAM inbox, and the **Submit Ancillary Review** activity becomes available in the project workspace.

To submit an ancillary review

1. From your PAM inbox or the link in the email notification you received, open the project you need to review.
2. From the project workspace, click the first button under *Next Steps* to review the item's SmartForm.
3. After completing your review, click **Exit** at the bottom-right of the SmartForm to return to the workspace.
4. From the project workspace, click **Submit Ancillary Review**.
5. In the *Submit Ancillary Review* form, select the ancillary review to submit. Typically, there is only one, which is selected by default.

Submit Ancillary Review

1. Select the review you are submitting:

Organization	Person	Review Type	Required
☒	Lissa Chambers	Award Needs Department Response	yes

2. * Do you accept this submission? [?](#)
☒ Yes ☐ No [Clear](#)

3. * Is the ancillary review complete? [?](#)
☒ Yes ☐ No [Clear](#)

4. Comments:
 The budget is all set!

5. Supporting documents:
 + Add
 Name
 There are no items to display

OK Cancel

6. Select whether the reviewed project is acceptable as-is. Select **Yes** if you accept the submission, otherwise, select **No** and add comments to explain why you do not accept.
7. Select **Yes** if you've completed your review, otherwise, select **No**.
 - Click **Yes** to submit the ancillary review when you OK the form.

The system sends an email notification to the assigned specialist. If you do not have Read or Edit rights on the project, you will no longer have access to it.

- To save your other responses but continue the review later, click **No**. The **Submit Ancillary Review** activity will continue to appear on the workspace.
 - **Example:** If you did not accept the submission and you have finished your review, then select **Yes** to indicate your review is complete but you did not approve. If you have not finished your review and require additional information to complete it, select **No** and add comments to identify what is needed for you to complete the ancillary review.
6. Add any comments and supporting documents if necessary.
 7. When satisfied with your selections, click **OK**.

When you accept and indicate that the ancillary review is complete:

- It does not change the state of the item.
- The item will no longer display in your PAM inbox.
- The details of the ancillary review show on the **Reviewers** tab of the funding proposal, award, or award modification workspaces.
- The system sends an email notification to the Specialist assigned to the project.

Find and Run Reports

View the Standard and Advanced Reports available in the Grants Module by navigating to Reports and Standard Reports/Advanced Reports.

To find and run a report:

1. In the Top-Navigator, click **Grants**.
2. In the Sub-Navigator, click **Reports**.
3. Click the name the of the report to see the details.

Click Actions in the top right corner to print, email, or export the report to a CSV file.

Use the Personalize Table by clicking the gear icon to alter the fields displayed in the table. Hide fields by checking the box next to the field name or change the order of the fields using the up and down arrows. You can also export the data to a CSV file or print the data from the Personalize Table.

Integrations

PAM Grants is integrated with Huron's Agreements Module and Oracle. Integrations assist with maintaining a single source of truth for different business processes and data elements. The data exchanged between systems occurs in real-time, which enhances the timeliness and accuracy of communication and reporting.

Oracle

When an award is complete and the **Activate** activity is run, data will be sent from PAM to the PTA Setup Tool in Oracle. The Award State will update to *Active* or *Advance Account*, depending on the authorization selected on the award. The Division will create and submit the PTA Setup request in Oracle. Once OSR completes the PTA setup in Oracle, OSR will execute the “Create Award Modification” activity. The Award State will update to *Active*, and the Award Modification state will update to *Draft*.

In PAM, OSR will complete the Award Modification SmartForm, update the Financial Accounts to “Authorized,” and execute the “Final Review” Activity. This will change the Award State to *Draft*. In Oracle, OSR will approve the PTA Setup request. In PAM, OSR will “Approve” the Award Mod, which changes the Award State to *Active*. The Division will receive the Award Activation Notification, and the Award Financial data will be sent to Oracle.

Appendix

Activities

The table below contains all the activities that can be executed in PAM Grants.

The column headers display the following information:

- **Activity Name** – the name of the activity.
- **Completed Name** – after each activity is executed, it will be logged under the **History** tab on the agreement or amendment workspace. The activity name logged in the history will be in past-tense, so the name will differ slightly from the activity name pre-execution.
 - **Note:** The **History** tab includes the “Filter by” functionality, which allows you to filter and search through the history to quickly find when a specific activity occurred. If the history on a record is extensive, knowing the completed activity name will be helpful to locate that activity.
- **Valid States** – in which workflow states the activity is available to be executed.
- **Who can execute?** – which user roles will have permission to execute the activity.

Other References:

- Review the [Email Notifications](#) section below for information on notifications that are triggered based on executing these activities in PAM Grants.
- Review the [User Roles and Security](#) section below for more information on the user roles listed in the “Who can execute?” column.

Funding Proposal Activities

Activity Name	Completed Name	Valid States	Who can execute?
Add Attachments	Added Attachments	All states	• Specialist Finance/Grant • Study Staff
Add Comment	Comments Added	All states	• Department Administrator

			- Specialist Finance/Grant - Study Staff
Add Private Comment for PI	Private Comment to PI Added	Department Review	Department Reviewer/Chair
Approve	Approved by Department	Department Review	Department Reviewer/Chair
Assign Specialist	Ownership Assigned	All states	Specialist Finance/Grant
Award Letter Received	Award Letter Received	Pending Sponsor Review, Pending Sponsor Review Award Anticipated, Proposal Status Confirmation	Specialist Finance/Grant
Certify	Certified	Award Notification Received Department Review Department Review: Response Pending from PI Draft Pending Sponsor Review Pending Sponsor Review Award Anticipated Pending Submission to Sponsor Specialist Review Specialist Review: Pending Changes by PI	- PI - Assigned Specialist - Additional Proposal Certifiers
Copy	Copied	All states	- Specialist Finance/Grant - Study Staff
Create Additional Budget	Post-Submission Update Requested	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	Study Staff
Create Agreement	Agreement Requested	All states	- Department Reviewer/Chair - PI - Specialist Finance/Grant

			Study Staff
Create Resubmission	Resubmission Created	Not Funded	- Specialist Finance/Grant - Study Staff with edit rights
Create Revision	Revision Created	Awarded	- Specialist Finance/Grant - Study Staff
Create-Update SF424	SF424 Created or Updated	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	- Specialist Finance/Grant - Study Staff with edit rights
Final Review	Final Review	Specialist Review	Specialist Finance/Grant
Funding Anticipated	Funding Anticipated	Pending Sponsor Review Proposal Status Confirmation	Specialist Finance/Grant
Export Budget to Subaward PDF	Budget Exported to Subaward PDF	All states when Flow Through Sponsor is populated and Submission method is not to grants.gov	Study Staff
Export Budget	Exported Budget	All states	Study Staff
Manage Access	Updated Access	All states	- Administrative Contact - PI - Specialist Finance/Grant - Study Staff with edit rights
Manage Ancillary Reviews	Ancillary Reviews Updated	All states	- Registered users with edit rights - Specialist Finance/Grant
Manage Relationships	Relationships Managed	All states	- Department Reviewer/Chair - PI - Specialist Finance/Grant - Study Staff
Manage Tags	Tags Managed	All states	Registered users with read rights
Reinstate Proposal	Reinstate Proposal	Not funded	Specialist Finance/Grant
Request Changes	Changes Requested By Department	Department Review	- Department Review/Chair - Specialist Finance/Grant

Request Post-Submission Update	Post-Submission Update Requested	Pending Sponsor Review Pending Sponsor Review Award Anticipated Proposal Status Confirmation	Specialist Finance/Grant
Return to Pending Sponsor Review	Return to Pending Sponsor Review	Proposal Status Confirmation	Specialist Finance/Grant
Return to Specialist Review	Return to Specialist Review	Pending Submission to Sponsor	Specialist Finance/Grant
Send Email	Email Sent	All states	Registered Users
Send Grants Status Update	Send Grants Status Update	Pending Sponsor Review	- Administrative Contact - Contract Specialist - PI
Specialist Requests Changes	Changes Requested by Specialist	Specialist Review	Specialist Finance/Grant
Submit Ancillary Review	Ancillary Review Submitted	All states	Registered users selected to complete the ancillary review
Submit Changes To Department Reviewer	Submit Changes To Department Reviewer	Department Review: Response Pending from PI	Study Staff
Submit Changes To Specialist	Submit Changes To Specialist	Specialist Review: Pending Changes by PI	Study Staff
Submit for Department Review	Submitted for Department Review	Draft Specialist Review: Pending Changes by PI	Study Staff
Submit to Federal Sponsor	Submitted to Federal Sponsor	Pending Submission to Sponsor	Specialist Finance/Grant
Submit to Non-Grants Gov Sponsor	Submitted to Non-Grants.gov Sponsor	Pending Submission to Sponsor	Specialist Finance/Grant
Submit to Sponsor via Proposal Team	Submit to Sponsor via Proposal team	Pending Submission to Sponsor	Specialist Finance/Grant
Submit Post-Submission Update	Post-Submission Update Submitted	Post-Submission	Study Staff
Request Post-Submission Update	Post-Submission Update Requested	Pending Sponsor Review Pending Sponsor Review Award Anticipated Proposal Status Confirmed	Specialist Finance/Grant

Update Research Plan	Research Plan Updated	Department Review Pending Submission to Sponsor Specialist Review	Study Staff with edit rights
Update SF424 Research Plan	Update SF424 Research Plan	Department Review Department Review: Response Pending from PI Specialist Review	Study Staff
Withdraw Proposal	Proposal Withdrawn	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	- Assigned Specialist - PI - Study Staff with edit rights
Withdraw Submitted or Not Funded Proposal	Withdraw Submitted or Not Funded Proposal	Pending Sponsor Review Pending Sponsor Review Award Anticipated SPO Status Confirmation	Specialist Finance/Grant

Budget Activities

Activity Name	Completed Name	Valid States	Who can execute?
Export Budget	Exported Budget	All states	Salary Access
Log General Comments	General Comments Logged	All states	Registered Users Salary Access
Make A Copy	Made A Copy	All states	Specialist Finance/Grant Study Staff Salary Access
Manage Tags	Tags Managed	All states	Registered users with read rights Salary Access

SF424 Activities

Activity Name	Completed Name	Valid States	Who can execute?
Assign Editors and Readers	Editors and Readers Assigned	All states	- SF424 Administrator - SF424 Grants Specialist - SF424 Owner
Assign Submitters	Submitters Assigned	All states	SF424 Administrator

			• SF424 Grants Specialist
Bypass Validations	Validations Bypassed	Pre-Submission	• SF424 Administrator • SF424 Grants Specialist
Generate PDF Version	Generated PDF Version	Download Preparation Federal Funding Agency Tracking Number Assigned Final Internal Processing at GrantsGov Pre-Submission Processing by GrantsGov Queued by GrantsGov Received By Federal Funding Agency Received by GrantsGov Receiving by GrantsGov Rejected With Errors Submission Failed Submitted Awaiting Response from GrantsGov Submitted To GrantsGov Valid for Submission Validated by GrantsGov	• SF424 Administrator • SF424 Editors and Owner • SF424 Grants Specialist • SF424 Submitters
Get Status Detail	Application Status Detail Retrieved	Download Preparation Federal Funding Agency Tracking Number Assigned Internal Processing at GrantsGov Processing by GrantsGov Queued by GrantsGov Received By Federal Funding Agency Received by GrantsGov Receiving by GrantsGov Submitted To GrantsGov Validated by GrantsGov	• SF424 Administrator • SF424 Editors and Owner • SF424 Grants Specialist • SF424 Submitters

Log Comment	Log Comment to SF424	All states	Registered Users
Validate Submission	Submission Validated	Pre-Submission	- SF424 Administrator - SF424 Grants Specialist - SF424 Editors and Owner - SF424 Status Maintainers

Award Activities

Activity Name	Completed Name	Valid States	Who can execute?
Activate	Activate	Final Review	Award Approver
Activate Award	Award Activated	Advance Account	- Award Approver - Specialist Finance/Grant
Assign Award Approver	Award Approver Assigned	All states	- Award Approver - Specialist Finance/Grant
Assign Designated Reviewer	Reviewer Assigned	Advance Account Designated Review Pending Activation Active Designated Review – Response Pending Designated Review Requested Draft Final Review Final Review – Response Pending	- Award Approver - Specialist Finance/Grant - Designated Reviewer
Assign Specialist	Specialist Assigned	All states	- Award Approver - Specialist Finance/Grant
Complete	Complete	Active	- Award Approver - Specialist Finance/Grant
Create Agreement	Agreement Requested	All states	- Award Approver - Specialist Finance/Grant - Registered users with edit rights
Log Comment	Log Comment	All states	Registered User
Log Correspondence	Logged Correspondence	All states	- Award Approver - Specialist Finance/Grant
Log Private Comment	Log Private Comment	All states	- Award Approver - Specialist Finance/Grant

			Global Grants Viewers
Manage Access	Updated Access	All states	- Award Approver - Specialist Finance/Grant - Registered users with edit rights
Manage Ancillary Reviews	Manage Ancillary Review	Advance Account Draft Final Review Final Review – Response Pending	- Award Approver - Specialist Finance/Grant - Registered user with edit rights
Manage Deliverables	Deliverables Managed	All states	- Award Approver - Specialist Finance/Grant - Registered users with edit rights
Manage Relationships	Relationships Managed	Active Advance Account Draft Designated Review Designated Review - Response Pending Designated Review Requested Final Review Final Review – Response Pending Pending Activation	- Award Approver - Specialist Finance/Grants - Registered users with edit rights
Manage Tags	Tags Managed	All states	Registered users with read rights
Request Changes	Changes Requested	Designated Review	Designated Reviewer
Request Designated Review	Request Designated Review	Final Review	Award Approver
Send Award Summary	Award Summary Sent	All states	Registered users with read rights
Send Email	Email Sent	All states	Registered users
Set Award Relationships	Set Award Relationships	All states	- Award Approver - Specialist Finance/Grant - Registered users with edit access

Submit Ancillary Review	Submit Ancillary Review	All states	Registered users selected to complete the ancillary review
Submit for Designated Review	Submitted for Designated Review	Draft Designated Review Requested	Specialist Finance/Grant
Submit for Final Review	Submitted for Final Review	Draft Designated Review	- Specialist Finance/Grant - Designated Reviewer
Submit Changes	Changes Submitted	Designated Review - Response Pending Final Review – Response Pending	Specialist Finance/Grant
Upload Award Documents	Uploaded Award Documents	All states	- Award Approver - Specialist Finance/Grant - Registered users with edit access
Withdraw	Withdrawn	Designated Review Designated Review – Response Pending Designated Review Requested Draft Final Review Final Review – Response Pending	- Award Approver - Specialist Finance/Grant

Award Modification Request Activities

Activity Name	Completed Name	Valid States	Who can execute?
Approve	Approved	Review	Specialist Finance/ Grant
Assign Award Approver	Award Approver Assigned	All states	- Award Approver - Specialist Finance/Grant
Assign Specialist	Specialist Assigned	All states	- Award Approver - Specialist Finance/ Grant
Assign Submitter	Submitter Assigned	All states	- Award Approver - Specialist Finance/ Grant - Registered Users
Copy	Copied	All states	Registered Users
Decline	Declined	Review	Specialist Finance/ Grant
Log Comment	Comment Logged	All states	Registered Users

Request Clarifications	Clarifications Requested	Review	• Specialist Finance/ Grant
Submit Clarifications	Clarifications Submitted	Clarifications Requested	• Registered Users
Submit to Specialist	Request Submitted to Specialist	Draft	• Registered Users
Withdraw	Withdrawn	Draft Review Clarification Requested	• Registered Users

Award Modification Activities

Activity Name	Completed Name	Valid States	Who can execute?
Approve	Approved	Final Review	• Award Approver
Assign Award Approver	Award Approver Assigned	All states	• Award Approver • Specialist Finance/Grant
Assign Designated Reviewer	Reviewer Assigned	All states	• Award Approver • Specialist Finance/Grant
Assign Specialist	Specialist Assigned	All states	• Award Approver • Specialist Finance/ Grant
Log Correspondence	Logged Correspondence	All states	• Award Approver • Specialist Finance/ Grant
Log Comment	Comment Logged	All states	• Registered Users
Log Private Comment	Private Comment Logged	All states	• Award Approver • Specialist Finance/ Grant • Global Grants Viewer
Manage Ancillary Reviews	Ancillary Reviewers Updated	All states	• Award Approver • Specialist Finance/Grant • Registered Users with edit rights
Manage Tags	Tags Managed	All states	• Registered users with read rights
Request Changes	Changes Requested	Designated Review Final Review	
Request Designated Review	Designated Review Requested	Final Review	• Award Approver

Send Email	Email Sent	All states	Registered Users
Send for Sponsor Approval	Sent for Sponsor approval	All states	Specialist Finance/Grant
Submit Ancillary Review	Ancillary Review Submitted	All states	Registered users selected to submit an ancillary review
Submit Changes	Changes Submitted	Designated Review – Response Pending Final Review – Response Pending	Specialist Finance/Grant
Submit for Designated Review	Submitted for Designated Review	Designated Review Requested Draft	Specialist Finance/Grant
Submit for Final Review	Submitted for Final Review	Designated Review Draft	Specialist Finance/Grant
Withdraw	Withdrawn	Designated Review Designated Review – Response Pending Designated Review Requested Draft Final Review Final Review – Response Pending	- Award Approver - Specialist Finance/Grant

Email Notifications

The table below contains all the email notifications that will be sent from PAM Agreements.

The column headers display the following information:

- **Notification** – the name of the notification.
- **Description** – a brief description of the notification purpose and its contents.
 - **Note:** these brackets <> indicate that PAM will populate a unique data point in that placeholder specific to the agreement.
- **Trigger** – what causes the notification to send.
- **Recipients** – who will receive the notification.

Notification	Description	Trigger	Recipients
30 Day Reminder	Contains the following: • Subject: [ID]: 30 Day Reminder • To: [User(s) First and Last Name]	Sent as part of a scheduled background operation	- Assigned owner of deliverables - Individuals manually added to deliverable

	• Link: [ID: linked to Award Workspace] • PI: [Award PI] • Title: [Short Title] • Body: The Above Award has the following deliverable recorded: Name: [Name] Due Date: [Date] Description: [Description]		
60 Day Reminder	Contains the following: • Subject: [ID]: 60 Day Reminder • To: [User(s) First and Last Name] • Link: [ID: linked to Award Workspace] • PI: [Award PI] • Title: [Short Title] • Body: The Above Award has the following deliverable recorded: Name: [Name] Due Date: [Date] Description: [Description]	Sent as part of a scheduled background operation	• Assigned owner of deliverables • Individuals manually added to deliverable
90 Day Reminder	Contains the following: • Subject: [ID]: 90 Day Reminder • To: [User(s) First and Last Name] • Link: [ID: linked to Award Workspace] • PI: [Award PI] • Title: [Short Title] • Body: The Above Award has the following deliverable recorded: Name: [Name] Due Date: [Date] Description: [Description]	Sent as part of a scheduled background operation	• Assigned owner of deliverables • Individuals manually added to deliverable
Ancillary Review Notification (Funding Proposal)	Contains the following: • Subject: Notification of Ancillary Review • To: [User(s) First and Last Name] • Link: [ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title] • Required: [Yes/No] • Body: A Funding Proposal has been assigned to you for ancillary review. Click the link above to access and review the submission.	Sent when a user or organization is added as an Ancillary Reviewer	• Selected Ancillary Reviewer(s)

	[Insert comments and documents from activity]		
Ancillary Review Notification (Award)	Contains the following: • Subject: Notification of Ancillary Review • To: [User(s) First and Last Name] • Link: [Project ID: linked to project Workspace] • PI: [Award PI] • Title: [Short Title] • Required: [Yes/No] • Body: This award has been assigned to you for ancillary review. Use the link above to navigate to the award and submit your review. [Insert comments and documents from activity]	Sent when a user or organization is added as an Ancillary Reviewer	• Selected Ancillary Reviewer(s)
Ancillary Review Complete (Funding Proposal)	Contains the following: • Subject: [ID:] Ancillary Review Complete • To: [Recipient Set] • Link: [Project ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title] Body: An ancillary review on the proposal linked above has been completed. Navigate to the proposal via the link above to view more details on the review and its status.	Sent when a funding proposal ancillary review has been completed.	• Administrative Contact • PI • Specialist
Ancillary Review Complete (Award)	Contains the following: • Subject: [Award ID:] Award Ancillary Review Complete • From: [Ancillary Review Completer] • To: [Recipient Set] • Link: [Award ID: linked to Award Workspace] • PI: [Award PI] • Title: [Project Title] • Body: An ancillary review on the award linked above has been completed. Navigate to the award via the link above to view more details on the review and its status.	Sent when an award ancillary review has been completed.	• Award Administrative Contact • PI • Specialist

Award Mod Request Approved	Contains the following: • Subject: [ID]: Award Mod Request Approved • To: [User(s) First and Last Name] • Link: [ID: linked to award mod request Workspace] • PI: [Award PI] • Title: [Short Title] • Body: This award modification request has been approved by the Specialist for further processing. Use the link above to navigate to view the modification request on the Award workspace. [Insert comments and supporting documents from activity]	Sent when the Approve activity is executed on the award mod request workspace.	• Submitter of the award mod request
Award Mod Request Clarifications Requested	Contains the following: • Subject: [ID]: Award Mod Request Clarifications Requested • To: [User(s) First and Last Name] • Link: [ID: linked to award mod request Workspace] • PI: [Award PI] • Title: [Short Title] • Body: The Specialist has requested clarifications on this award modification request. Use the link above to navigate to the Award Modification Request and submit the requested clarifications. [Insert comments and supporting documents from activity]	Sent when the Request Clarifications activity is executed on the award mod request workspace.	• Submitter of the award mod request
Award Mod Request Decline	Contains the following: • Subject: [ID]: Award Mod Request Approved • To: [User(s) First and Last Name] • Link: [ID: linked to award mod request Workspace] • PI: [Award PI] • Title: [Short Title] • Body: This award modification request has been declined by the Specialist. Use the link above to navigate to view the modification request on the Award workspace.	Sent when the Decline activity is executed on the award mod request workspace.	• Submitter of the award mod request

	[Insert comments and supporting documents from activity]		
Award Mod Request Withdrawn	Contains the following: • Subject: [ID]: Award Mod Request Withdrawn • To: [User(s) First and Last Name] • Link: [ID: linked to award mod request Workspace] • PI: [Award PI] • Title: [Short Title] • Body: This award mod request has been withdrawn. Use the link above to navigate to view the mod request on the Award workspace. [Insert comments and supporting documents from activity]	Sent when the Withdraw activity is executed on the award mod request workspace.	• Submitter of the award mod request
Award Mod Withdrawn	Contains the following: • Subject: [ID]: Award Mod withdrawn • To: [User(s) First and Last Name] • Link: [ID: linked to award mod Workspace] • PI: [Award PI] • Title: [Short Title] • Body: This award mod was withdrawn for the following reasons. [Insert comments and supporting documents from activity]	Sent when the Withdraw activity is executed on an Award Mod.	• Assigned Specialist • Award Approver • PI
Award Withdrawn	Contains the following: • Subject: [ID]: Award withdrawn • To: [User(s) First and Last Name] • Link: [ID: linked to award Workspace] • PI: [Award PI] • Title: [Short Title] • Body: This award was withdrawn for the following reasons. [Insert comments and supporting documents from activity]	Sent when the Withdraw activity is executed on an Award.	• Assigned Specialist • Award Approver • PI
Department Requests Changes From PI	Contains the following: • Subject: [ID]: Department Requests Changes From PI • To: [User(s) First and Last Names]	Sent when the department requests changes and the state changes from <i>Department Review</i> to	• Administrative Contact • PI

	• Link: [Project ID: linked to FP Workspace] • PI: [Funding Proposal PI] • Title: [Short Title] • Body: Questions or changes have been identified through the review process that requires your attention. Click the link above to review the funding proposal, respond to reviewer questions and make any requested changes. Contact the reviewer with any questions.	<i>Department Review: Response Pending from PI.</i>	
Other Department Effort Commitment	Contains the following: • Subject: [FP ID]: A Submission from [FP Responsible Dept.] is Routing for Approval with Personnel from Your Department Committing Effort • Link: [Funding Proposal: linked to Funding Proposal Workspace] • PI: [Funding Proposal PI] [(PI Employer Name)] • Body: The following personnel have committed effort on the funding proposal above: [Insert names of personnel on the FP and their employer] Click the link above for more information.	Each time an FP is moved from either <i>Draft</i> or <i>Specialist Review: Pending Changes by PI</i> to <i>Department Review</i> (state transition) and there are personnel listed on the FP (PI and other institutional personnel) whose employer does not match the FP responsible department/ division/ institute.	• Grants Administrative Editors of the department of the listed personnel that is not the same as the FP Responsible Department/Division /Institute.
PI Certification Required	Contains the following: • Subject: [Funding Proposal ID]: PI Certification Required • To: [User(s) First and Last Names] • Link: [ID: linked to Funding Proposal Workspace] • PI: [Funding Proposal PI] • Body: <Principal Investigator> is named as the PD/PI on an upcoming proposal submission and certification is needed per Federal regulations. To provide PI Certification, click the link above and complete the Certify activity.	Sent when the state transitions from <i>Draft</i> to <i>Department Review</i>	• Administrative Contact • PI
Post Submission	Contains the following: • Subject: [ID]: Post Submission Changes Required	Sent when the JIT Changes Required activity on the FP	• Administrative Contact

Changes Requested	• To: [User(s) First and Last Names] • Link: [ID: linked to Funding Proposal Workspace] • PI: [FP PI] • Title: [Short Title] • Body: The sponsor has requested additional information. Click the link above to review the additional information request and to provide your response.	workspace is executed and the state transitions from <i>Pending Sponsor Review</i> to <i>JIT Response Required</i> .	• PI
Proposal Certified	Contains the following: • Subject: [ID]: Proposal Certified by the PI • To: [Recipient Set] • Link: [ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title] • Body: The proposal linked above has been certified by the PI and can now receive final approvals to move to Specialist Review.	Sent when the Certify activity is executed on a Funding Proposal that is in Department Review state.	• FP Current Reviewers (set of inboxReviewers)
Proposal Submitted for Department Review	Contains the following: • Subject: [ID]: Proposal Submitted • To: [Recipient's First & Last Names] • Link: [ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title] Body: The above proposal has been submitted by <PI Name> for your review. Click the link to review the funding proposal and take any needed actions. Contact the PI with any questions.	Sent when the FP is submitted for department review and the state transitions from <i>Draft</i> to <i>Department Review</i> .	• Relevant department reviewer
Reply to Advance Account Request	Contains the following: • Subject: [Funding Proposal ID]: Advance Account Request Review Complete • To: [Recipient's First & Last Names] • Link: [Funding Proposal ID: linked to Funding Proposal Workspace] • Body: Your request has been reviewed, see details by clicking the link above. Status: [Status from the activity]	Sent when the Reply to Advance Account Request activity on a Funding Proposal project is executed.	• Assigned Specialist on the FP • Person who submitted the request

Request Advance Account	Contains the following: • Subject: [Funding Proposal ID]: Advance Account Request • To: [Recipient's First & Last Names] • Link: [Funding Proposal ID: linked to Funding Proposal Workspace] • Body: An Advance Account has been requested for this Funding Proposal. [Activity's comments]	When the Request Advance Account activity on a Funding Proposal is executed.	• The person who submitted the request • The Assigned Specialist on the FP
Send Award Notice	Contains the following: • Subject: [Award ID] Award Notification • To: [Recipient's First & Last Names] • From: [Specialist's First & Last Names who executed the activity] • Link: [Award ID: linked to Award Workspace] • Body: Congratulations on your award. Documents required for the administration of this award, including the official award notification, the project account summary, and any additional award guidelines are attached. You may also view your award documents in OnBase, which is accessible through a hyperlink in Huron. OSR is available to assist you in interpreting these documents throughout the lifecycle of your award. Funds must be spent in accordance with the sponsor's guidelines and Northwestern's policies. The principal investigator is obligated to ensure that all of the requirements of the award are met. If you have budget, policy, or guideline questions, OSR will be glad to assist you and your local administrator. [Comments and Supporting Documents Entered in the Activity Form, including PAS Cognos report]	Sent when the Send Award Notice activity on an award is executed.	• PI • Admin Contact • All organization "Grants Administrative Editors" (if new "Notify All Admin Editors" property on department is true) • Any additional recipients identified in Q1 on the Send Award Notice activity form
Send Email	Contains the following: • Subject: [ID]: <Email Subject Line Entered in Activity Form>	Sent when the Send Email activity on the	• Selected Recipients

(Funding Proposal)	• To: [Recipient's First & Last Names] • Link: [ID: linked to FP Workspace] • Title: [Short Title] • Body: <Comments and Supporting Documents Entered in the Activity Form>	FP workspace is executed.	
Send Email (Award)	Contains the following: • Subject: [ID]: Notification from Award • To: [Recipient's First & Last Names] • Link: [ID: linked to Award Mod Workspace] • PI: [PI Name] • Title: [Short Title] • Body: This email was sent from [Award ID: Short Title]. <Comments and Supporting Documents Entered in the Activity Form>	Sent when the Send Email activity on the Award workspace is executed.	• Selected Recipients
Send Email (Award Mod)	Contains the following: • Subject: [ID]: Notification from Award Mod • To: [Recipient's First & Last Names] • Link: [ID: linked to Award Mod Workspace] • PI: [PI Name] • Title: [Short Title] • Body: This email was sent from [Award Mod ID: Short Title]. <Comments and Supporting Documents Entered in the Activity Form>	Sent when the Send Email activity on the Award Mod workspace is executed.	• Selected Recipients
Send Grants Status Update	Contains the following: • Subject: [ID]: Proposal Status Update • To: [User(s) First and Last Names] • Link: [ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title]	Sent when the Send Grant Status Update activity on the FP workspace is executed. The FP must be in a <i>Pending Sponsor Review</i> state to access the activity.	• Administrative Contact • Assigned Specialist

	• Body: A status update has been provided for the above referenced proposal. Click the link above to review the funding proposal and take any needed actions.		
Specialist Requests Changes	Contains the following: • Subject: [ID]: Specialist Requests Changes • To: [User(s) First and Last Names] • Link: [ID: linked to FP Workspace] • PI: [Funding Proposal PI] • Title: [Short Title] • Body: Questions or changes have been identified through the review process that requires your attention. Click the link above to review the funding proposal, respond to reviewer questions and make any requested changes. Contact the reviewer with any questions.	Sent when the Specialist requests changes and when the state transitions from <i>Specialist Review</i> to <i>Specialist Review: Pending Changes by PI</i> .	• Administrative Contact • PI
Submit Ancillary Review	Contains the following: • Subject: [ID]: Notification of Ancillary Review Completion • To: [Recipient's First & Last Names] • Link: [Funding Proposal ID: linked to Funding Proposal Workspace] • Body: Ancillary review has been completed for the funding proposal. Click the link above to access and review the submission details. [Activity's comments and supporting documents]	Sent when an ancillary review is submitted.	• Assigned Specialist
Submit JIT Response	Contains the following: • Subject: [ID]: Notification of JIT Completion • To: [Recipient's First & Last Names] • Link: [ID: linked to FP Workspace] • PI: [FP PI] • Title: [Short Title]	Sent when the Submit JIT Response activity is executed from the funding proposal workspace when the FP is in the <i>JIT Response Required</i> state.	• Assigned Specialist

	• Body: Additional information has been provided to submit to the sponsor to support this request. Click the link above to access and review the submission details. [Activity's comments and supporting documents]		
Submitted Funding Proposal Tag Change	Contains the following: • Subject: [Funding Proposal ID]: This Funding Proposal Has Had Tags Updated by [activity executor] • Link: [Funding Proposal ID: linked to Funding Proposal Workspace] • Body: The tags on the above Funding Proposal have been changed. Click on the link above to view more information on the workspace.	When the Manage Tags activity is executed from the funding proposal workspace when the FP is in the following states: Pending Sponsor Review, Award Notification Received, <i>JIT Response Required</i>, <i>Pending Sponsor Review Award Anticipated</i>, <i>Awaiting Response from Federal Sponsor</i>	• Assigned Specialist

User Roles and Security

The following table lists the functional user roles used in Grants and describes their use throughout the site:

User Role	Description	This role enables you to:
Award Approver	User responsible for reviewing and approving awards prior to activation.	For Award: Reviews awards created in Grants and either makes corrections to it, requests the specialist to make changes, requests a designated review, or activates the award so that spending can begin. Can assign someone else to be the award approver. (All awards must have an assigned award approver.) • Assign a submitter, reviewer, specialist, or another approver to an award. • Upload award documents. • Resume export of data to an external system. • Request that the specialist make changes to an award during the review process.

		• Send an email message to the specialist assigned to the award. • Submit an award for final review. • Complete an award. • Activate an award. • Request a modification to an active award. • Assign a specialist to an award modification request. For Award Modification: Reviews the award modification and either makes corrections to it, requests the specialist to make changes, requests a designated review, or approves the award modification so that spending can begin. Can assign someone else to be the award approver. (All award modifications must have an assigned award approver.)
Contact Manager	SR person responsible for managing person and organization data.	• Create Sponsors • Assign Roles • Manage Departments • Dashboard Assignment
Content Manager	SR person responsible for various PAM updates.	• Update embedded help • Change notification headers/footers • Admin approve/activate
Contract Specialist	SR person responsible for establishing terms and conditions agreements with the sponsor once an award letter has been received	• Notify OSR of the funding proposal's status • Manage Subaward: ◦ Review, activate and update subaward. ◦ Log Comments, Log Correspondence, Upload Documents
Department Reviewer/Chair	Member of the submitting department who is responsible for reviewing proposals created by study staff.	• Approve a proposal submitted by study staff, which sends it to OSR for final approval. • Request changes by the study staff to a proposal without rejecting it. • Disapprove a proposal, sending it back to the study staff for changes.
Grants/Agreements Data Manager	OSR person responsible for managing the selection data in PAM Grants and Agreements modules.	• Add and update selection data shown in the tabs of the Grants and Agreements Settings workspace.

Grants/Agreements Setting Manager	SR person responsible for maintaining non-advanced settings in PAM Grants and Agreements modules.	• Change settings in the Basic Settings section of the Grants and Agreements Settings SmartForm. • Update Reviewers. • Manage IDC Schedules, fringe default, tags, company profiles, and salary cap.
Global Grants Viewer	User who needs to see all Grants projects. Users with the Specialists Finance/Grant role already have the ability to view all Grants projects.	• Allows you to see all Grants projects.
IT Support	SR person with access to the IT support tools.	• Bypass workflow • Notification troubleshooting • Diagnostic tools
Registered User	Any person with a user account in the system.	• Be added to a proposal's guest list
Reports Manager	SR person that can create or update custom search reports.	• Create, update, and control security policies on custom searches.
Salary Access	User responsible for developing budgets.	• View and edit budget and salary data • Allows access to the "Modify Persons Profile" activity.
SF424 Reader	Users who need to review SF424 proposals regardless of department.	• Read access to all SF424 applications
SF424 Specialist and SF424 Administrator	Users who need to edit and submit SF424 proposals regardless of department.	• Read, edit, and submit all active SF424 applications.
Specialists Finance/Grant	SR person who approves proposals for submission to the sponsor.	For Funding Proposal: Conducts central review on behalf of the institution. This person may also be the authorized organizational representative that submits the application package electronically using the SF424 tool or provides a signature in offline systems. Common tasks include: • Designate some other Specialist to review a proposal for final approval • Send an email message to the proposal team

		• Edit existing proposals attach supporting documents to a proposal • Withdraw a proposal and select a reason (the opportunity was withdrawn by the sponsor, your institution decided to withdraw the proposal, or the proposal did not win funding) • Create and update the SF424 Form • Update SF424 Research Plan.(documents attached to the SF424 form) • Update the research plan (on non- Grants.gov submissions) • Update information about the Sponsored Programs Office • Add a personal comment to a proposal • Export Proposal Budgets to a MS Excel spreadsheet format • Perform the Final Review for a proposal • Send a proposal back to the Department with requested changes and optionally require the Department to re-approve the proposal • Record that an award letter has been received from a sponsor • Send the study staff a request for Just-In-Time information for the sponsor For Award: • Processes the Notification of Award when it is received and creates a new award to account for and manage the funds. • Submits the completed award for a designated review or for the final review and makes changes requested by reviewers. • Enables spending to begin prior to receiving the Notification of Award by creating an advance account and putting the award into the <i>Advance Award</i> state. When the Notification of Award is received, advances the award to the <i>Active</i> state. • Creates a new continuation funding proposal based on the current award. • Creates subawards in Grants and manages any funds to be paid to subawardees. For Award Modification:
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Study Staff	Researchers, Fellows, and students responsible for submitting funding proposals.	• Broad access to funding proposal creation and completion. • Can submit funding proposals for department review. • Respond to clarifications. • Listed as personnel on a funding proposal or award.

Request PAM Access

If you need access to PAM or believe you need additional user roles to perform your position responsibilities, contact OSR.