Office of Sponsored Research
PAM Grants Reference Guide

Introduction

Introduction to PAM Grants

PAM is Caltech's **P**roposal and **A**greement **M**anagement 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 dashboard lists the items requiring attention and provides easy access important 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 with all the information required to start the review process. When items enter the workflow, PAM automatically routes them to the next person for efficient and timely handling. Help is available throughout the system and is available where it is most needed, including question-level help and a built-in Help Center with reference guides and videos.

Find State and Key Information Quickly

In PAM, you can find the status, referred to in the system as *state*, 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 (GM) 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 GM can create relationships between funding proposals or awards and any agreements associated with them and easily navigate back and forth between them. The GM can record key information, notes, email correspondence, follow-up tasks, and award deliverables for a complete history of activities performed. The GM, 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 set up, managed, and tracked efficiently, and agreements are negotiated and executed as quickly as possible.

Funding Proposals

The lifecycle of a project starts with a GM creating a funding proposal, including the budget(s) and Standard Form 424 (SF424), if applicable. Once the funding proposal is complete, the GM submits the funding proposal into the workflow to begin the review process. The division 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 division or OSR.

Awards

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

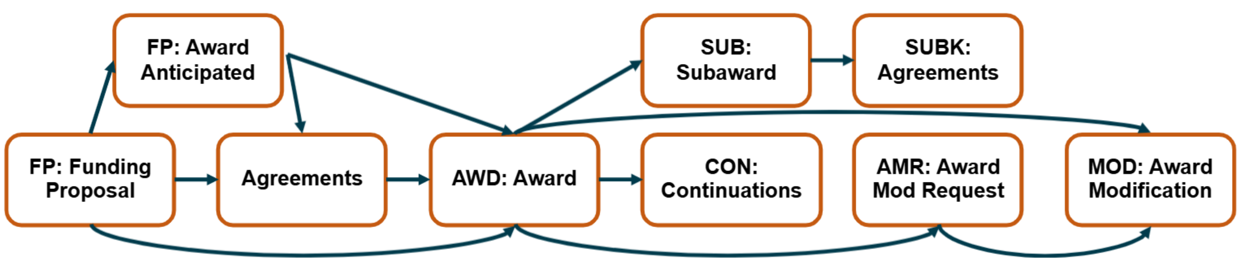
If a proposal is awarded and all terms agreed upon, or the research team requests an advance account, OSR will create an award in PAM, and it will go through a setup and data quality review process.

Award Modifications

While an award is active, changes may be required, like budget revisions or personnel changes. GMs 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

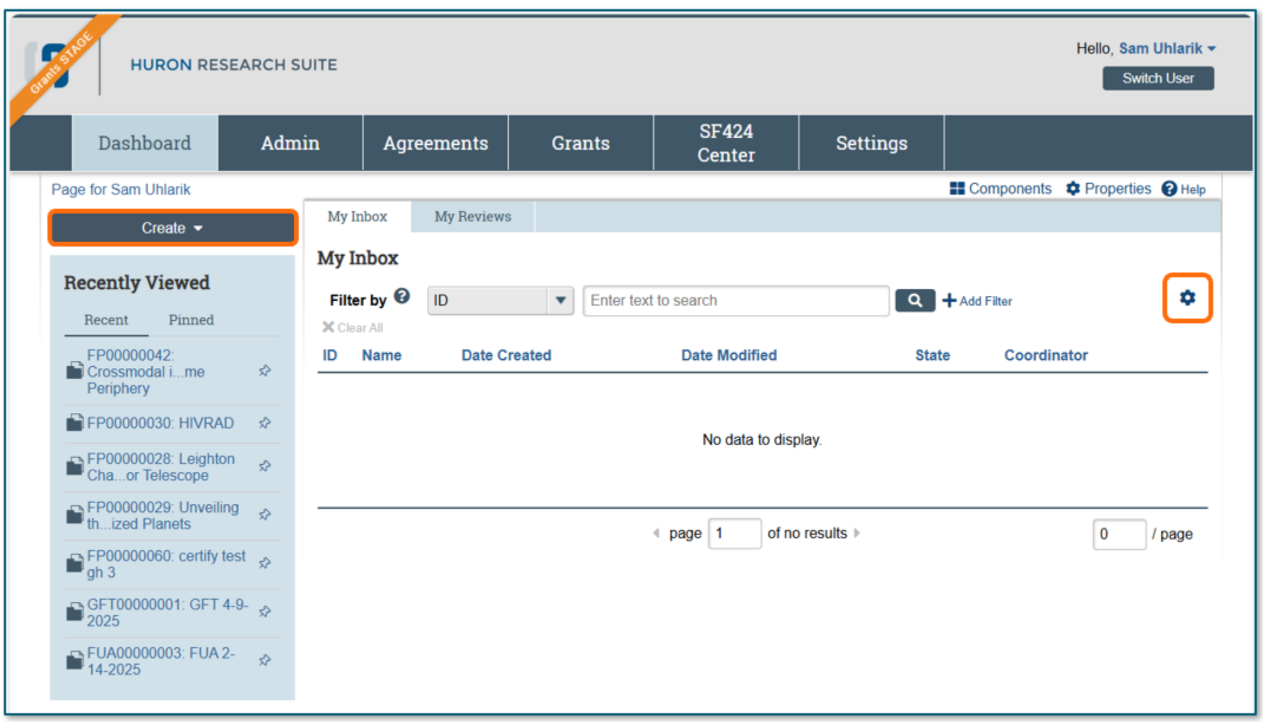
Grants Module		Agreements Module	
Funding Proposal	**Awards**	**Funded**	**Unfunded**
Funding Proposal (FP)	Award (AWD)	Gift (GFT)	Unfunded Research Collaboration (URC)
Budgets	Award Modification Request (AMR)	Sponsored Research Agreement (SRA)	Equipment Loan Agreement (ELA)

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~~ workload. Dashboards for GMs 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 they are a PI, GM, 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~~.

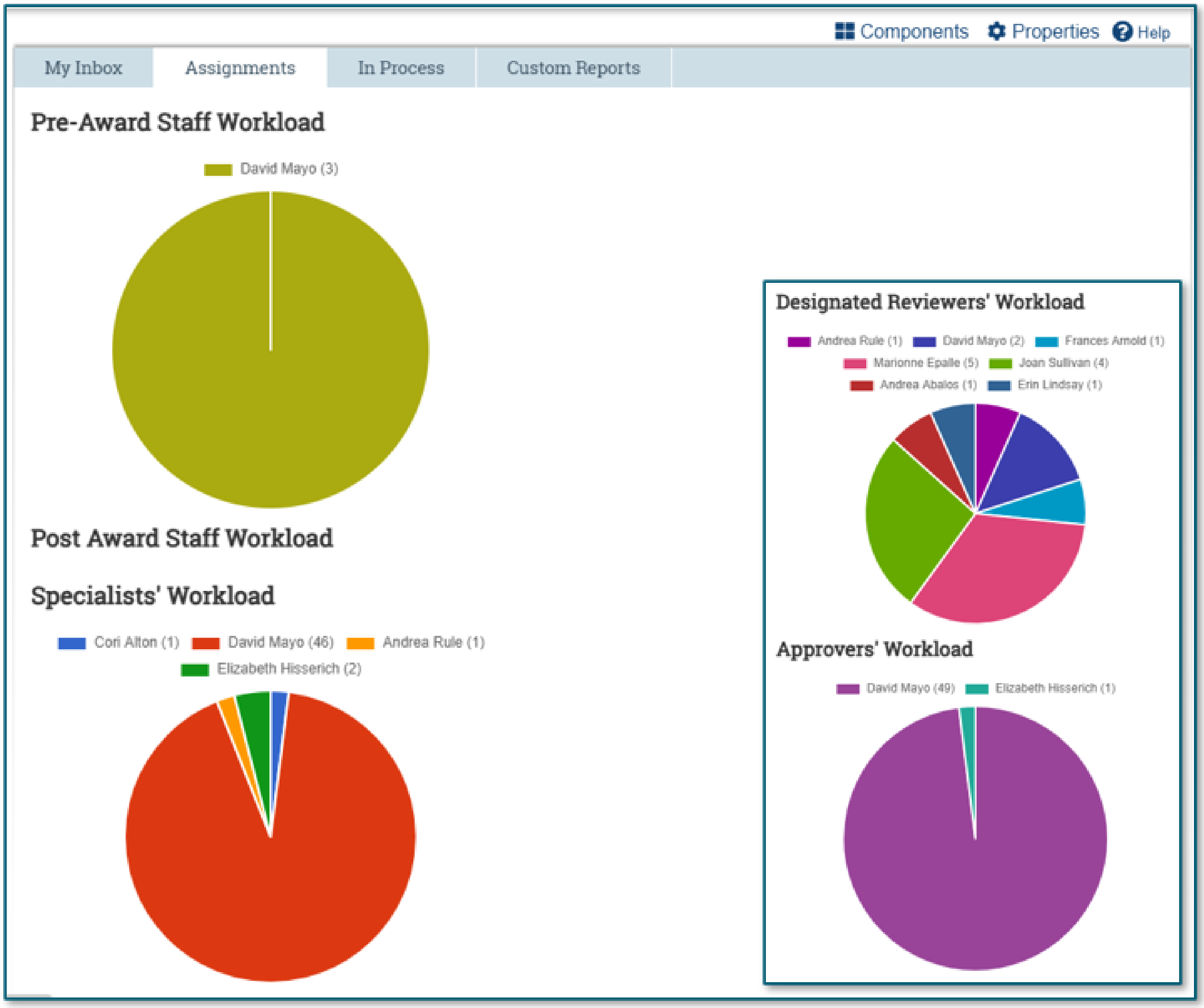


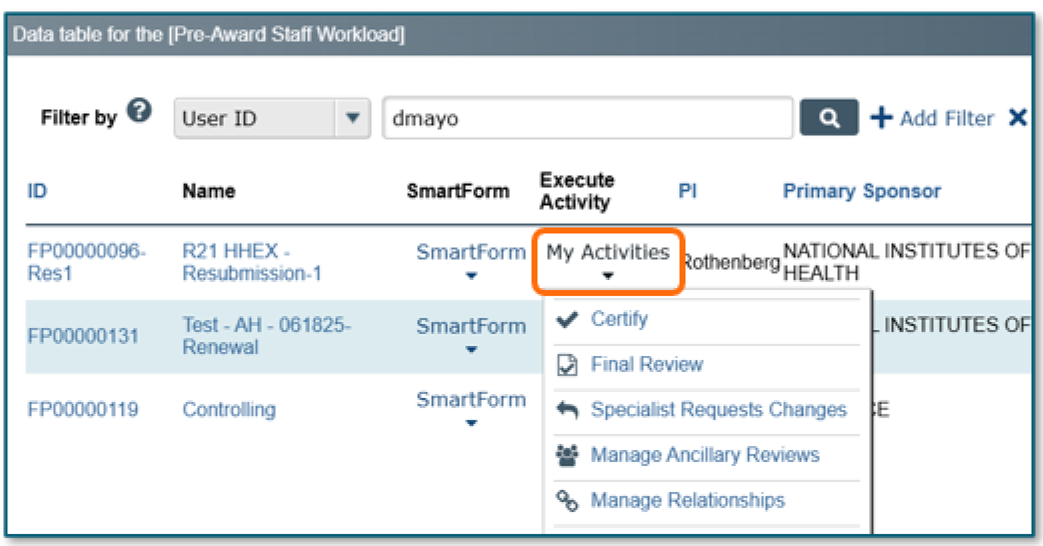
The items below focus on the ~~Grants~~ Central Grants Office Dashboard, which was designed for OSR staff to easily find information about items in process, ~~so they can~~ to take the necessary action ~~in a timely~~

~~manner~~. With this dashboard, OSR can quickly see what is upcoming, who is working on what items, and how many items are in various states of the workflow.

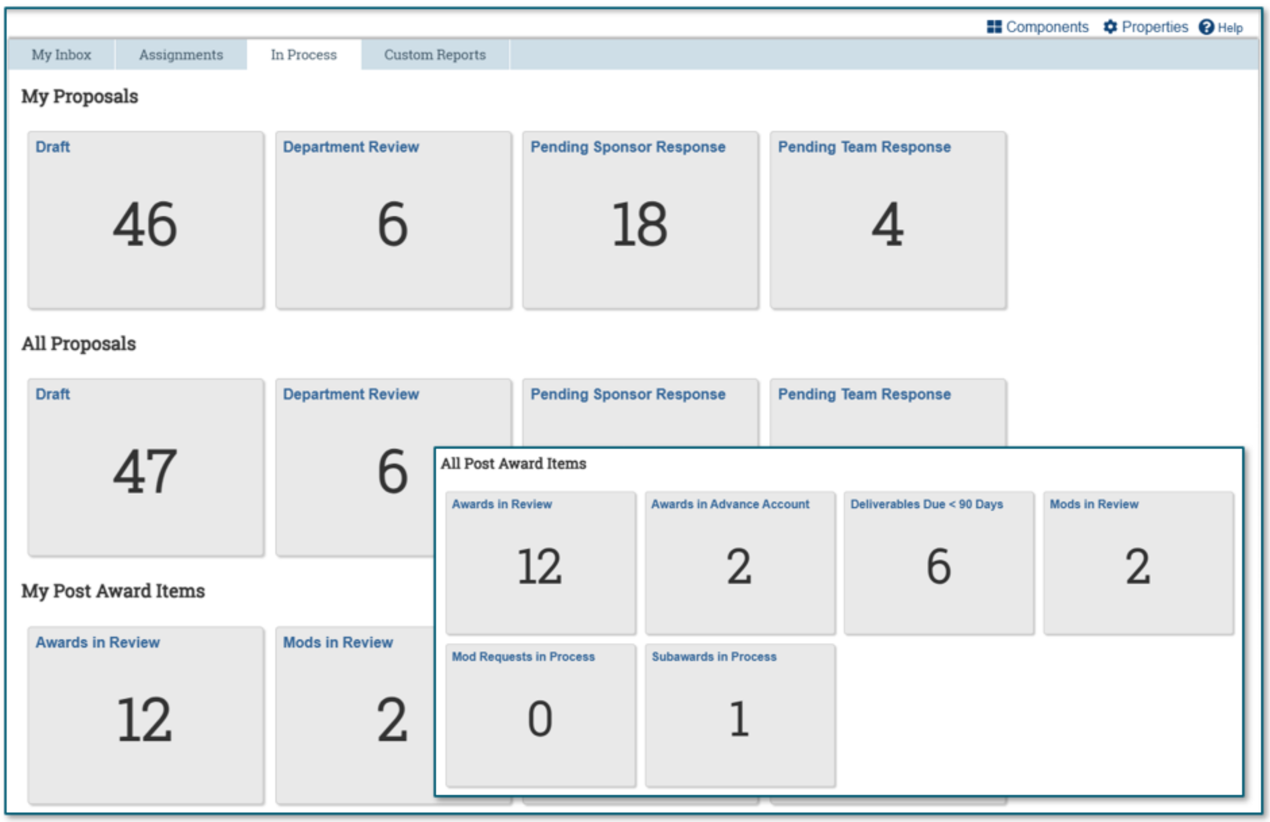
From the PAM Grants Dashboard, users will view:

- **My Inbox (**referred to as PAM inbox throughout this reference guide**):** Items that the user is currently working on or items that require the user to take action to move forward in the workflow. ~~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 proposals and AWD is the acronym for award. My Inbox also includes a tile entitled, ‘agreements’.
    - The state tells you where the item is in the workflow.
    - 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. For example, typing “%ack” finds “tack” and “Blackwell.” Note that for all searchers 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 GM and OSR dashboards and includes items assigned to the user. It is a visual representation of the individual assignments of all the in-process items so the respective team can manage and balance workloads. The charts show the number of items assigned to OSR 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 details 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. Use the My Activities menu to perform certain actions quickly and easily without navigating to the item’s workspace.
    - The Pre-Award Staff Workload chart shows funding proposals assignments for all types of proposals that are in process and have not yet been submitted to the sponsor.
    - The Post Award Staff Workload chart shows award and award modification assignments.
    - The Post Award Staff Workload chart include awards and award modifications that are in process, which include the following states:
        - Draft
        - Designated Reviewer
        - Designated Review: Response Pending
        - Final Review
        - Final Review: Response Pending
        - Designated Review Requested
    - The final two pie charts show only award modifications and award modification requests in process.


Components
Properties
Help
My Inbox
Assignments
In Process
Custom Reports
Pre-Award Staff Workload
David Mayo (3)
Post Award Staff Workload
Specialists' Workload
Cori Alton (1)
David Mayo (46)
Andrea Rule (1)
Elizabeth Hisserich (2)
Designated Reviewers' Workload
Andrea Rule (1)
David Mayo (2)
Frances Arnold (1)
Marionne Epalle (5)
Joan Sullivan (4)
Andrea Abalos (1)
Erin Lindsay (1)
Approvers' Workload
David Mayo (49)
Elizabeth Hisserich (1)


Data table for the [Pre-Award Staff Workload]
Filter by
User ID
dmayo
Add Filter
ID
Name
SmartForm
Execute Activity
PI
Primary Sponsor
FP00000096-Res1
R21 HHEX - Resubmission-1
SmartForm
My Activities
Rothenberg
NATIONAL INSTITUTES OF HEALTH
FP00000131
Test - AH - 061825-Renewal
SmartForm
INSTITUTES OF
FP00000119
Controlling
SmartForm
Certify
Final Review
Specialist Requests Changes
Manage Ancillary Reviews
Manage Relationships

- **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. 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 sections list items assigned to the user.
    - The All Proposals section shows all in process proposals in the system, regardless of the Specialist assignment.
    - In the My Post Award Items section, users will see tiles for awards, award modification requests, award modifications, and subawards that are in process and on which the user is the assigned Specialist.
    - The All Post Award Items sections shows all awards, award modification requests, award modifications, and subawards that are in process regardless of the assigned Specialist. This section also contains tiles to show all award and subaward deliverables that are due in the next 90 days or are overdue, as well as all awards in advance account/at risk extension.



- **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.
- **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 the 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.

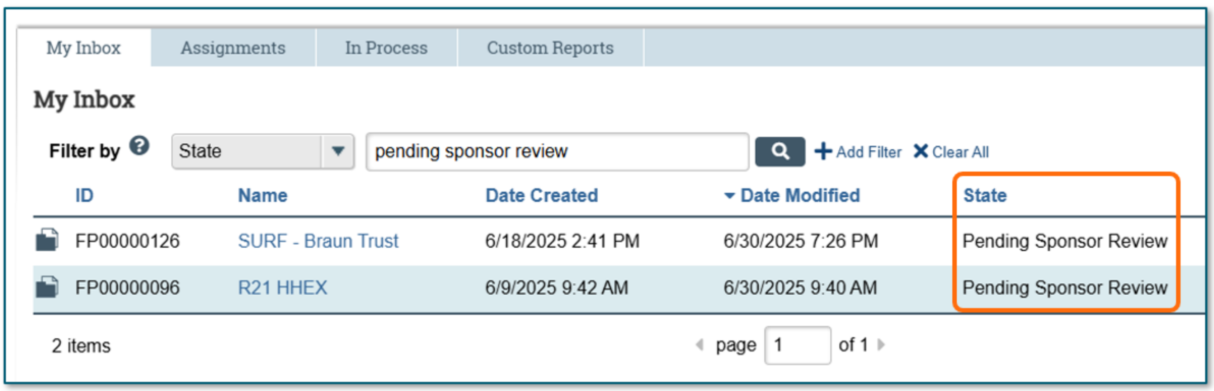
- **Personalize Table:** You can alter the tables displayed on the dashboard by using the Personalize Table gear icon.

Note: If you are a member of OSR and do not have access to the **Assignments** or **Capsule Activity** tabs, 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, the "Specialist Review" state indicates the item is awaiting review by OSR. Review the Funding Proposal Workflow section to view a list of states and their definitions.



To open a record awaiting your action

1. From your PAM inbox, click the record name under the Name column.
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's 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

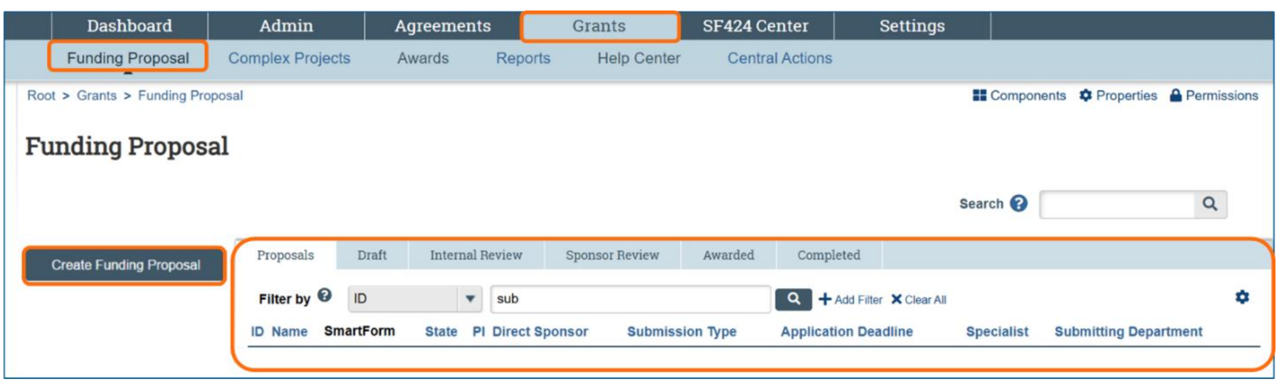
1. In the Top Navigator, click **Grants**.
2. In the Sub-Navigator, click **Funding Proposal**
3. To further narrow your search, you can:
   a. Sort the records in various ways by clicking the column headings.

4. 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.
5. Click the name of the desired funding proposal.
6. The funding proposal workspace opens.

Grants Funding Proposal 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, primary sponsors, submission types, application deadlines, assigned Specialists, and submitting divisions.
- **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 Division Review, Division 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.

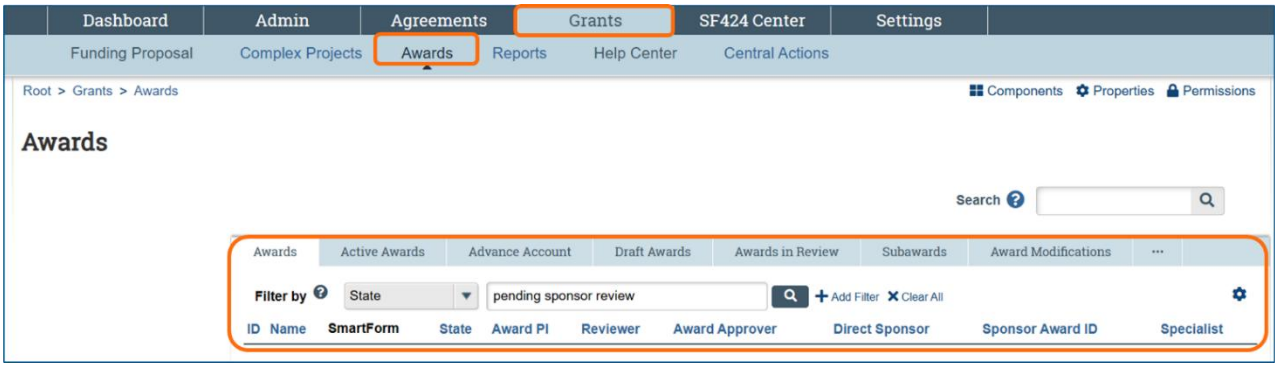


Grants Awards Page

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



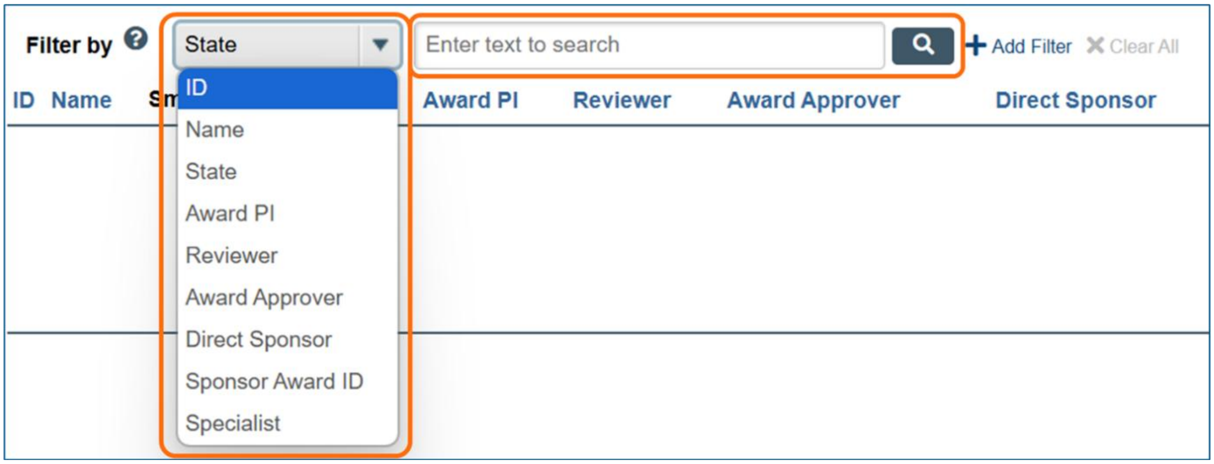
Find Data by Filtering

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.

Valid search, advanced search, and Boolean operators include:

-
- Comparison Operators:
  - **!=**, **>**, **>=**, **<**, **<=**

  Example: Filter a date field with > 7/1/2020 to find all values after that date.
- Boolean Operators: -**or** and **-and**

  Example: Filter a name column with Shawn -OR Shaun.

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 *Division Review, Division 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, to view the following columns (see below):

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 [located under…..]. Workspaces display key information about a particular funding proposal. The information and activities that appear in the workspace depend on the state of the funding proposal 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 below, the funding proposal is in the *Specialist Review: Pending Changes by PI* state, which means the OSR returned the proposal to the PI and GM 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 GM 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.

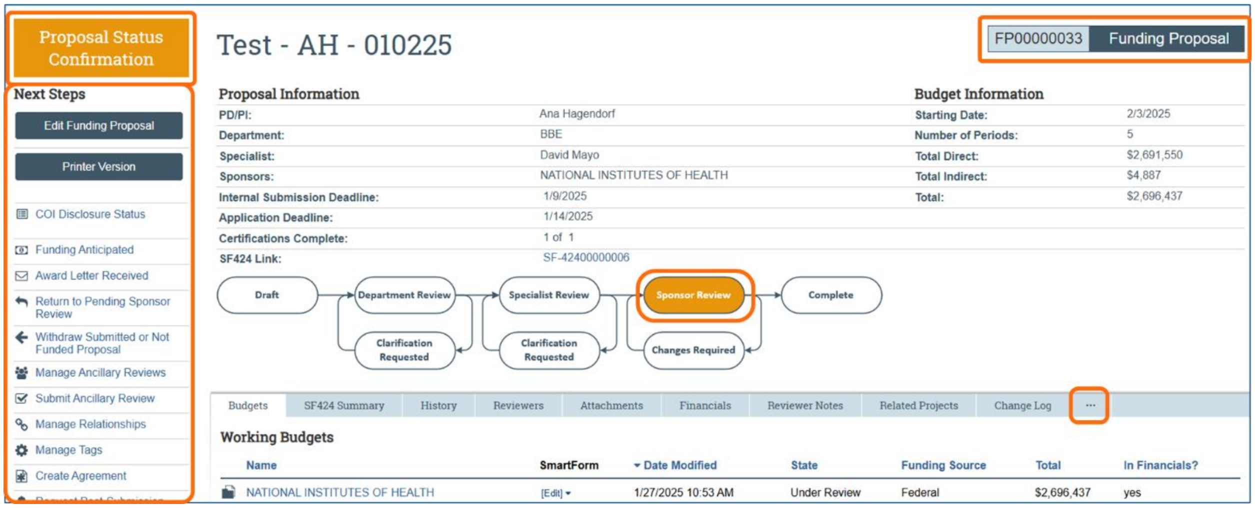
At the top of the workspace is the funding proposal title and a summary of the funding proposal and budget information. The PD/PI is the Program Director or Principal Investigator listed on the proposal pages, and the Specialist is the OSR member assigned to the proposal. You will also see at a quick 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 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. Click the budget name to open the budget's workspace to view or edit the budget pages. Only users with the Salary Access role can see and access the budgets listed on this tab.

- **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 GM (administrative contact). It then lists the division 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 division members that can edit the proposal. The list may include division heads that want to see all proposals for their division.
- **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 documents attached to any Budgets associated with the FP. 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, IRB proposals, and IACUC proposals linked to the funding proposal. Users can create relationships to funding proposals by using the Manage Relationships activity on the funding proposal workspace or from the IRB or IACUC systems. For example, from the IRB system, users can select a proposal as a funding source in the IRB system while creating a protocol, and it will appear on this tab.
- **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.



Budget Workspace

A budget workspace is accessed from the funding proposal workspace via 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.

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.

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 of the budget and user permissions.

The budget ID and the text "Project Budget" are located at the top right and indicate 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.

SF424 Workspace

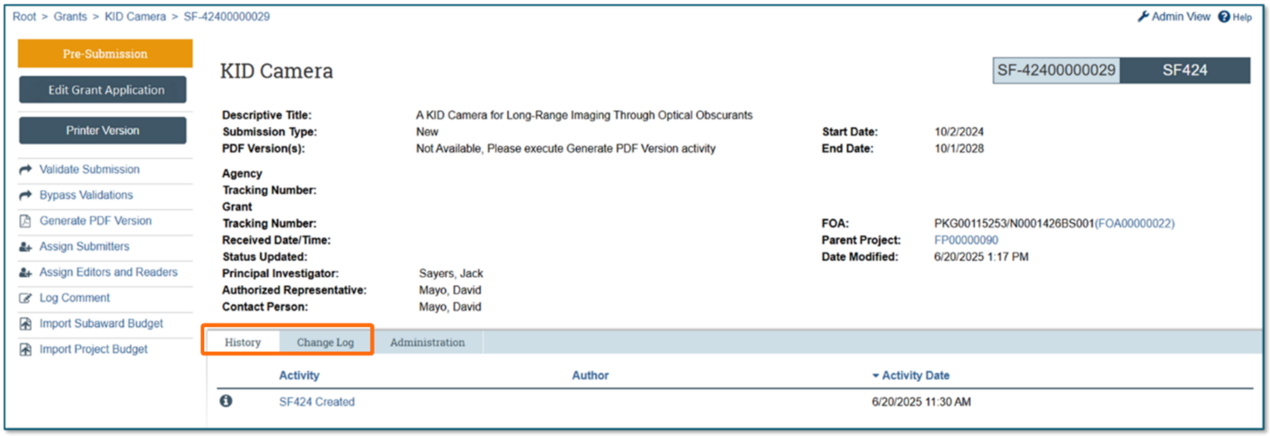
For federal system-to-system submissions, an SF424 will be created from and linked to the related funding proposal. An SF424 workspace is accessed from the funding proposal workspace it is linked to. From the funding proposal workspace, it can be accessed from the SF424 link in the summary area or from the **SF424 Summary** tab. Anytime an SF424 is opened, as indicated by “SF-424” 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 depend 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 by the sponsor.

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.

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 depend 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 by...

The current state is highlighted in orange within the workflow diagram, making it easy for users to quickly identify their project's status.

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 awards, subawards, and award modifications. Similar to the funding proposal, you may or may not be able to edit the award pages depending on the state.

At the top of the workspace is the award title and a summary of the award. 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.

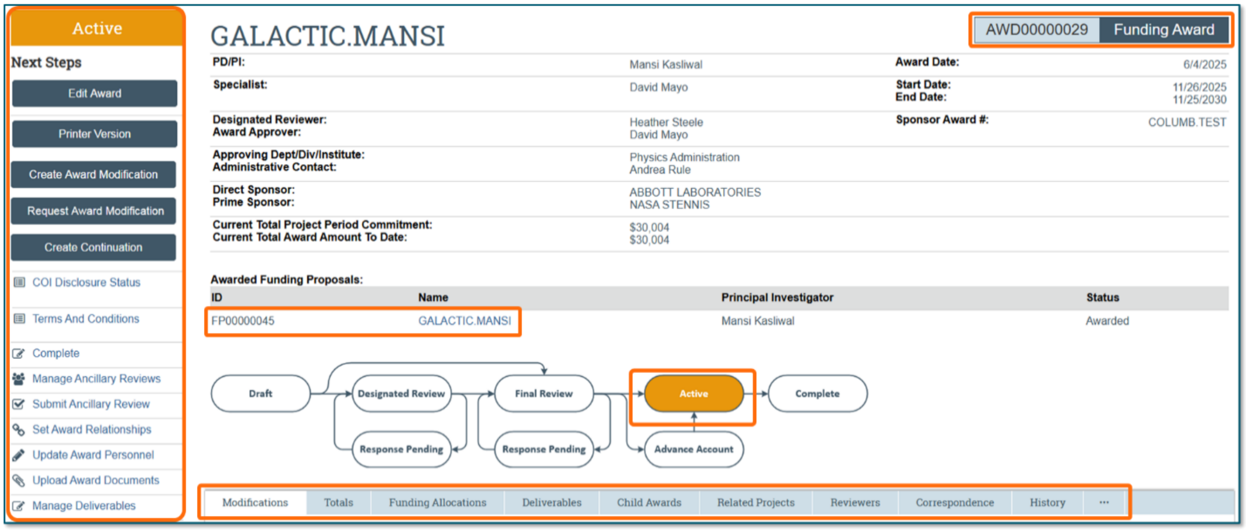
The Awarded Funding Proposals area lists the funding proposals related to this award. You will see the funding proposal ID, name, PI, and the status. Click the funding proposal Name link to open the funding proposal workspace.

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 tabs on your screen, click the ellipsis to select additional tabs for viewing.

- **Modifications:** This tab only appears after the award has been activated. You will see details for both modification requests, which are initiated by GMs, 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:** This tab lists the direct, indirect, and total proposed and awarded costs for this award and its child awards, along with the grant 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:** This tab lists each increment of funding awarded by the sponsor.
- **Deliverables:** This tab 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.
- **Subawards:** This tab is where you'll find subaward information for this award, for example, the name of the subrecipient organization, risk level, effective, start, and end dates, the state of the subaward and the cumulative amount. Additionally, the Subaward Monitoring Summary displays the monitoring information noted by the subaward team. Note that creating and executing individual agreements are done in the Agreements module and can be accessed via the **Related Projects** tab on the Award workspace, not directly from the subaward.
- **Child Awards:** This tab shows any child awards that were linked to the award using the **Set Award Relationships** activity.
- **Related Projects:** This tab 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:** This tab starts with the contacts listed on the award. This includes the PI, project personnel, and the GM (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:** This tab shows any correspondence that has been logged for this award. This might include conversations that occurred about the award.
- **History:** This tab 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:** This tab 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:** This tab shows the changes made to the award pages during the workflow. Click an activity to see details of what was changed.
- **Reviewer Notes:** This tab 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:** This tab 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.



Help Center Overview

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

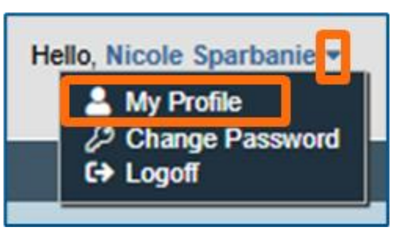
1. In the Top Navigator, click **Grants**.
2. In the Sub-Navigator, click **Help Center**.
3. Click the **Guides** tab to access written resource guides. Click on the file name of the specific resource you wish to open.
4. Click the **Videos** tab to access video resources. Click on the file name of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

Manage My Profile

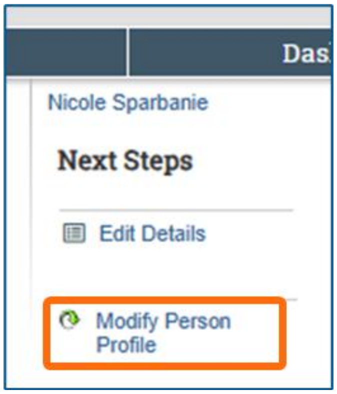
The **Modify Person Profile** activity allows all users to update select data on their profile, including name, ERA Commons username, and ORCID. All users have access to the **Modify Person Profile** activity for their own profile only. Users with the Salary Access role or the Specialist Finance/Grants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



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 review and submission 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 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 GM submits the funding proposal into the *Division Review* state to be reviewed by the appropriate division reviewers. During *Division Review*, the funding proposal and budget SmartForms are locked and cannot be edited by the PI or GM. If division reviewers require clarification or changes to the funding proposal or budget, they can send the proposal back to the GM for editing. If the funding proposal includes SF424 forms, the SF424 Research Plan attachments remain editable during *Division Review* so the research plan can be updated. There may be multiple levels of division approval that occur sequentially. After one division reviewer approves the funding proposal, it moves to the PAM inbox of the next reviewer.

When the last division 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 GM. When the proposal is sent back to the GM, the funding proposal and budget become editable so the proposal team can make the necessary changes. The GM can then resubmit the funding proposal back to the division or Specialist for re-review.

OSR will always return the funding proposal using the **Specialist Requests Changes** activity so the GM and project team can make final edits and finalize the proposal narrative (unless the GM indicates that the proposal package – including scientific components – is complete and ready to submit and if the reviewer has no comments). Once the division has finished addressing changes and reviewer comments, and the proposal narrative is final and ready for submission to the sponsor, the GM will return the funding proposal to OSR via the Submit Changes to Specialist activity.

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.

Note: Activities involving SF424 forms and the SF424 research plan are available only if the proposal is an electronic submission to a Federal sponsor via Grants.gov.

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 *(Draft)*	Grant Manager completes funding proposal and budget SmartForms. PI certifies FP.	Submit For Division Review Withdraw Proposal	Division Review Not Submitted
Division Review *(Division Review)*	Division reviewer reviews FP, can leave notes and return FP for clarification/changes, or approve FP. Grant Manager can update the research plan attachments.	Request Changes Approve	Division Review: Response Pending from PI Specialist Review
Division Review: Response Pending from PI *(Clarification Requested)*	Grant Manager can edit the FP, budgets, and SF424to make the appropriate changes, and resubmits it for division re-review.	Submit Changes To Division Reviewer	Division Review
Specialist Review	OSR Specialist reviews the FP, can leave reviewer notes, and can either return	Specialist Requests Changes	Specialist Review: Pending Changes by PI

(Specialist Review)	it for clarification/changes or approve it.	Final Review	Pending Submission to Sponsor
Specialist Review: Pending Changes by PI *(Clarification Requested)*	Grant Manager can edit the FP, budgets, and SF424to make the appropriate changes, and resubmits it for division and/or Specialist re-review.	Submit For Division Review Submit Changes to Specialist	Division Review Specialist Review
Pending Submission to Sponsor *(Specialist Review)*	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 *(Sponsor Review)*	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 Post Submission Update Requested Funding Anticipated Award Letter Received	Proposal Status Confirmation JIT Response Required Pending Sponsor Review Award Anticipated Award Notification Received
Post Submission Update Requested *(Changes Required)*	The FP becomes editable for the Grant Manager to make the requested sponsor updates. Grant Manager submits the JIT Request for OSR review.	Request Post-Submission Update	Pending Sponsor Review Award Anticipated
Pending Sponsor Review Award Anticipated *(Sponsor Review)*	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 *(Sponsor Review)*	The FP can be updated to reflect that funding is anticipated, an award letter has been received and can be returned to the *Pending Sponsor Review* 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 *(Complete)*	The FP was not funded by the sponsor. A resubmission proposal can be created.	Create Resubmission Reinstate Proposal *(OSR only)*	Draft Pending Sponsor Review
Award Notification Received *(Complete)*	Award notification has been received. An award and/or an agreement can be created from the FP	Create Funding Award Create Agreement	
Awarded *(Complete)*	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.

Reviewing Funding Proposals

Review a Funding Proposal & Related Components

When a research team completes a funding proposal and its related components (i.e., budget(s), SF424 forms if applicable), they submit it for review. The system sends an email notification to the appropriate reviewer, and the funding proposal appears in their PAM inbox.

The funding proposal initially goes through a division review process. When it is approved by all division reviewers, it transitions to the *Specialist Review* state where it routes to the assigned Specialist for review. Specialist Review is performed by OSR. OSR reviewers can add comments and edit the funding proposal themselves.

This shows the basic overview for a Specialist Review in PAM.

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

3. Review the data in the funding proposal. Click **Continue** to review each page in sequential order or use the Left Navigator to jump to specific sections.

   Funding Proposal SmartForm Review Criteria:

   - Deadline date and time
   - Cost Share
   - PI Eligibility
   - Chart Strings
   - F&A rate
   - IRB/IACUC
   - Export control terms and restrictions
   - Fundamental Research
   - IP/Patents
   - Effort
   - COI

   Notes:

   - To see what changed between this and a previous version, click **Compare** on the Left Navigator and select the version to compare against.
   - If you find problems, you can add reviewer notes for the PI. Review the Request Changes or Additional Information section for more information.

5. When finished reviewing, click **Exit** to return to the funding proposal workspace.
6. On the *Attachments* tab, ensure the following:
   - Additional supporting documentation is present if applicable (e.g., fundamental research confirmation, etc.).
   - Invitation/Permission to Submit – *when specific to solicitation*.
7. Ancillary reviews initiated by the division can be found on the *Reviewers* tab, including information about the review type and if it has been completed.

   On the *Reviewers* tab, view/verify the following ancillary reviews if applicable:

   - MORA Approval
   - Cost Share Approval
   - Compliance Review
   - Export Controls
   - Graduate Dean Review

- Provost Review
- Vice Provost Review
- Division Chair Additional Review
- Property Services Review

8. Review the data in the primary sponsor budget and any other associated budgets. Click **Continue** to review each page in sequential order or use the Left Navigator to jump to specific sections.

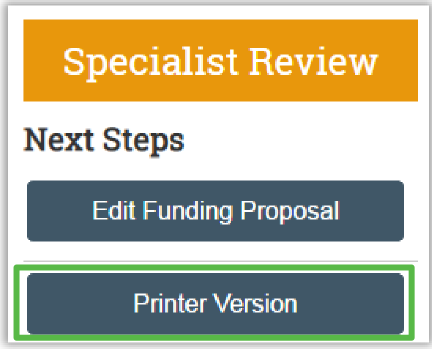
   Funding Proposal Budget(s) Review Criteria:

   - Cost Share - Is Cost Sharing required in the solicitation? If so, is the required cost sharing identified in the budget?
   - Benefit Rate – Has the correct rate been applied?
   - IDC Rate – Does the sponsor have a limitation on indirect costs? If so, is a MORA required/obtained? If not, is the full indirect cost rate applied in the budget? Has the rate been applied to the appropriate MTDC?
   - Sponsor limitations – Is the budget within the minimum and maximum range set by the RFP and is the budget within that range? Does the RFP have any restrictions on cost categories (equipment,
   - Salary caps – Does the sponsor require a salary cap? If so, has the cap been applied to the budget correctly?
   - Effort – Is the minimum PI effort included in the budget?
   - Budget Justification – Does the budget justification align with the budget?
   - Cost proposal with multiple budgets/tasks – Is the budget broken down into the components required by the RFP (monthly, by task, etc.)?
   - Consultants – Does the budget justification provide sufficient information to determine that the requested consultant is a consultant and not a subcontractor?
   - Equipment/Fabrication - Does the equipment budget meet the correct threshold? Is there a fabrication included in the budget? If so, has Property Services approved the fabrication?
   - Subcontracts – Do subcontractor budgets provide the level of detail required by the RFP?
   - Tuition – Are GRAs included in the budget? If so, is the tuition included in the budget? Is the correct rate being applied in accordance with current guidance from the Provost's memo?

9. If you found problems in the proposal, you can request changes from the PI. Review the Request Changes or Additional Information section for more information.
10. If you are satisfied with the proposal, submit the final review. Review the Submit a Specialist Review section for more information.

To 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**.

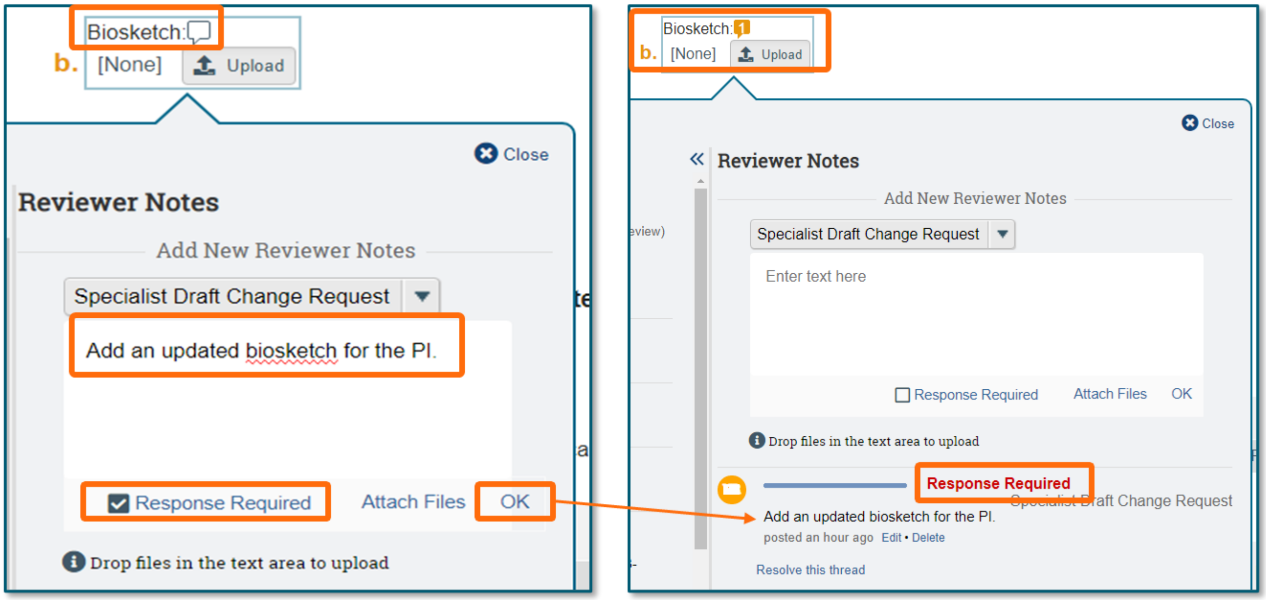
Request Changes or Additional Information

During both division 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 change request to the project owner.

This topic illustrates the procedure with a funding proposal in *Specialist 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. On the funding proposal workspace, click **Edit Funding Proposal** and review the proposal pages.
2. Make any needed changes you can handle yourself and click **Save**.
3. If you find issues the PI must address:
   a. Click the reviewer note icons for the items in question and type change instructions.
   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.
   e. When done adding reviewer notes, click **Exit**.



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 change request to the project owner

1. After completing an initial review, click **Specialist Requests Changes** on the funding proposal workspace.
2. In the resulting form, select **Division review required** if you want the division to review the responses to your change requests.
3. Add any general comments and supporting documents.
4. When done, click **OK**.

The funding proposal transitions to the **Specialist Review: Pending Changes by PI** state. It appears in the GMs PAM inbox, and they receive an e-mail notification. This allows the GM to make the necessary changes to the funding proposal and re-submit for review.

Review Clarification Request Responses

Once the GM responds to the clarification requests of a Specialist reviewer, they re-submit the funding proposal to the Specialist and/or division for re-review.

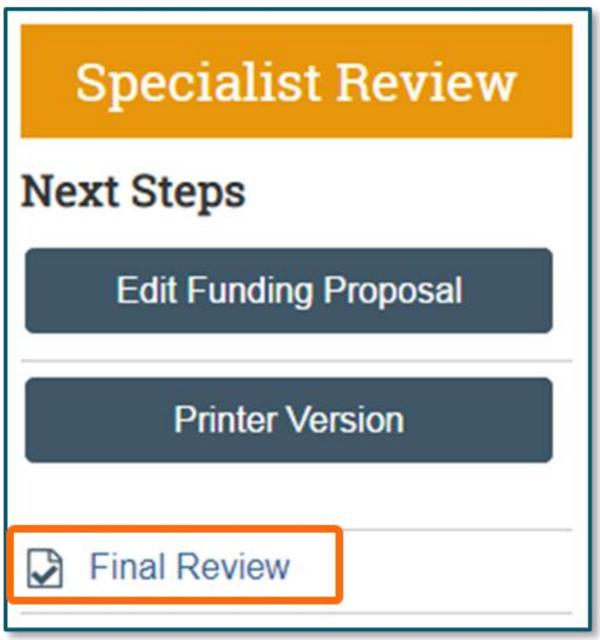
1. Open the funding proposal by clicking the link in the email notification or from your PAM inbox.
2. On the funding proposal workspace, click Edit Funding Proposal.
3. Navigate to the items that indicate a clarification. Review the clarifications made by the GM and read their reply.
4. If you agree and accept the clarifications, click Resolve this thread. If not, repeat the steps outlined in the Request Changes or Additional Information section.
5. Move forward to Submit a Specialist Review section once all items are addressed and reviewer notes are resolved.

Submit a Specialist Review

As the assigned Specialist, when the funding proposal requires no changes and you are satisfied with its content, officially submit your review.

To submit a specialist review

1. From the funding proposal workspace, click **Final Review**.



2. In the resulting form, add any comments, and then click **OK**.

   The proposal transitions to the *Pending Submission to Sponsor* state.

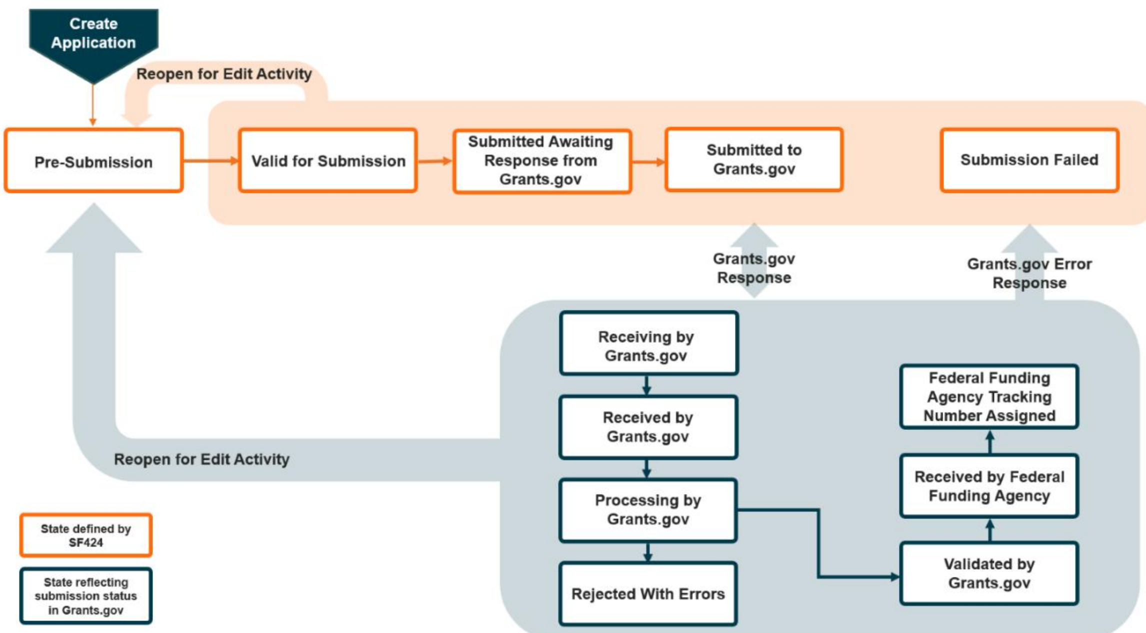
Submitting SF424 Forms

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, to being retrieved by the federal funding agency and federal funding agency tracking number assignment. Below are the SF424 states.

GMs will create the SF424. Once it is created, the SF424 will be in a pre-submission state. After the GM validates the application, it moves to the Valid for Submission state. OSR will submit the proposal. Grants.gov will process the application and send automatic updates back to CALTECH eRA regarding the processing status.

SF424 Workflow Diagram



Submit an SF424 via System-to-System

Federal submissions can be submitted system-to-system in PAM. Before submitting the SF424, it is helpful to run the submission pre-check to detect any errors. On occasion, you may need to reopen an application after validating it to make corrections. After submitting the SF424, you can check the status of the submission.

To open an SF424 Form

There is more than one way to access SF424 forms:

- In the Top-Navigator, click **SF424 Center**. Click ID to open the SF424.
- Open the funding proposal to which the SF424 is linked. Click the SF424 link in the summary area of the funding proposal workspace.

You are taken to the SF424 workspace.

To submit an SF424 form to the sponsor

1. Open the SF424 from the funding proposal workspace. Click the SF424 link in the summary area of the funding proposal workspace.
2. From the SF424 workspace, click **Submission Pre-Check**.
3. When the pre-check completes, note the results under Grants.gov Validation Results, and click **OK**.
4. If there are errors, reopen the application to correct them.
5. Click **Submit to Grants.gov**.

   Note: To access the Submit to Grants.gov link, your role must be SF424 Grants Specialist, SF424 Administrator, or you must be assigned as a submitter of this application.

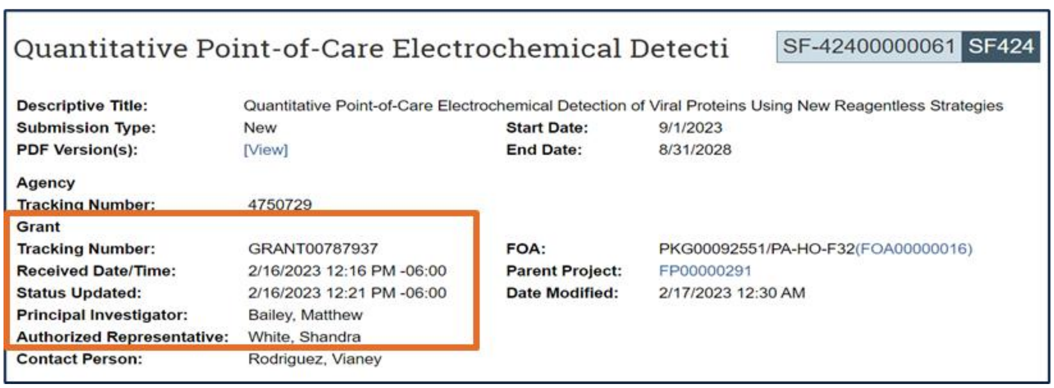
6. When you are ready to submit your application, click **OK**.

   The SF424 states transition as it moves through the Grants.gov workflow. Refresh the page periodically to see the updated status.

Check the Status of an SF424

Once the SF424 is submitted, you can check the submission status and tracking numbers of the proposal in the SF424 workspace.

1. After the SF424 is submitted, from the SF424 workspace, click **Get Status Detail**.
2. Make a note of the status and click **OK**.



Or

1. From the SF424 Center, click the **Check Submission Status** tab.
2. Search for the specific submission using the Package ID, Opportunity ID, Tracking Number, or Submission Title. Click **Search**.

Resubmit an SF424

If the PI or GM requests changes to the SF424 after it has been submitted to the sponsor but before the deadline has passed, you can reopen the SF424 to make the necessary edits. When finished, resubmit the SF424.

Note: You must also withdraw the SF424 application from the sponsor's eRA system before it can be resubmitted in PAM. Withdrawing an SF424 application cannot be done from within PAM. See sponsor's system for withdrawal instructions.

To reopen an SF424 application

1. Open the SF424 application from the SF424 Center or open the funding proposal to which the SF424 is linked and click the SF424 link in the summary area of the funding proposal workspace.
2. Take note of the Grant Tracking Number on the SF424 workspace.
3. From the SF424 workspace, click Reopen for Edit.
4. Click OK in the Reopen for Edit form.
5. The application returns to the Pre-Submission state, so you can edit the application forms.
6. On the SF424 R&R Cover Page, change the Type of Submission from Application to Change/Corrected Application.
7. On the SF424 R&R Cover Page, enter the Previous Grants.gov Tracking ID in 4.c. text box.
8. Make the necessary edits to the SF424 application or notify the GM to make the necessary edits.
9. Click Validate in the SF424 SmartForm or Validate Submission on the SF424 workspace to validate the submission. Correct any errors that appear.

The SF424 transitions from the *Pre-Submission* state to the *Valid for Submission* state.

To resubmit an SF424 application

1. Open the SF424 application from the **SF424 Center** or open the funding proposal to which the SF424 is linked and click the SF424 link in the summary area of the funding proposal workspace.
2. On the SF424 workspace, click **Submission Pre-Check** to confirm validation against the Grants.gov validation rules.
3. On the SF424 workspace, click **Submit to GrantsGov**. Click **OK** in the resulting *Submit to GrantsGov* form.

The SF424 states transition as it moves through the Grants.gov workflow. Refresh the page periodically to see the updated status.

Submit a Funding Proposal to a Sponsor

When a funding proposal has gone through final review and entered the *Pending Submission to Sponsor* state, as the assigned specialist, you can submit the proposal to the sponsor. If necessary, though, you can instead return it to the *Specialist Review* state for reevaluation and the opportunity to request changes and additional reviews. Review the Request Changes or Additional Information section for more information.

Submit to a Federal Sponsor

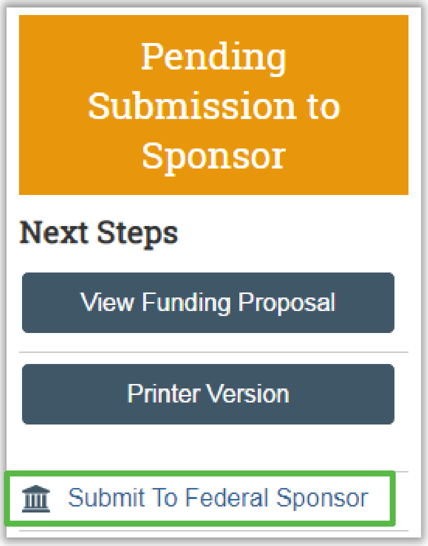
Many federal submissions can be submitted via system-to-system in PAM or via the sponsor's eRA system.

If the funding proposal is a federal system-to-system, review the Submit an SF424 via System-to-System section for additional submission details. You will also need to complete the steps as outlined below.

To submit to a federal sponsor

1. From the funding proposal workspace, click **Submit To Federal Sponsor**.

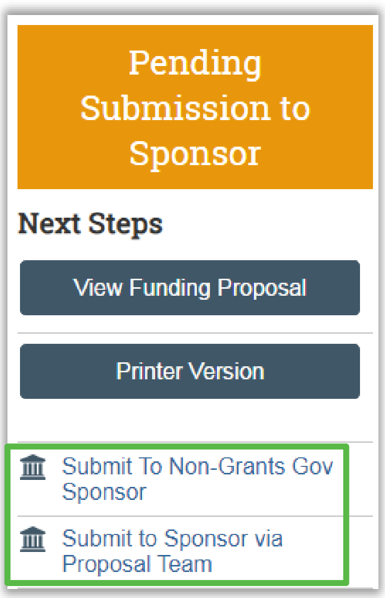
2. On the slide-in window, click **OK**.



Submit to a Non-Federal Sponsor

If the sponsor is not federal,

1. From the funding proposal workspace, select the appropriate submission activity:
    a. Click **Submit to Non-Grants Gov Sponsor** if OSR will make the submission.
    b. Click **Submit to Sponsor via Proposal Team** if the PI or GM will make the submission.
2. On the slide-in window, attach a copy of the Sponsor submission.
3. Click the checkbox to confirm the included document has been read and signed.
4. Click **OK**.



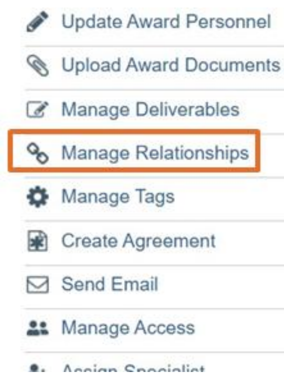
Additional Proposal Activities

Manage Relationships

Users with edit rights on a Proposal or Award 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 Funding Proposal page, or the 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* page. To remove an agreement, click the remove button.
5. Add any comments or supporting documents, then click **OK**.

To list 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 by users with view or edit access. 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.

When tags are updated on a funding proposal after submission, OSR receives an email notification. An email notification is triggered when the funding proposal is in the following states: *Pending Sponsor Review*, *Award Notification Received*, *JIT Response Required*, *Pending Sponsor Review Award Anticipated*, and *Awaiting Response from Federal Sponsor*. Review the Email Notifications section for more information.

When tags are updated on an award that is in any state, except for *Active*, *Advance Account*, or *Complete*, OSR receives a notification alerting them of the changes.

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**.

Add Attachments to a Funding Proposal

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

Use the **Add Attachments** activity to upload documents to the funding proposal at any point in the funding proposal workflow for documents that are not related to the proposal submission if needed. For example, upload any relevant sponsor communications, updated budgets, internal memos, or policy documents.

When the funding proposal transitions to *Pending Sponsor Review*, you can upload submission documents in the activity window:

- **Submit to Federal Sponsor** – Upload to *Question 2. Supporting Documents*.
- **Submit To Non-Grants Gov Sponsor** – Upload to *Question 1. Attach copy of the Sponsor submission forms here.*
- **Submit to Sponsor via Proposal Team** – Upload to *Question 1. Attach the final copy of the Sponsor submissions forms here*.

Send an Email

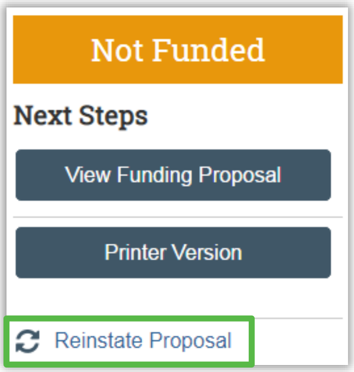
Users can send emails to selected recipients directly from the funding proposal workspace.

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**.

Reinstate a Proposal

When a funding proposal is marked as *Not Funded*, OSR can reinstate the proposal if necessary. On the funding proposal workspace, click **Reinstate Proposal**.



The funding proposal moves from a *Not Funded* state to a *Pending Sponsor Review* state.

Respond to a JIT Request

When a sponsor requests updated information for a submitted funding proposal, such as the NIH Just-In-Time (JIT), both the GM and OSR will perform steps in PAM. The GM 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 GM 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, the GM clicks **Send Grants Status Update**. In the *Send Grants Status Update* window, the GM selects:
   - Select **Post-Submission Update 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.
3. OSR receives the Grants Status Update in their PAM inbox and assigns a staff member using the **Assign Specialist** activity.
4. From the funding proposal workspace, OSR clicks **Request Post-Submission Update**. Click **OK**.

   The funding proposal transitions to the *Post Submission Update Requested* state and becomes editable. It appears in the GM's PAM inbox, and the system sends an email notification to the PI and GM. Review the Email Notification section for more information.

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

5. From the funding proposal workspace, the GM 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.

6. When the GM is finished making the changes to the funding proposal, the GM clicks **Submit Post-Submission Update** 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.

7. OSR reviews the JIT changes made by the GM. If OSR requires additional changes, OSR re-executes the process by clicking **Request Post-Submission Update**. It reappears in the GMs PAM inbox, and an email notification is sent to the PI and GM.
8. If no additional changes are required, OSR clicks **Send Email** on the funding proposal workspace to notify the GM 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 Proposal with the Sponsor Determination

When Caltech receives a determination from a sponsor, the GM should open the funding proposal and update the information. If OSR receives a sponsor determination, OSR can update the funding proposal as well. The funding proposal can be updated with pre-official and official award notifications.

To respond to pre-official award notification

1. 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

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

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

Note: An award can be created when the proposal is in any post-submission state.

Create an Agreement from a Funding Proposal

OSR can create and access related agreements (inclusive of a negotiated sponsored research agreement and TSA) directly from a funding proposal workspace. This activity is an important step in establishing relationships between funding proposals and agreements. OSR will likely create most agreements from funding proposals during the award acceptance phase. Review the *PAM Sponsored Research 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 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: OSR 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.

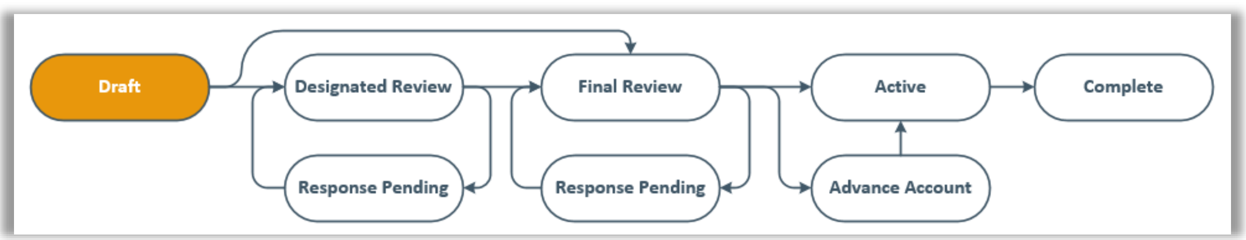
Creating and Activating Awards

Award Workflow

An OSR Specialist creates awards when Caltech receives an award notification from the sponsor (or is confident Caltech will receive one). The OSR Specialist enters all the necessary information in the award, sends it to the GM 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 Specialist for changes or activates the award, which formalizes the sponsor's authorization to spend funds and integrates with 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 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

Current State	During This State…	To Move to the Next State…	Next State

	Award is created	Create and save award	Draft
Draft **(Draft)**	OSR edits the award	Submit for Final Review	Final Review
Final Review **(Final Review)**	Assigned OSR Award Approver reviews the award and can request changes or activates the award	Request Changes Activate	Final Review – Response Pending Pending Activation
Final Review – Response Pending **(Response Pending)**	Assigned OSR Specialist makes appropriate changes and submits them to OSR Award Approver	Submit Changes	Final Review
Pending Activation **(Complete)**	PAM connects with and sends award information to Oracle.	Oracle creates an award and sends information back to PAM to update the status.	Active Advance Account
Advance Account **(Advance Account)**	At-risk spending is authorized.	SR submits an NGA Revised Award Modification to indicate advance account budget allocation is now authorized by the sponsor	Active
Active **(Active)**	Award can be viewed. Award Modification Requests can be submitted, and Award Modifications can be created.	Complete Approval of an Early Termination Award Mod	Completed Transferred Out Terminated

Create an Award

Specialist, can create a funding award once a funding proposal has entered any sponsor review state or has been awarded. This procedure shows the general process for setting up an award once your institution has received an official award notification from the sponsor.

Notes:

- The award's *Effort* page inherits the effort metric used in its parent funding proposal. Further, if the effort metric is months, the award also inherits the choice made in the proposal budget to represent effort and salary requested per calendar year or split into academic and summer months.
- To authorize spending before receiving the award notification, set up the first budget period's allocation as an advance account. Review the Activate an Award with an Advance Account section for more information.

To create an award

1. From your PAM inbox or the Grants Funding Proposal page, click the name of the proposal for which award notification has been received.

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

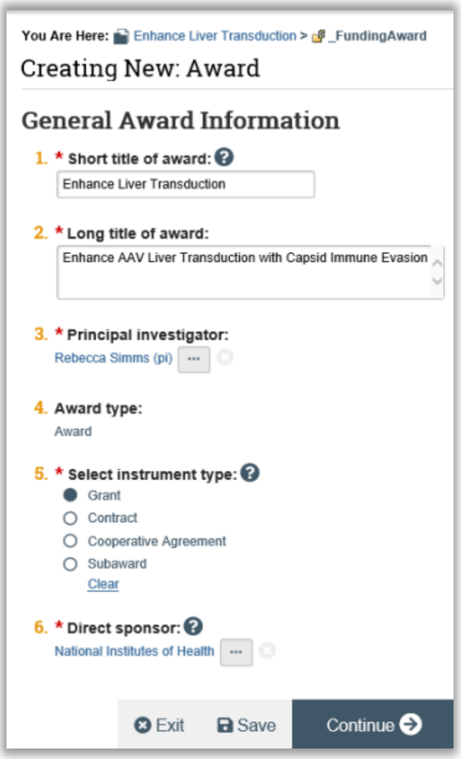
3. Fill out the resulting form and attach the sponsor award letter or notice to the *Direct Sponsor Award Documents* section. Click **OK**.

   The proposal transitions to the *Award Notification Received* state and sends the PI and GM an email notification.

4. From the funding proposal workspace, click **Create Funding Award**.

5. Complete each page of the award and click **Continue**.

   - On the *General Award Information* page, upload the official award documents. The award letter or notification attached during the **Award Letter Received** activity automatically populates.



   - For guidance on completing the *Financial Setup* page, review the [Manage Financial Accounts]() section for detailed instructions.
   - For guidance on completing the *Budget Allocations* page, review the [Manage Award Allocations]() section for detailed instructions.
   - For guidance on completing the *Budget Reconciliation* page, review the [Reconcile an Award Budget]() section for detailed instructions.

6. On the *Personnel* page, award personnel are auto populated based on the information entered on the associated funding proposal. When finished, click **Continue**.

   - Click the pencil icon to update the personnel's role of FCOI Investigator status.
   - Click the remove icon to delete a person from the list.
   - Click **Add** to add new Caltech personnel to the award.

7. On the *Effort* page, edit the effort details for a person as needed. When finished, click **Continue**.

   Notes:

- While an award is in the *Draft* state, you can delete any personnel effort rows. However, once an award enters the *Active* state, you cannot remove rows for authorized allocations.
- If funding proposal budget figures were imported on the *Budget Reconciliation* page, the start and end dates default to those of the authorized allocation, and the Effort and Salary Requested fields default to the values from the *Personnel Costs* page in the funding proposal's budget.
- How months are represented (either calendar, or academic and summer) reflects the choice made in the funding proposal's budget. If the Salary Requested value is less than the Effort value, the difference appears in the Cost Share column.

8. On the *Terms and Conditions* page, select the terms and conditions that apply to this sponsor and this award. Click **Add** to include any special terms and conditions stipulated by the award that are not in the list above. Click **Continue**.
9. On the *Deliverables* page, click **Add** to define award deliverables. Deliverables are activities or work assignments that must be completed to comply with the award's terms and conditions. See the Manage Deliverables section for more information.
10. On the *Compliance Review* page, the default selections replicate those found on the *Compliance Review* page of the linked funding proposal. Update the selections, if necessary, and identify any compliance restrictions.
11. On the final page of the award, follow the instructions. Validate the award and resolve any errors. Click **Finish**.

You are returned to the award workspace.

Manage Financial Accounts

Financial accounts are defined in the Grants system to capture information required by Oracle. This allows the two systems to communicate when integrated.

Budget allocations can reference a financial account, and this is required for authorized and advance account allocations. Review the Manage Award Allocations section for more information.

To create a new financial account

1. Open the desired award from the Grants Awards page.
2. From the award workspace, click **Edit Award**.
3. Navigate to the *Financial Setup* page.
4. Under *Financial Accounts*, click **Add**. The *Add Financial Account* form appears.
5. Type a name for the account.
6. Enter the required information needed for your financial system.
7. Select the indirect cost and base types.

   This selection determines the indirect cost calculation used during budget reconciliation for all allocations that reference this financial account.

   Note: Once the award is activated, changing this selection does not change the indirect calculations for allocations referencing this financial account.
8. Select the Caltech product, class, and fund.

9. Select whether F&A splits are required.

   Note: In cases where an F&A split is directed 100% to a division other than the Responsible Division, PAM permits the entry of a single row for 100% in the F&A splits sub-section. Click **Add**, and add the division and percent pledged in the *Add Caltech division percentage pledge* form. Click **OK**.

10. Add project activities to the Financial Account.

    - Click **Add** to add a new project activity. Add the activity ID, the project activity start and end dates, and the indirect cost rate.
    - Click **Update** to edit an existing project activity.

    Notes:

    - On a new award, the Activity ID needs to be one (01).
    - The dates entered here sets the activity date in Oracle. For example, if only Year 1 funding is authorized from the sponsor, the activity date should be just the first year and not entire project period. The activity cannot be longer than the financial account dates, but it can be shorter.

11. When done setting up this financial account, click **OK**, or **OK and Add Another**.

To create a new financial account from an existing one

1. On the *Financial Setup* page, to the right of the desired account, click **Copy**.
2. In the *Copy Financial Account* form, make any changes to the information needed for the account you are setting up.
3. When done, click **OK**.

To update an existing financial account

1. On the *Financial Setup* page, click **Update** for the financial account you want to modify.

   You can update financial accounts in an award until the award enters the *Active* state. After that, you must create a Financial Account Change modification to update the account. Review the Update Financial Accounts section for more information.

2. Update the information in the *Edit Financial Account* form.
3. Click **OK**

To delete a financial account

1. On the *Financial Setup* page, click the Delete button to the right of the desired financial account.

You can delete a financial account only if:

1. **The account is not referenced by allocations in the award or any of its modifications. Otherwise, you must first remove or change that reference in those allocations.**
2. **The award has not entered the *Active* state. Otherwise, you must create a Financial Account Change modification to delete the account. Review the Update Financial Accounts section for more information.**

Manage Award Allocations

The key to setting up an award or an award modification is defining allocations. When you create an award, the system automatically creates non-authorized allocations with $0 amounts based on the number of budgets and periods in the funding proposal(s).

Note: This does not occur in cost share, subaward and external component budgets.

You can:

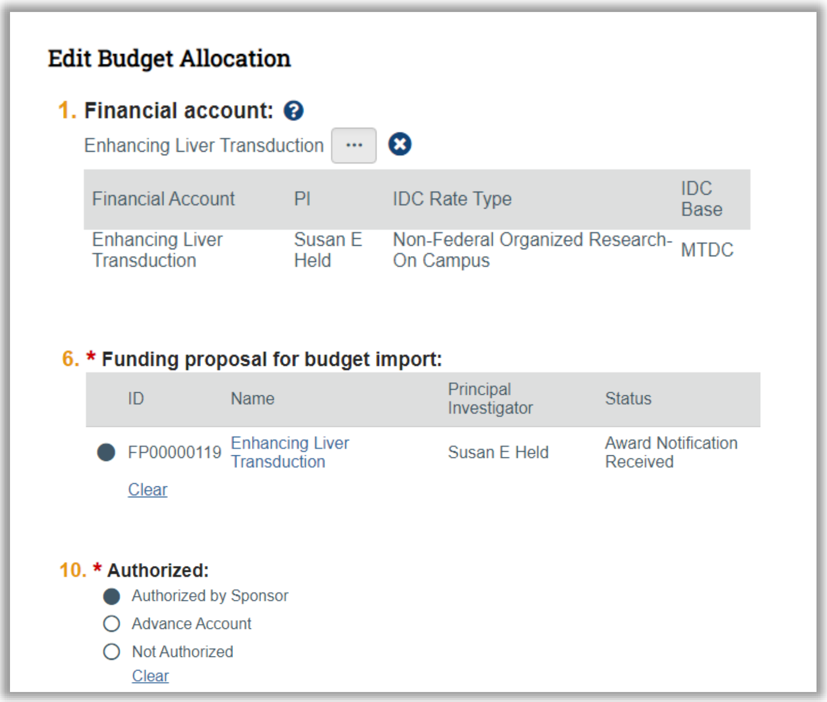
- Complete the default allocations.
- Delete the default allocations or any other allocations you may have created.
- Create new allocations from scratch.
- Create new allocations by copying existing ones and modifying the information as needed.

Note: If funds for all budget years have been awarded at the beginning of the project, you can remove extraneous allocations and reconcile the funds for each period into a single allocation.

To complete the default award allocations

1. Create a new award or open an existing award for editing.
2. Ensure the start and end dates on the *General Award Information* page are correct.
3. On the *Budget Allocations* page, click the name of a default allocation.

   The *Edit Budget Allocation* form appears.



4. Select the appropriate financial account for this allocation.

   If you characterize this allocation as *Authorized by Sponsor* or *Advance Account*, a financial account is required.

5. If the sponsor has released funds for this allocation, select **Authorized by Sponsor**.

   Note: To learn how to set up an allocation to document institutional approval of advance spending, review the Activate an Award with an Advance Account section.

7. Type the direct and indirect amounts awarded for this budget allocation. The total awarded amount shown on the *Budget Reconciliation* page and the workspace is the sum of all authorized allocations.

8. Type this allocation's indirect rate. This rate is used to calculate indirect costs on the *Budget Reconciliation* page.
9. Enter any other required information.
10. When done, click **OK**. The *Budget Allocations* page reflects your changes.
11. Repeat the steps for each default allocation to complete. The procedure is the same for updating any additional allocations you have created.

To delete an allocation

1. On the *Budget Allocations* page, click the Delete button to the right of the desired allocation.

The allocation no longer appears on the *Budget Allocations* page.

To create a new allocation

1. On the *Budget Allocations* page, click **Add**.
2. Complete the *Add Budget Allocation* form.
3. When done, click **OK**.

The new allocation appears on the *Budget Allocations* page.

Note: The dates for default allocations that PAM creates align automatically. When adding new allocations, the allocation dates need to align. The periods need to have the same dates and the allocations need to match. There should not be gaps or overlaps between the allocations. For example, if Year 1 is 2023 and Year 2 is 2024, that must be true for all allocations in Year, across all financial accounts. Also, if Year 1 ends on 12/31/2023, Year 2 needs to start on 1/1/2024 so there is no gap or overlap. The financial integration enforces this on new awards.

To create a new allocation from an existing one

1. On the *Budget Allocations* page, click **Copy** to the right of the allocation to use as a template.

   The *Copy Budget Allocation* form appears. It contains the same information as the original allocation, except the original's name is prefixed with "Copy of" and the authorization defaults to "Not Authorized."
2. Edit the name and other information as needed for the new allocation.
3. When done, click **OK** to save the changes.

Reconcile an Award Budget

OSR can complete the budget reconciliation or contact the GM to complete it via Ancillary Review. Review the Send to Division for Budget Reconciliation section for more information.

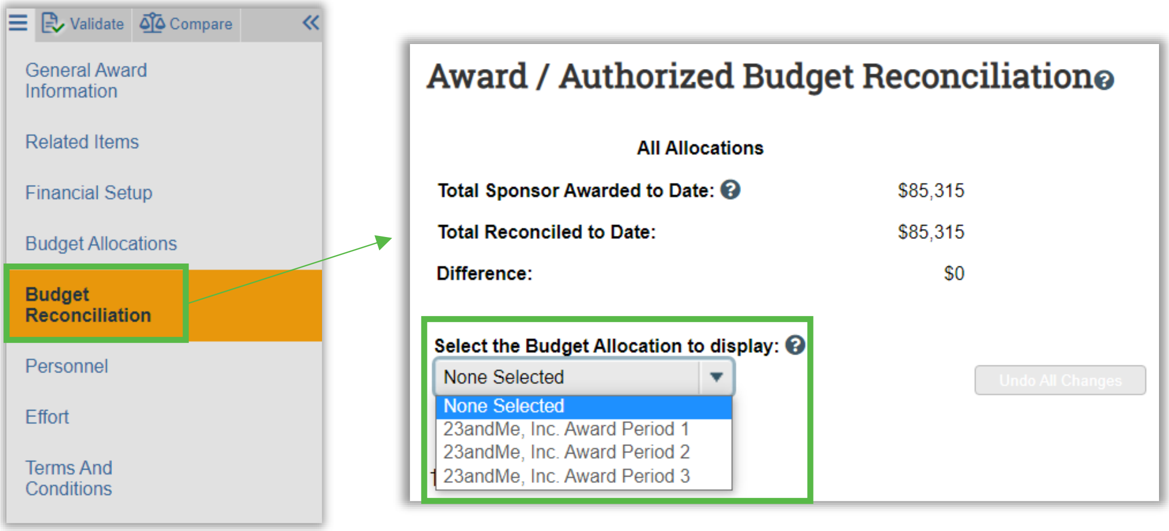
Note: Advance Accounts are set up with $0. The budget will not be reconciled during this stage.

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, select the first allocation that needs to be reconciled, complete that reconciliation, and save it. Then, 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.

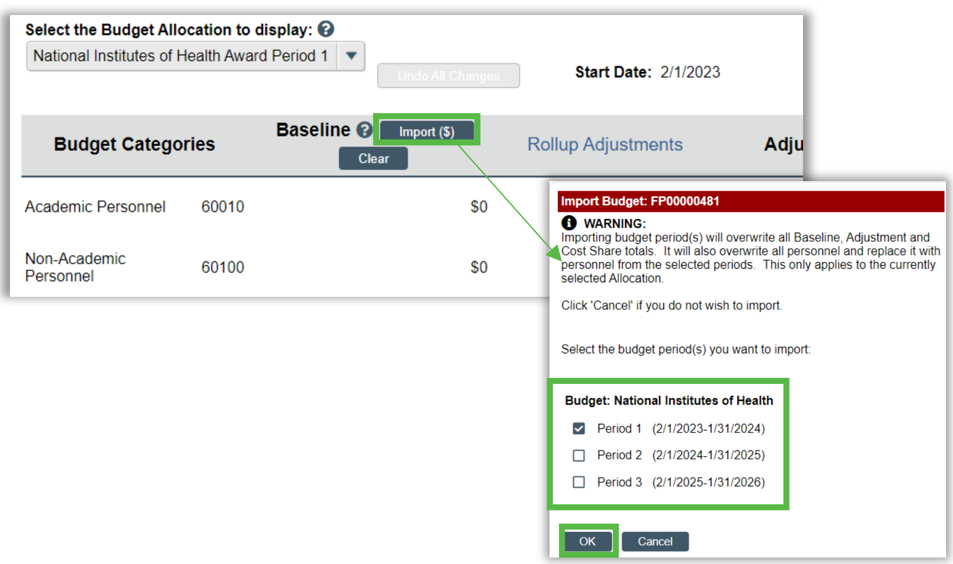


4. There are two approaches available to populate the budget: Importing from a proposal budget or manually adding the authorized amounts.

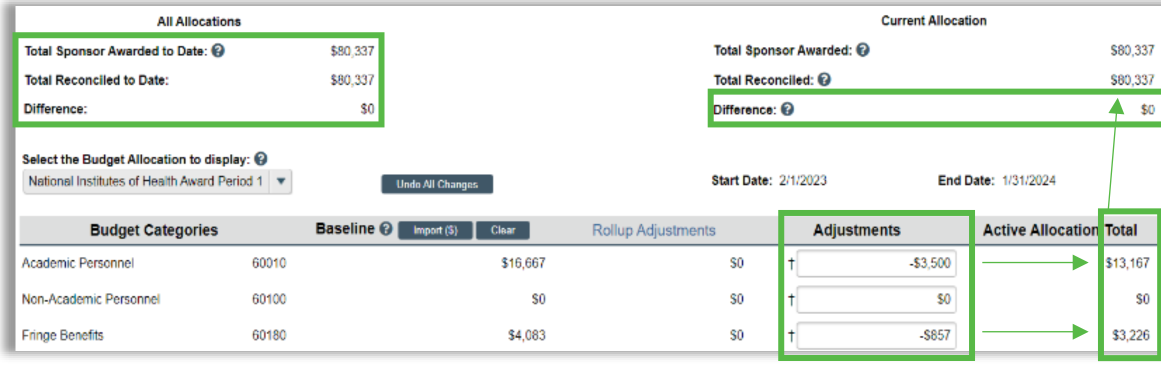
Option 1: Import Budget

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**.



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.**



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

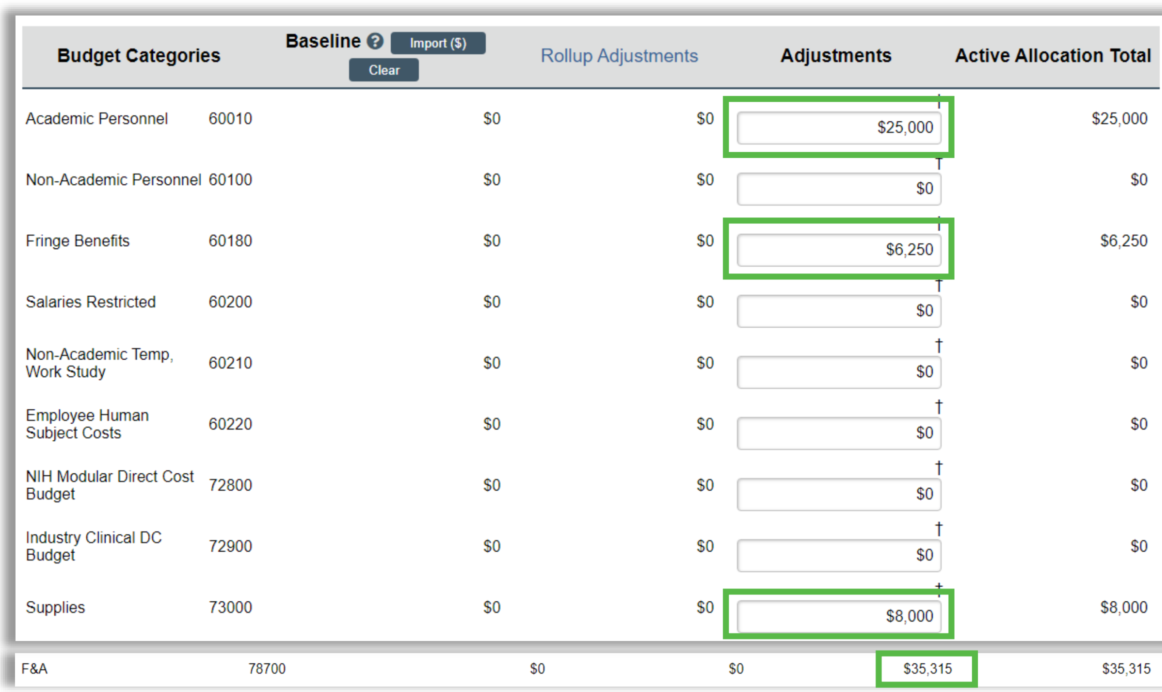
Note: The system calculates indirect cost by including categories flagged with the dagger symbol in the indirect cost base, then multiplying the base by the indirect rate specified in allocation setup. The indirect cost base specified in allocation setup determines which budget categories show the dagger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

Option 2: Manual Entry

Manual entry is necessary for awards related to proposals submitted in InfoEd.

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

Note: The entry for awards related to proposals submitted in InfoEd will all be positive since they will be entered here from scratch.



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 either exit the SmartForm or continue to another page.

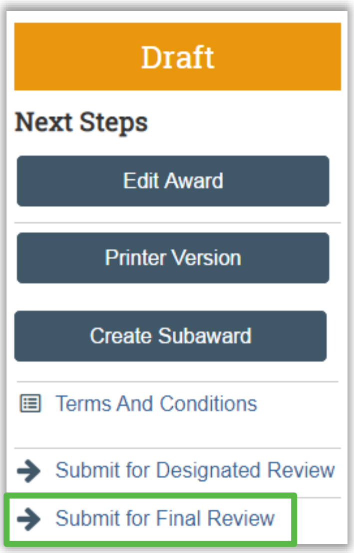
You are either returned to the award workspace or can move forward with award setup.

Send for Final Review

When an award or award modification in the *Draft* state is complete, as the assigned Specialist, you can submit the project directly for final review yourself.

To submit for final review

1. From the award workspace, click **Submit for Final Review**.



2. In the resulting form, select a different award approver if necessary.
3. Optionally add comments and supporting documents.
4. When done, click **OK**.

The award appears in the assigned approver's PAM inbox, and they receive an e-mail notification.

Complete a Final Review

When an award or an award modification enters the *Final Review* state, as the assigned approver, you receive an e-mail notification, and the project appears in your PAM inbox. You must review the project and do one or more of the following:

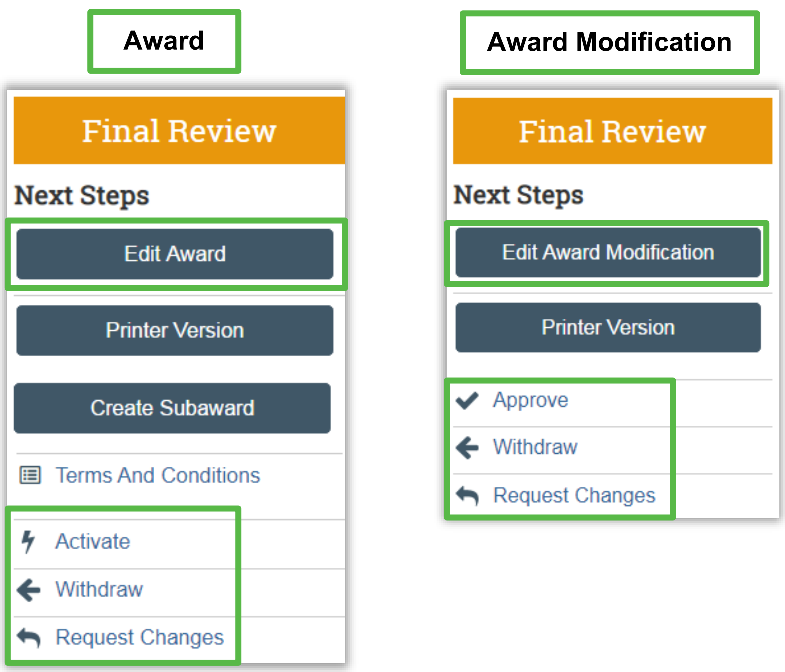
- Make corrections
- Request changes
- Withdraw the project

- Activate the award (or approve the award modification)

If necessary, you can assign a different approver using the **Assign Award Approver** activity in the award or award modification workspaces.

To complete a final review

1. Log on as the assigned approver.
2. Open the project by clicking its name in the e-mail notification or from your PAM inbox.
3. From the workspace, click **Edit Award** or **Edit Award Modification**.



4. Examine all the project pages and verify everything is correct, including attached documents.
5. Make any corrections you can do yourself.
6. When done, click **Save**, and then click **Exit** to return to the workspace.
7. To ask the Specialist to make corrections:
   a. From the workspace, click **Request Changes**.
   b. In the *Request Changes* form, type instructions, and click **OK**.

      The project enters the *Final Review-Response Pending* state and appears in the assigned Specialist's PAM inbox.

9. If you determine the project should no longer be pursued, or must be started over, click **Withdraw**, complete the resulting form, then click **OK**.

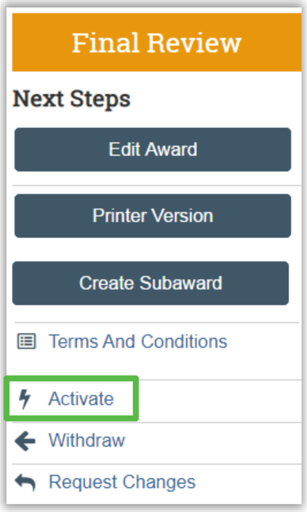
   The project enters the *Withdrawn* state and can no longer be edited or acted upon.

10. If you determine the project is acceptable and needs no further changes, on the workspace click **Activate** for an award, or **Approve** for an award modification. Review the Activate an Award section for more information.
11. Complete the resulting form if applicable, then click **OK**.

Activate an Award

After the award approver completes the Final Review and no further changes are needed, the award can be activated.

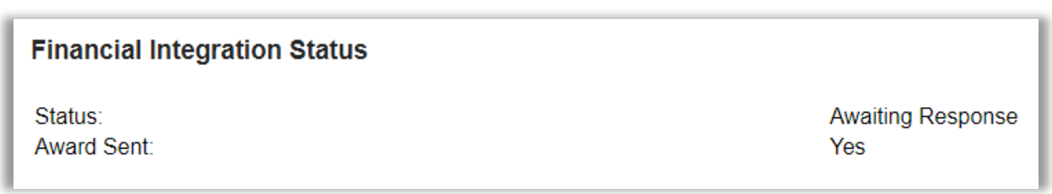
1. On the award workspace, click **Activate**.
2. On the resulting form, click **OK**.



The award transitions to the *Pending Activation* state. Review the [Pending Activation](#) section for more information.

Pending Activation

Once the award approver clicks **Activate** on the award workspace, the award transitions to the *Pending Activation* state. A *Financial Integration Status* section appears on the award workspace, which shows the status of the connection between PAM and Oracle. While the connection is pending, the award state is *Pending Activation*, and the integration status is *Awaiting Response*. Refresh the page to see the award state transition progress. Once the award is created in Oracle, it will send information back to PAM and the status updates to *Active* or *Advance Account*, depending on the authorization selected in the award. If there is an error, the status will say *Error*. If so, OSR corrects the error and clicks the **Resume Export to External System** activity.



Note: Review the [Oracle](#) section for detailed information on the fields that map to/from PAM and Oracle.

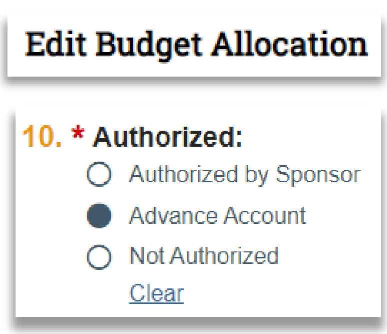
Activate an Award with an Advance Account

If OSR approves an advance account request to authorize spending before an official award notification is received, or before the sponsor releases funds for a budget period, you can signal users that this is being done by putting an award or award modification into the *Advance Account* state.

To establish an advance account

1. From your PAM inbox or one of the tabs on the Grants Awards page, open the desired award or modification.
2. Click **Edit Award** or **Edit Award Modification** in the workspace.
3. On the *Budget Allocations* page, edit the desired allocation by doing one of the following:
    - For awards:
        - Click **Add** to create a new allocation.
        - Click the name of an existing allocation to edit it.
    - For award modifications:
        - Click **Add** to create a new allocation.
        - Click the **[Add]** or **[Update]** link in the Action column to update a default allocation.
        - Click the **Update** button under *Edit updated allocations* to update an allocation that has already been updated from its default instance.
        - Click the **Update** button under *Edit new allocations* to update a newly created allocation.

    Review the [Manage Award Allocations](#) section for more information.
4. On the resulting form, select **Advance Account**.



5. Complete or update the other questions as needed, then click **OK**.
6. On the *Budget Allocations* page, click **Save**, and then **Exit**.
7. Initiate a review of the award or modification. Review the [Send for Final Review](#) section for more information.

    Note: Advance Accounts are set up with $0.00. OSR will not ask the GM to reconcile the budget during this stage. However, authorized Advance Accounts will show up for selection on the *Budget Reconciliation* page.

When the assigned approver is satisfied with the award or modification, they activate the award or approve the modification. This moves the award or modification to the *Advance Account* state. Review the [Activate an Award](#) and [Pending Activation](#) sections for more information.

Send Award Summary

The OSR Specialist will notify the project team that an award or an award modification is activated/approved by using the **Send Award Notice** activity. The OSR Specialist will use this activity to attach award documents, such as the Cognos report. This activity can be accessed when an award is in *Active* and *Advance Account* states.

1. On the award workspace, click **Send Award Notice**.
2. Add any additional recipients that should receive an email notification in Question 1. *Select additional recipients.*
3. Question 2. *Select award documents to send* displays the documents in the set and allows selection of one or more of those documents. The documents selected will be sent in the corresponding email notification.
4. Click **Add** under Question 3. *Award Documentation* to upload documents. Multiple documents can be attached. Click **OK** to close the slide-in window or click **OK and Add Another** to continue adding attachments.
5. Include any comments in the text box under *Additional Comments*.
6. Click **OK**.

The execution of the **Send Award Notice** activity on an award triggers an email notification. The recipients are the PI and GM (administrative contact). If the "Notify All Admin Editors" property on the responsible division is marked as **Yes**, then all Grants Administrative Editors for that division will also receive the email notification. If any additional recipients were identified in Question 1 of the activity form, they will receive the email notification as well.

The documents selected in Question 2 or uploaded to Question 3 of the **Send Award Notice** activity and Official Award Documents (question 19) on the *Award General Information* page of the parent award are attached to the email notification. Any comments made in the *Additional Comments* section of the **Send Award Notice** activity are also added to the email notification. Review the Email Notifications section for more information.

Additional Award Activities

Upload Award Documents

Only OSR will upload award documents.

1. On the award workspace, click **Edit Award**.
2. On the *General Award Information* page, upload award documents to the **Official Award Documents** section.
3. Other award documents can be uploaded to the **Other Award Documents** section on the *General Award Information* page.

Manage Relationships

Users with 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 Funding Proposal page, or the 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* page. To remove an agreement, click the remove button.
5. Add any comments or supporting documents, then click **OK**.

To list 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 Deliverables

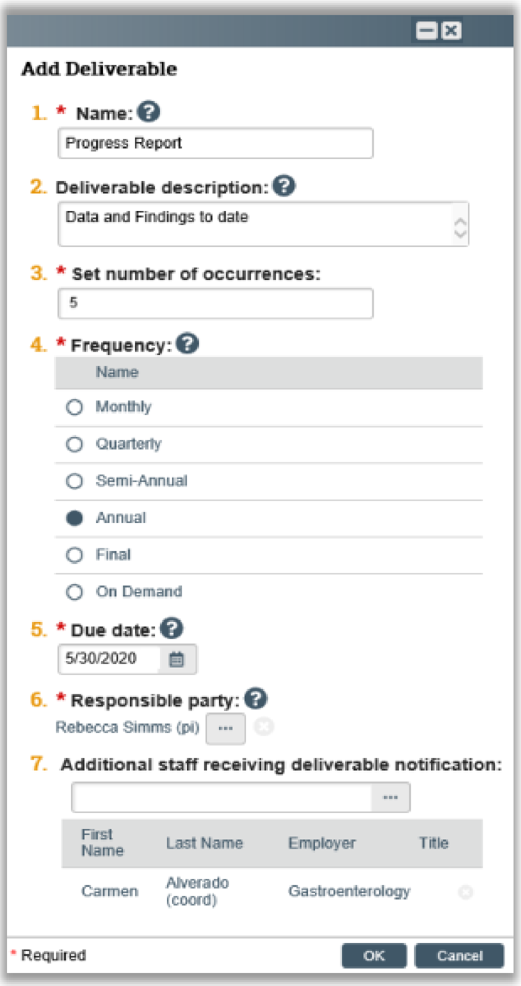
Deliverables created in PAM as part of OSR's award set-up on the *Deliverables* page or using the **Manage Deliverables** activity provide a way to track sponsor and Caltech requirements for the award, such as deadlines, special reports, and progress reports. OSR defines the deliverables in PAM during initial award set-up but provides them to the sponsor outside the system.

OSR always manages deliverables from the award throughout its lifecycle, regardless of modifications that may be created for it.

Add a Deliverable

If notifications have been configured, as a deliverable's due date approaches, the system sends e-mail notifications to the assigned Responsible Party and any other designated recipients.

1. When the award is in a *Draft* state, open the award from your PAM inbox or the Grants Awards page.
2. On the award workspace, click **Edit Award** to open the award SmartForm.
3. On the *Deliverables* page, click **Add**. The *Add Deliverable* form appears.



4. Enter a descriptive name for the deliverable.

   Don’t use period-specific descriptions for the name, such as "Progress Report for Period 1." Instead, use “Progress Report.” If you select multiple occurrences of the deliverable, PAM automatically suffixes the name with a numeral indicating its place in the series.

5. Set the number of occurrences.

   For example, if there are five budget periods and the sponsor requires this deliverable at the end of every period, select 5.

6. Select the frequency in which the deliverable must be produced.

   Note: If you select *Final* or *On Demand*, PAM creates only one occurrence, even if you specified more than one occurrence above.

7. Type or select the date the deliverable is due.

   If there will be multiple occurrences of the deliverable, specify the date the first occurrence is due. The system calculates the due dates for the other occurrences based on this date and the frequency.

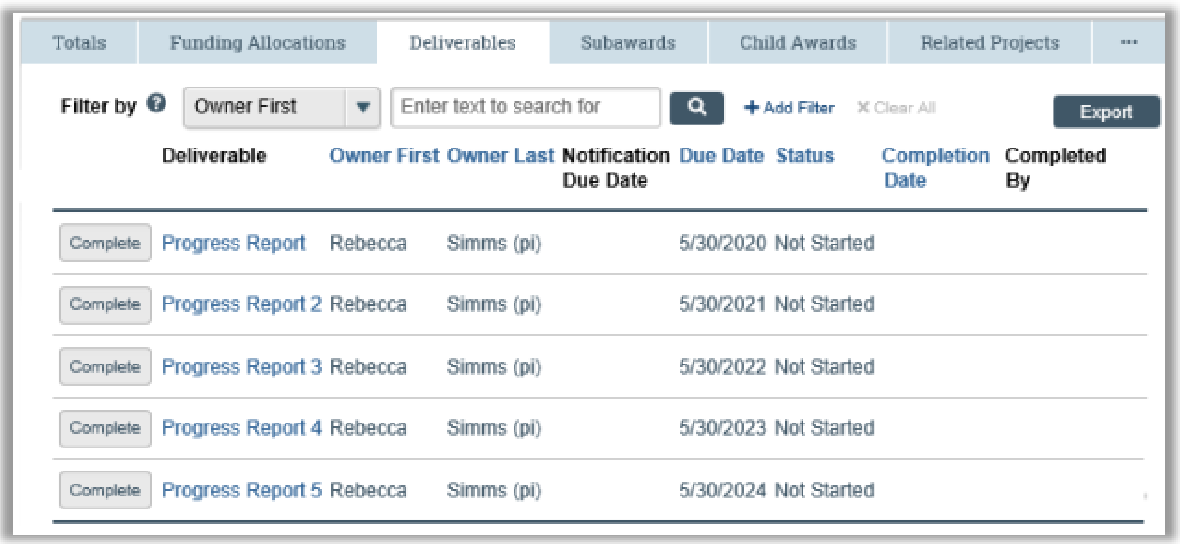
8. Reassign the Responsible Party, if needed, by clicking the ellipsis.

9. Complete any optional fields as needed.

10. Once you have completed the form, click **OK**.

11. Click a deliverable name to re-open it for further editing, if necessary, or click the **Delete** button to remove it.
12. When satisfied with the deliverables defined for the award, click **Save** or **Continue**.

Note: The deliverables listed on the *Deliverables* page of the award SmartForm also appear on the **Deliverables** tab in the award workspace for the Responsible Party and other personnel you designated to receive notifications.



	Deliverable	Owner First	Owner Last	Notification Due Date	Due Date	Status	Completion Date	Completed By
Complete	Progress Report	Rebecca	Simms (pi)		5/30/2020	Not Started		
Complete	Progress Report 2	Rebecca	Simms (pi)		5/30/2021	Not Started		
Complete	Progress Report 3	Rebecca	Simms (pi)		5/30/2022	Not Started		
Complete	Progress Report 4	Rebecca	Simms (pi)		5/30/2023	Not Started		
Complete	Progress Report 5	Rebecca	Simms (pi)		5/30/2024	Not Started		

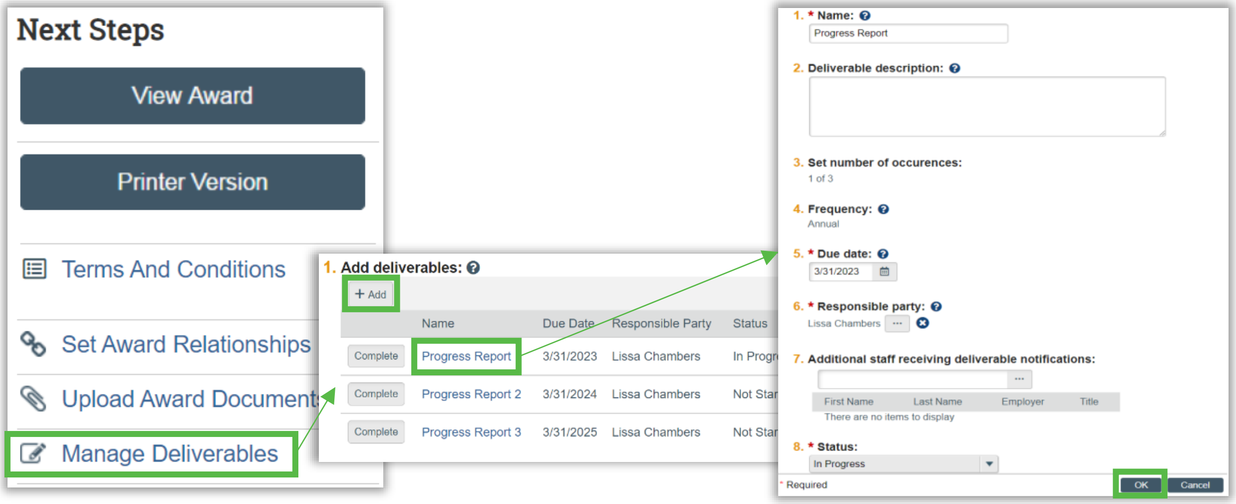
When a deliverable has been produced, the next step is to mark it as *Complete*. Review the Complete Deliverables section for more information.

Note: The system is configured to send e-mail notifications at desired intervals before the deliverable due dates, until the deliverables are marked *Complete*.

Edit a Deliverable

The assigned Specialist and division personnel with edit rights on the award can add and modify deliverables using the **Manage Deliverables** activity in the award workspace.

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**.

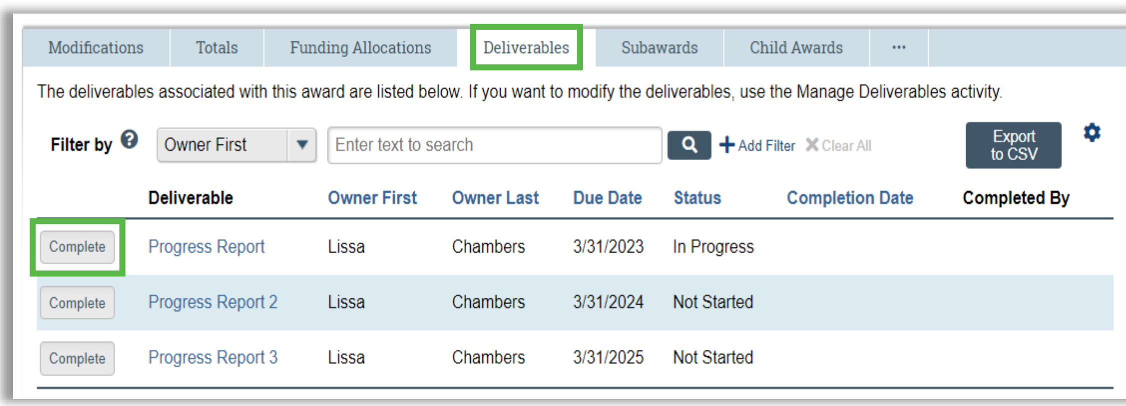


Note: PAM will send reminder emails to responsible parties 90, 60, and 30 days prior to the deliverable due date if the deliverable is outstanding.

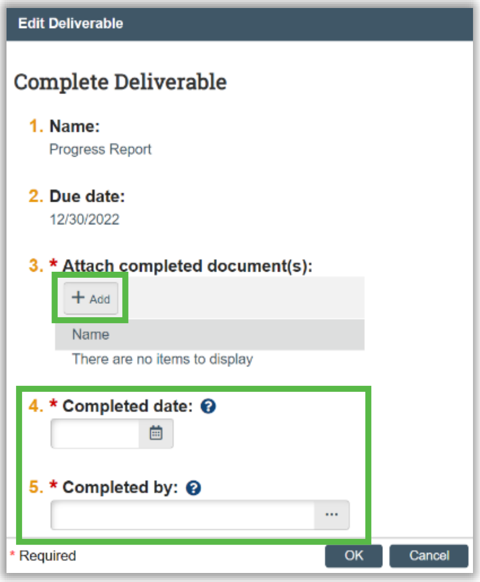
Complete a Deliverable

When a deliverable is complete, the assigned Specialist or the GM, 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.



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. Fill out the rest of the *Edit Deliverable* form and 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

SR can create and access related agreements directly from an award workspace. This activity is an important step in establishing relationships between awards and agreements. OSR will likely create most agreements from funding proposals funding the award acceptance phase. Review the *PAM Sponsored Research 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 Award 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: OSR 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.

Withdraw an Award or Award Modification

Occasionally, it may be necessary to withdraw an award or an award modification. For example, a duplicate may have been created, or the PI might decide not to carry out the project because a better one has been awarded and the PI does not have time for both.

If you're the assigned specialist for an award or award modification, you can withdraw the project while it is in the Draft state or any review-related state. Once you withdraw an award or award modification, no users can edit it, and only activities that do not change the project state are available.

To withdraw an award or award modification

1. Log on as the assigned specialist.
2. Open the project by clicking its name from your PAM inbox or from one of the tabs on the Awards page.
3. From the workspace, click **Withdraw**.
4. Type an explanation in the *Withdraw* form, then click **OK**.

   The project enters the *Withdrawn* state, and the system sends a notification to the PI, the assigned specialist, and the assigned approver.

Close Out an Award

When an active award's period of performance ends, OSR performs a series of tasks to close out the project. This should include verifying completion of all deliverables. Review the Edit a Deliverable and Complete a Deliverable sections for more information. In addition, as the assigned Specialist, you should advance the award to the *Completed* state in the system as described below.

To close out an award

1. From your PAM inbox or one of the tabs on the Grants Awards page, click the name of the active award to close out.
2. From the award workspace, click **Complete**.
3. In the *Complete* dialog box, optionally add a comment and supporting documents, then click **OK**.

The state of the award and of all associated funding proposals changes to *Completed*. It is no longer possible to perform any operations on them.

Requesting, Creating, and Submitting Award Modifications

Requesting an Award Modification

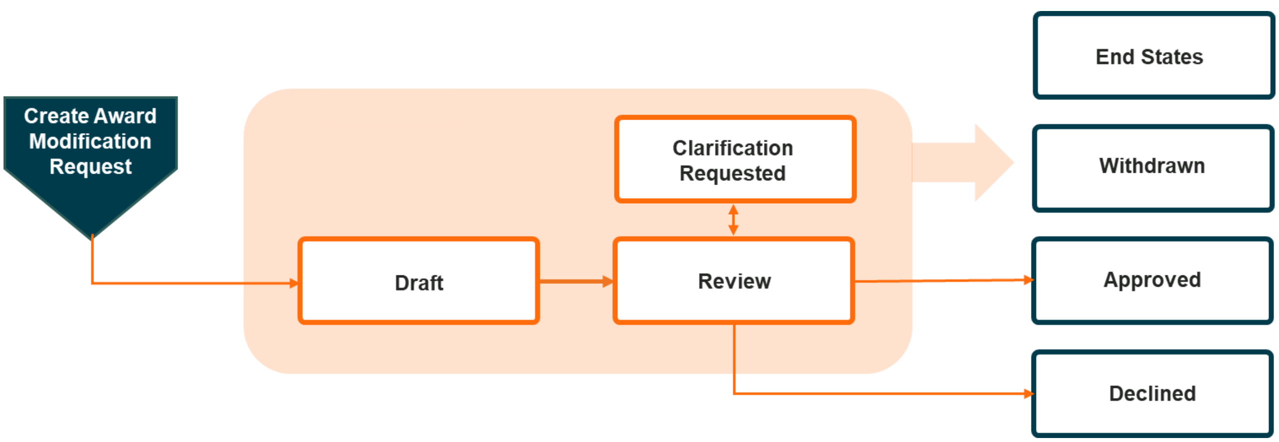
Award Modification Request Workflow

There are times when it is necessary to make a change to an active award. The GM 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 GM creates, edits, and submits the Award Modification Request to OSR for review. OSR can return the request to the GM for additional edits, or they can approve or decline the request. GMs 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 below provides a 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 GM	Submit to Specialist Withdraw	Review Withdrawn
Review	SR reviews the Award Mod Request and can approve, decline, or	Approve Decline Request Changes	Approved Declined Clarification Requested

	request changes. The GM can withdraw it.	Withdraw	Withdrawn
Clarification Requested	GM makes the necessary edits to the Award Mod Request	Submit Clarifications Withdraw	Review Withdrawn

Review an Award Modification Request

Once an award modification request is created and submitted, as the assigned OSR Specialist, you must review the modification request and either request clarifications, approve, decline, or withdraw it.

To review an award modification request

1. Open the award modification request from the notification you received or from your PAM inbox.
2. From the award modification request workspace, click **View Modification Request**.
3. Review the modification request and any associated documents. When done, click **Exit**.
4. Based on your review, click the appropriate activity in the workspace:
    - If the modification request is unacceptable, click **Decline**.

      The request enters the *Declined* state, and no further activity is possible except logging comments and copying the request as a basis for a new request.
    - If you need more information, click **Request Clarifications**.

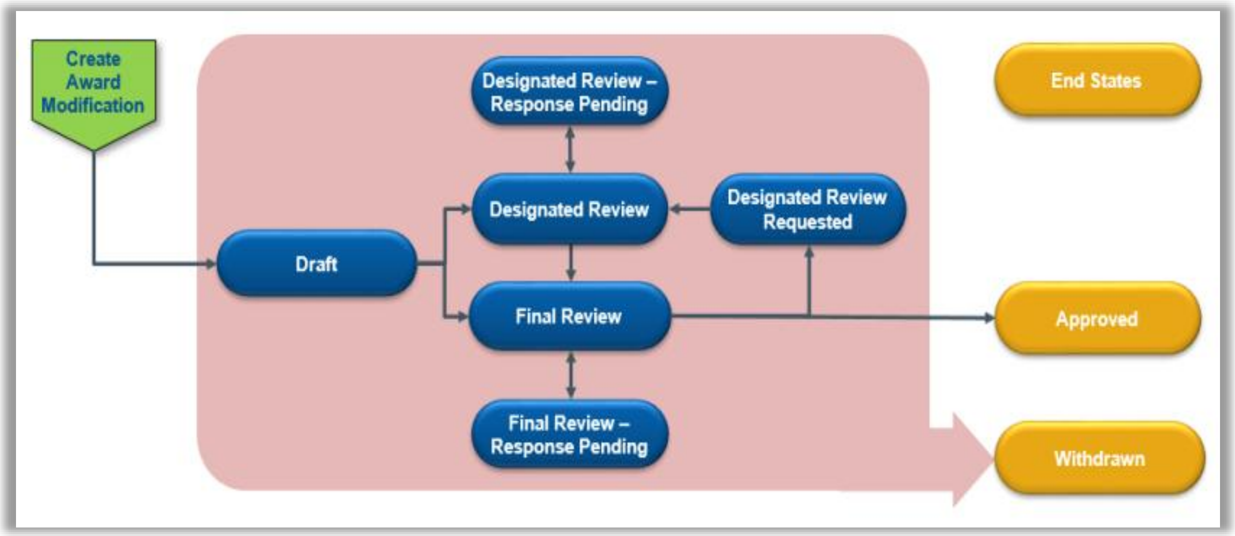
      The modification request enters the *Clarification Requested* state and appears in the submitter's PAM inbox. They can edit the request to provide the requested information and return the modification request to the *Review* state.
    - If you are satisfied with the modification request, reassign the Specialist on the award modification request to the Award Management Specialist (AMA). List in the comments that the award modification request is approved, along with any additional information and click **OK**. The AMA will click **Approve** on the award modification request workspace.

      The award modification request enters the *Approved* state. The AMA will then initiate and complete the award modification. Review the Creating and Submitting Award Modifications section for more information.

Creating and Submitting Award Modifications

Award Modification Workflow

An OSR Specialist creates an award modification when an GM submits an award modification request to change an active award and/or a sponsor sends OSR an authorization for a change. PAM supports a wide variety of modification types, such as supplements, re-budgets, and demographic changes. The award modification goes through the same review cycle as an award, as described in the Award Workflow section. When the Award Approver performing the final review approves the modification, PAM updates the award with the specified changes. Award modification requests have their own review cycle, as described in the Award Modification Request Workflow section.



Award Modification State Transitions

The following table lists the activities that change the state of the award modification:

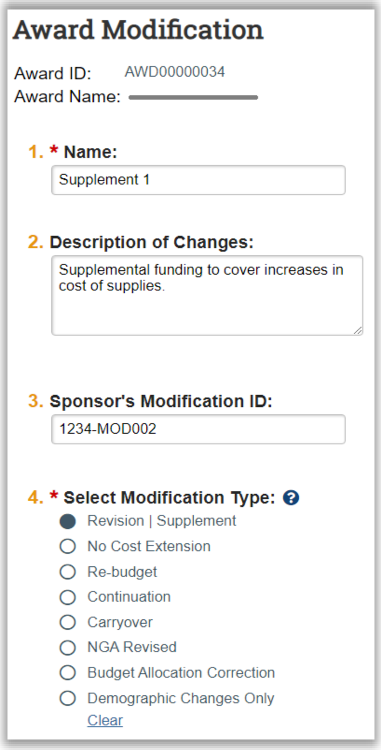
Current State	During This State…	To Move to the Next State…	Next State
	Award Mod is created	Create and save Award Mod	Draft
Draft	Award Mod can be edited by OSR Specialist	Submit for Final Review Withdraw	Final Review Withdrawn
Final Review	SR Award Approver reviews the Award Mod and can approve, request changes, or withdraw it	Approve Request Changes Withdraw	Approved Final Review – Response Pending Withdrawn
Final Review – Response Pending	SR Specialist makes the necessary edits to the Award Mod	Submit Chances Withdraw	Final Review Withdrawn

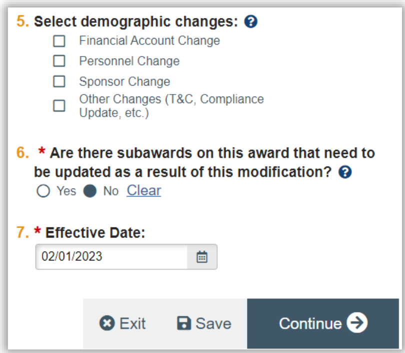
Create and Submit an Award Modification

This topic shows the general procedure for creating an award modification. Other topics in this guide provide details on completing modifications to achieve specific objectives. As a Specialist, you can create a modification for awards that are in the *Active* or *Advance Account* state.

To create an award modification

1. From your PAM inbox or the **Active Awards** tab on the Grants Awards page, click the name of the award to modify.
2. From the award workspace, click **Create Award Modification**.
3. On the first page of the modification, give the modification a meaningful name.





4. Select the modification type.

   Note: Only modification types *not already in process* are shown.

5. Select a demographic change, if needed.

   Note: You can select a demographic change in combination with a modification type or by itself if you select **Demographic Changes Only** as the modification type.

6. Select whether the modification will impact any subawards. If you select **Yes**, when the modification gets approved, all subawards transition to the *Subaward Review/Update Required* state and must be approved by a member of the OSR Awards Management team with the Contract Specialist role before they can be activated.

7. Enter any optional information needed.

8. When you've completed this page, click **Continue**.

9. Continue through the other modification pages, specifying the needed changes to the award.

   Note: The modification type selected on the first page determines which subsequent pages appear.

10. When satisfied with the modification, click **Finish** on the last page.

11. Submit the modification for review by clicking **Submit for Final Review** on the award modification workspace.

The award modification appears in the assigned award approver's PAM inbox, and they receive an e-mail notification. When the modification gets approved, the parent award updates to reflect the changes specified in the modification.

Types of Award Modifications

PAM offers a variety of award modification types for selection. Only one modification type can be selected in a single request; however, it can be paired with demographic changes.

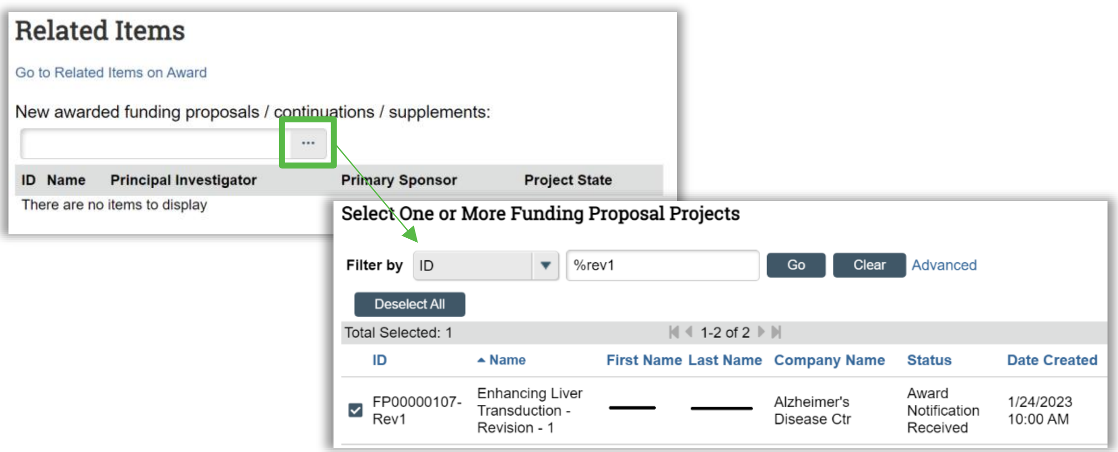
Revision | Supplement

When unanticipated costs arise within the project period of an approved award, the GM creates a funding proposal for type **Revision** to request additional funds. When the funding proposal is approved, create a **Revision | Supplement** award modification to account for the additional funds.

To add supplemental funding

1. Create a modification from the award that will receive supplemental funding.
2. On the first page of the modification, select the modification type **Revision | Supplement**.

   Note: If new financial accounts are required, also select the demographic change type **Financial Account Change**. If new personnel need to be added to the award or effort changes are required also select the demographic change type **Personnel Change**.
3. Complete the page, click **Continue**, and complete the rest of the modification pages.
4. If a new funding proposal for this supplement was awarded (for example an NIH Revision), on the modification's *Related Items* page, start typing the value of any of the funding proposal's attributes (or click the ellipsis), and select that proposal from the returned list.



5. On the *Budget Allocations* page, click the **+ Add** button at the upper left of the page.
6. Complete the *Add Budget Allocation* form.
   a. Select the appropriate financial account. To authorize spending for this allocation, a financial account is required.
   b. Specify the period for this supplemental allocation pertains to.
   c. Type a meaningful name and description.
   d. If a new funding proposal was created for this supplement, select it.

      This will allow you to import that proposal's budget figures as a baseline during budget reconciliation.
   e. Type or select the Start date and End date to specify the supplement period.

    f. Select the appropriate authorization status. To be able to reconcile the budget, select **Authorized** or **Advance Account**.

    g. Select whether your institution will cost share the amount of this allocation.

       Note: Selecting **Yes** here adds a column for entering cost share amounts on the *Budget Reconciliation* page.

    h. Type the direct and indirect amounts, and the indirect rate for this allocation.

    i. When done, click **OK**, and then click **Continue**.

7. Complete the budget reconciliation updates or contact the GM to reconcile the budget via Ancillary Review if necessary. Review the Send to Division for Reconciliation or Reconcile an Award Budget sections for more information.
8. Click **Continue** and complete any other pages.

   Note: If demographic changes were selected when the award modification was created, additional pages will be added to make changes to financial accounts, personnel, and effort.
9. On the last page of the modification, follow the instructions, and then click **Finish**.
10. On the award modification workspace, click **Submit for Final Review**.

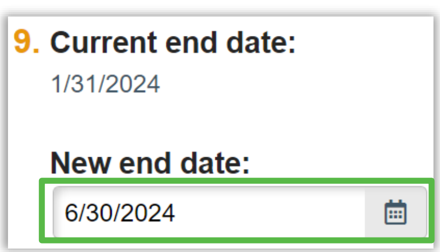
No-Cost Extension (NCE)

A no-cost extension adds time to a previously approved project period for up to 12 months, without additional sponsor funds. Typically, you would do this during the final budget period of the award.

To set up a no-cost extension

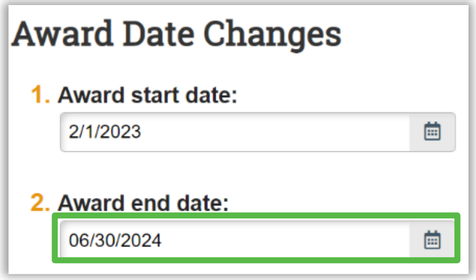
1. Create a modification from the award that will receive a no-cost extension.
2. On the first page of the modification, select the modification type, **No Cost Extension**.
3. Under *Demographic Changes*, select **Other Changes, Financial Account Changes,** and **Personnel Changes**.
4. Click **Continue**.
5. On the *Budget Allocations* page, click **[Add]** for the last allocation in the project.

   Note: For the [Add] link to be available, the allocation's authorization selection in the parent award must be **Authorized by Sponsor**.
6. On the *Add Funding Action* form, enter a meaningful name for the extension.
7. Note the current end date for the last allocation and specify the new end date.



8. Update any of the other information in the form as needed.
9. When done, click **OK**.
10. On the *Budget Allocations* page, click **Continue**.

11. On the *Award Date Changes* page, enter the new award end date, and click **Continue**.



12. Complete the remaining pages of the modification.

    Note: Since demographic changes were selected when the award modification was created, additional pages will be added to make changes to financial accounts (including updated activity dates), personnel, and effort.

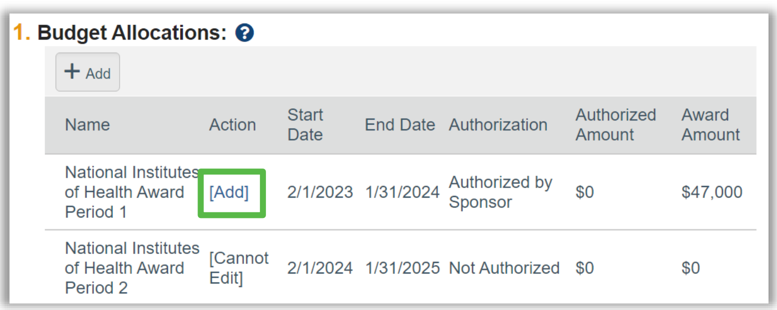
13. On the last page, follow the instructions, and then click **Finish**.
14. On the award modification workspace, click **Submit for Final Review**.

Re-Budget

Rebudgeting an authorized allocation involves transferring funds between budget, or expense, categories without changing the awarded and authorized totals. If you need to move funds between allocations, use the Budget Allocation Correction award modification type instead.

To re-budget an authorized allocation

1. Create a modification from the award for which rebudgeting is needed.
2. On the first page of the modification, select the modification type, **Re-budget**.
3. Complete the remainder of the page, then click **Continue** and complete other the modification pages.
4. On the *Budget Allocations* page, click **Add** next to the authorized allocation for which to make fund transfers.



5. On the *Add Funding Action* form, type a meaningful name for the re-budget allocation.
6. Optionally, type a description or justification for the fund transfers.

   Note: Because a re-budget merely transfers funds between budget categories, the authorized direct and indirect amounts cannot be edited.

7. When done, click **OK**.

The *Budget Allocation* page displays a new entry for the re-budget allocation under Edit updated allocations. To make changes, click the **Update** button next to it.

8. Complete the budget reconciliation updates or contact the GM to reconcile the budget via Ancillary Review if necessary. Review the Send to Division for Reconciliation or Reconcile an Award Budget sections for more information.
9. Complete any other pages in the modification.
10. On the last page, follow the instructions, and then click **Finish**.
11. On the award modification workspace, click **Submit for Final Review**.

Continuation

An award continuation is used to account for funds (in an application or progress report) the sponsor has released or is expected to release for a subsequent budget period within a previously approved project period. You do this using a **Continuation** award modification.

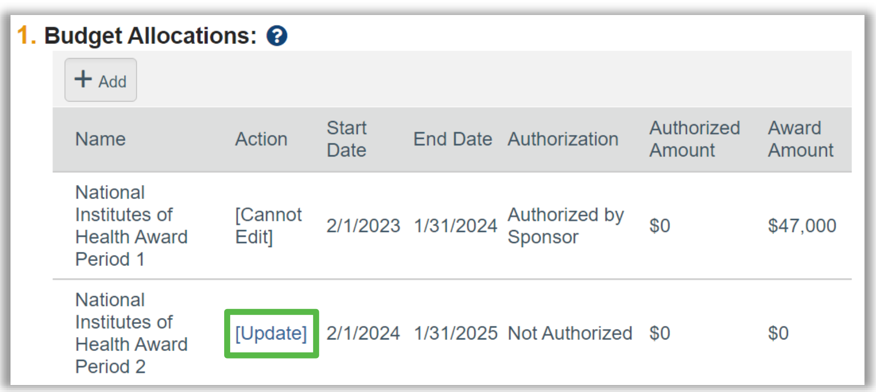
Note: Typically, a continuation modification is initiated after a continuation funding proposal has been submitted and approved. Not all awards require a continuation proposal, but most that provide funds for each period do.

To add continuation funding

1. Create a modification from the award that will receive continuation funding.
2. On the first page of the modification, select the modification type, **Continuation**.

   Notes:

   - If there are any subawards on the award, select **Yes** to *Are there subawards on this award that need to be updated as a result of this modification?*
   - If effort needs to be added, changed, or reviewed, select the demographic change type **Personnel Change** when creating the award modification.
   - If the award end date or financial account/project activity end date need to be updated, select the demographic change type **Financial Account Change**.
3. Click **Continue** and complete the other modification pages.
4. On the *Budget Allocations* page, click **Update** for the next budget period allocation. For Continuation modifications, only unauthorized allocations are available to update.



1. Budget Allocations:

+ Add

Name	Action	Start Date	End Date	Authorization	Authorized Amount	Award Amount
National Institutes of Health Award Period 1	[Cannot Edit]	2/1/2023	1/31/2024	Authorized by Sponsor	$0	$47,000
National Institutes of Health Award Period 2	[Update]	2/1/2024	1/31/2025	Not Authorized	$0	$0

5. Complete the *Add Funding Action* form:

a. Select the appropriate financial account.
b. Update the direct sponsor award ID.
c. Select **Authorized by Sponsor** or **Advance Account** as appropriate.
d. Indicate whether there will be cost sharing for this allocation.
e. Type incremental direct and indirect amounts for this allocation as needed (positive or negative) to bring the authorized totals to the released or anticipated amounts.
f. Type a new indirect GMte, if applicable.
g. When finished, click **OK**.

6. Complete the budget reconciliation updates or contact the GM to reconcile the budget via Ancillary Review if necessary. Review the Send to Division for Reconciliation or Reconcile an Award Budget sections for more information.
7. Complete any other modification pages.
8. On the last page of the modification, follow the instructions, and then click **Finish**.
9. On the award modification workspace, click **Submit for Final Review**.

Carryover

When unobligated funds remain at the end of a budget period, typically you will want to carry them over to the next budget period to cover allowable costs. You do this by creating multiple successive award modifications, depending on if the carryover is restricted or unrestricted. The first modification is to authorize spending for the next budget period, and the others are to move carryover funding to the newly authorized period, if needed.

Note: Before processing a Carryover award modification, the next period of funding must be authorized using a **Continuation** modification**.**

Modification 1: Continuation

A **Continuation** modification must be completed to authorize the next period of funding. The carryover funds are left in their original year and are not moved.

To authorize spending for the next budget period

Create a **Continuation** modification type and select the **Financial Account Change** demographic change from the award which has a newly authorized increment. Review the Continuation section for more information.

Note: When authorizing the new increment, enter only the newly authorized amount. Do not add the carryover amount from the previous increment.

If the award has *unrestricted* carryover, there is no need to complete the steps below.

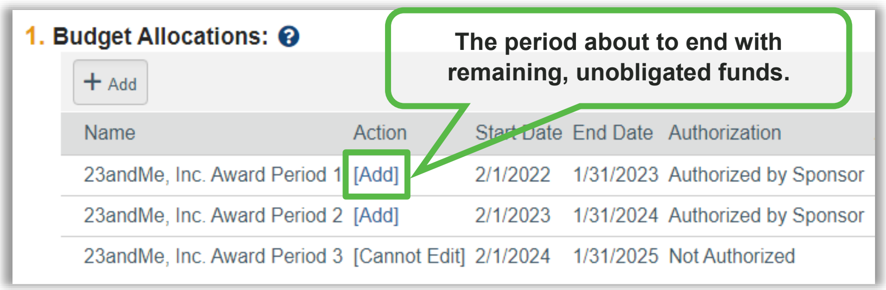
If the award has *restricted* carryover, continue with the Modification 2 and 3 steps below.

Modification 2: Carryover (Pre-authorization)

Before the carryover is authorized by the sponsor, initiate a **Carryover** modification type to move carryover funds into restricted budget expense categories in the newly authorized budget period.

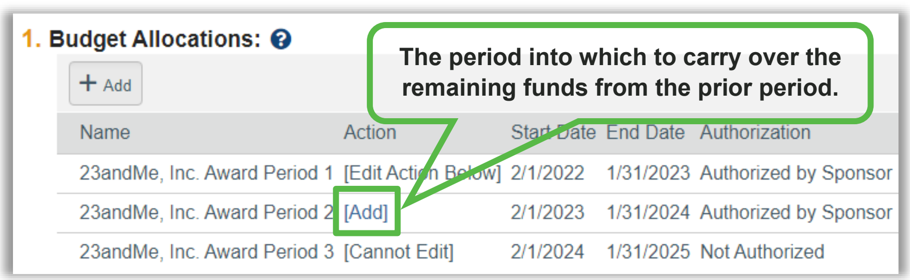
To carry over unobligated funds to the next budget period

1. After the Continuation modification has been approved, create a new modification for the award. This time select the modification type, **Carryover**.
2. On the *Budget Allocations* page, click **Add** for the period that is ending with remaining, unobligated funds.

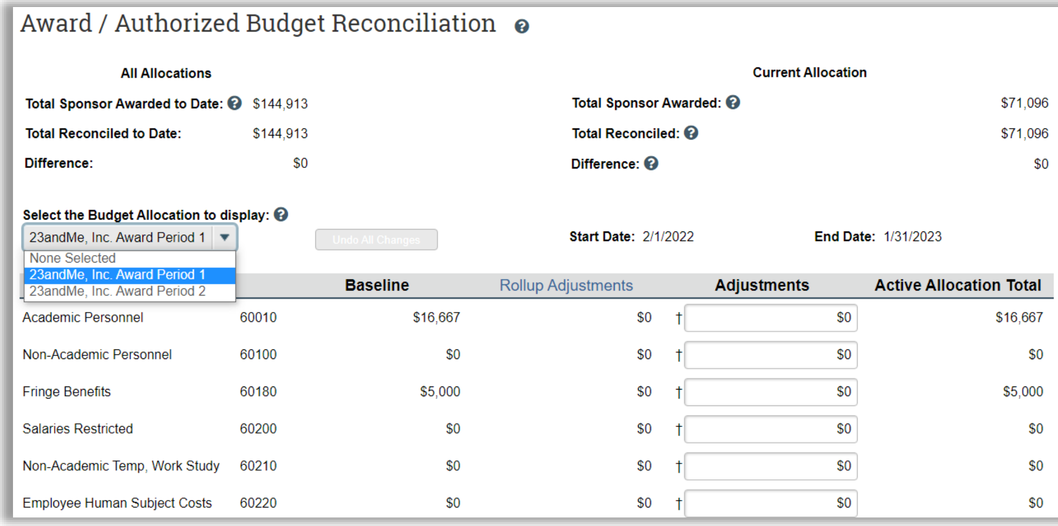


3. On the *Funding Action* form for this allocation, click **OK** without entering any data. Do not change the sponsor awarded amounts.

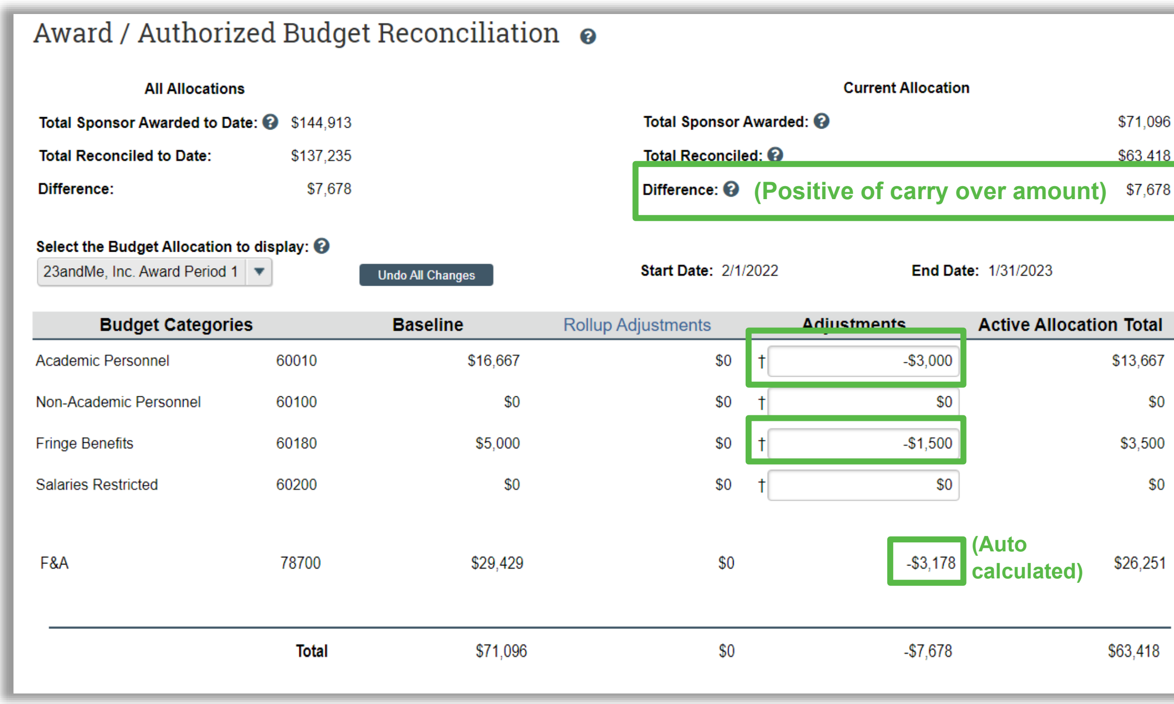
   This tells the system to make this allocation's budget available for reconciliation.
4. On the *Budget Allocations* page, click **Add** for the newly authorized period.



5. On the *Add Funding Action* page for this allocation, click **OK** without entering any data. Do not change the sponsor awarded amounts.
6. Complete the following steps:
   - On the *Budget Reconciliation* page, select the budget allocation for the period with remaining funds. The budget categories appear, populated with the amounts for the current allocation.

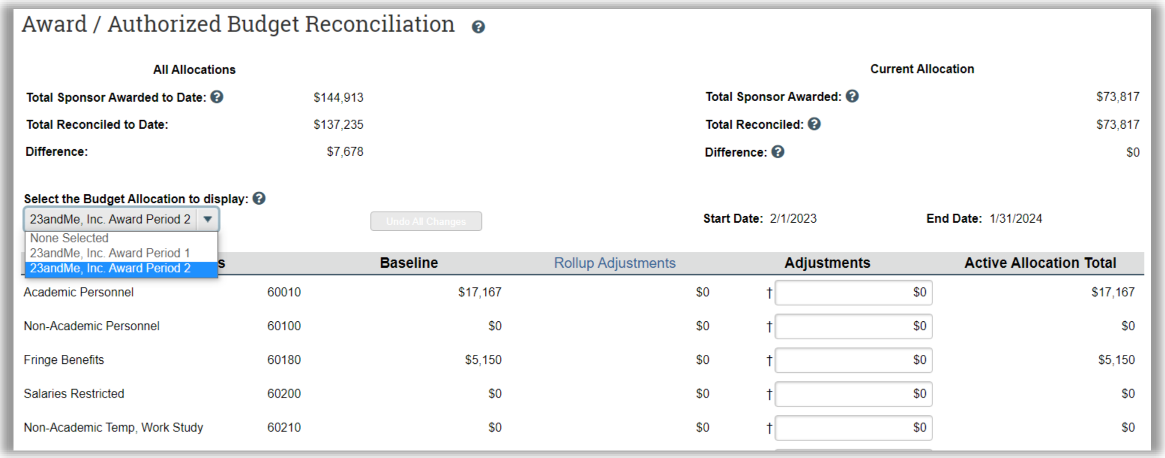


- Reduce the total budget for this period by the carryover amount. Enter negative adjustments to budget categories until the Total Reconciled figure is less than the Total Sponsor Awarded figure by the carryover amount. This will be reflected as a positive Difference value in the header.

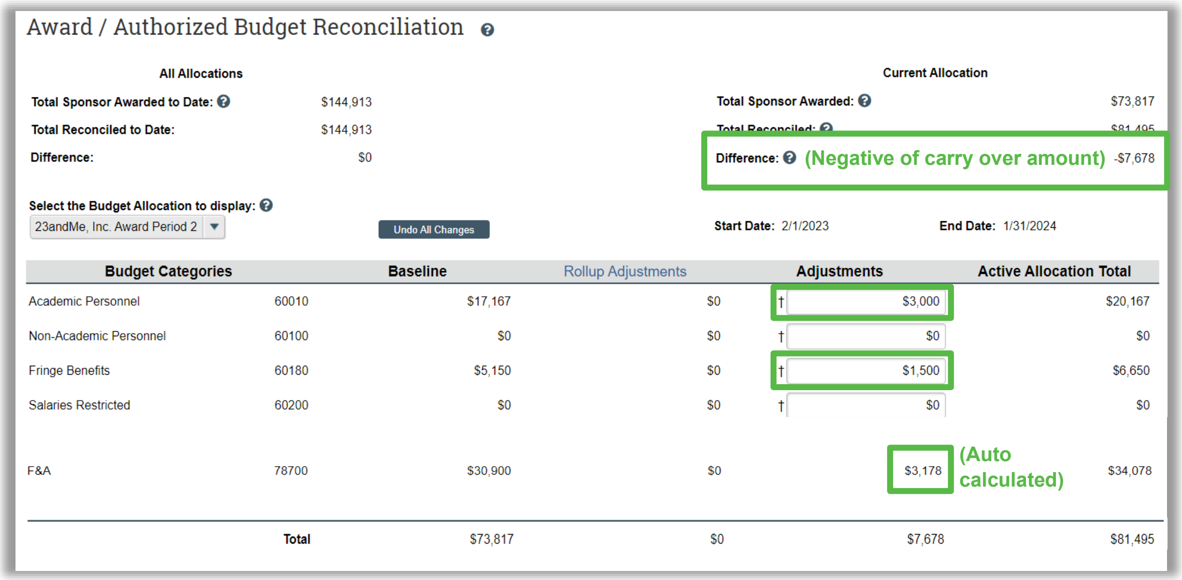


Note: Your manually entered adjustments may not appear to add up to the Total Reconciled amount, but this is because the system automatically calculates and adds indirect costs for eligible categories.

- When finished reconciling, click **Save.**
- Select the budget allocation for the next period. The budget categories appear, populated with the amounts for the next allocation.



- This time, *increase* the total budget for this period by the carryover amount. Enter *positive* adjustments to the **restricted** budget categories until the Total Reconciled figure is more than the Total Sponsor Awarded figure by the carryover amount. This will be reflected as a negative Difference value in the header.



- When finished reconciling, click **Save** and **Exit**.

It is these two changes, subtracting the carryover amount from one period, and adding the carryover amount to the following period, that document the carryover in PAM.

7. Complete the budget reconciliation updates or contact the GM to reconcile the budget via Ancillary Review if necessary. Review the Send to Division for Reconciliation or Reconcile an Award Budget sections for more information.
8. If the GM reconciled the budget, the GM would submit their ancillary review notifying OSR that the budget reconciliation is complete.
9. On the *Related Award Modification Request* page, select the related award modification request.
10. On the final page, click **Finish**.
11. On the award modification workspace, click **Submit for Final Review**.

Modification 3: Re-Budget (Post-authorization)

Initiate a **Re-Budget** modification type to move carryover funds in the newly authorized period from the restricted expense categories into the appropriate ones based on what was approved by the sponsor. Review the [Re-Budget] section for more information.

NGA Revised

An NGA Revised modification is used when there are changes in award terms from the sponsor. Use this option to move the award from *Advance Account* to *Active* status, to set up an advance account for the next budget period, or to set up the next annual increment.

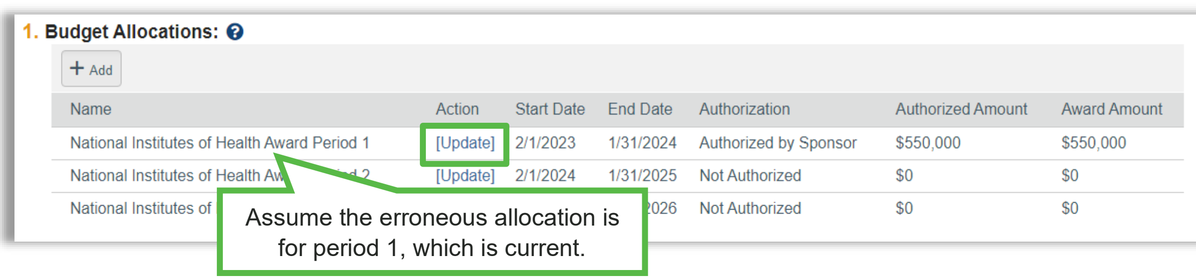
Review the Set Up [Next Period in Advance or for an Annual Increment] or the [Update Advance Spending to Authorized Spending for Advanced Awards] sections for more information.

Budget Allocation Correction

The Budget Allocation Correction modification type is used to update allocation details for the current budget period of an active award. This procedure is typically used to correct clerical errors. To illustrate, suppose you're in budget period 1 of an active award. An allocation for this period specifies a Direct cost of $230,000 and an Indirect cost of $320,000, but it should have been the other way around. The steps below show how you would correct this.

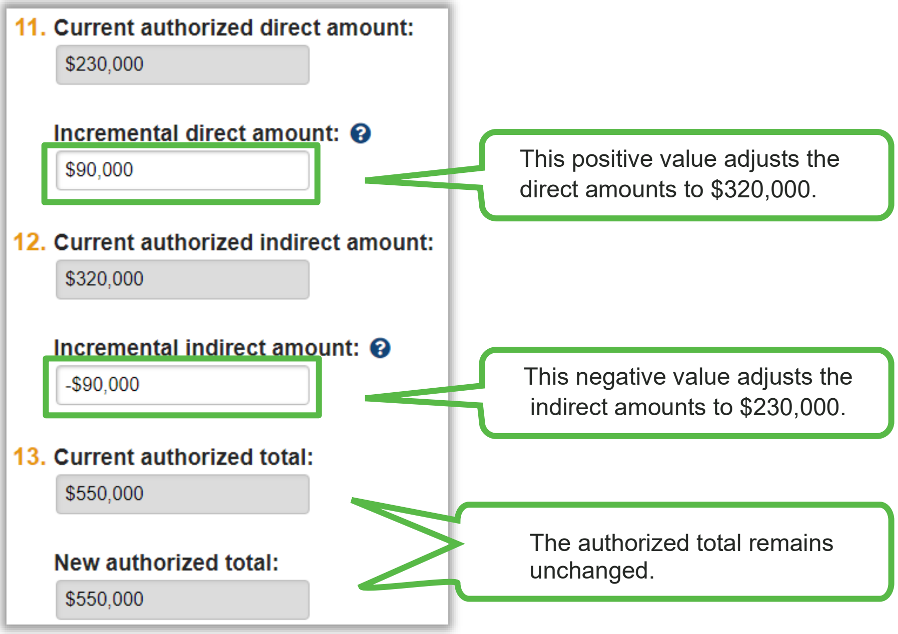
To update a current budget allocation

1. Create a modification from the award for which an allocation must be updated.
2. On the first page of the modification, type a meaningful name for the modification, and a description of the change if necessary.
3. Select the modification type, **Budget Allocation Correction**.
4. Complete the rest of the page and click **Save**.
5. Navigate to the *Budget Allocations* page and click **Update** for the current budget period allocation.



6. On the *Add Funding Action* form, correct the error.

   In this example, you want to reverse the Current authorized direct and Indirect amounts. To do so, you would enter adjustments for the Incremental direct and Incremental indirect amounts.



7. When done correcting the allocation, click **OK**, click **Save**, and then click **Exit**.
8. Submit the modification for final review.

Note: As this example did not change the total budget amount, it was not necessary to make any adjustments on the *Budget Reconciliation* page. Some types of changes to the allocation will also require changes on other pages of the modification.

Early Termination

The Early Termination modification type is used to close-out an award any time prior to the planned end of the period of performance, whether initiated by the sponsor or by NU.

Before an Early Termination modification is submitted, the other components of the award, such as financial account/project activity end dates, allocation end dates and amounts, and effort, must be updated. First, complete an NGA Revised modification with demographic change types of **Financial Account Change** and **Personnel Change** selected. Next, complete an Early Termination modification with demographic change types of **Financial Account Change** and **Other Changes** selected.

To terminate an award early

Modification 1 (NGA Revised + Financial Account Change and Personnel Change)

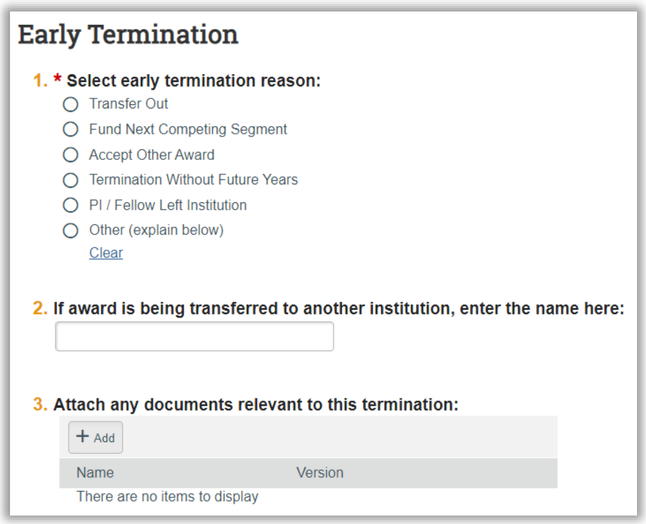
1. Create a modification from the award that will be terminated early.
2. Select **NGA Revised** as the modification type and **Financial Account Change** and **Personnel Change** as demographic changes.
3. On the *Financial Setup* page, update the activity end date(s) on the financial account(s) to reflect the termination date.
4. On the *Budget Allocation* page, reduce the funding by the amount requested by the sponsor and update the end dates on each active/current allocation to reflect the termination date.
5. On the *Budget Allocation* page, on each future/unauthorized allocation, reduce the funding to $0 and change the period dates to the same days as the last authorized allocation.

6. On the *Budget Reconciliation* page, reduce the budget categories to equal the amount from Step 4.
7. On the *Effort* page, update the end dates of the active/current allocation commitments to reflect the termination date.
8. Also on the *Effort* page, delete commitments for future/unauthorized allocations.

   Note: Manual changes in Oracle may be necessary to update the scheduled end dates and funding period end dates.

Modification 2 (Early Termination + Financial Account Change and Other Changes)

1. Create a modification from the award that will be terminated early.
2. Select **Early Termination** as the modification type **Financial Account Change** and **Other Changes** as demographic changes.
3. On the *Financial Setup* page, update the project end dates to reflect the termination date.
4. On the *Early Termination* page of the modification, select the reason for early termination.
5. If an award is being transferred, enter the name of the institution.
6. Add any relevant documents.



7. On the *Award Date Changes* page, update the award end date to reflect the termination date.
8. On the *Related Award Modification Request* page, click the ellipsis to select the related Award Modification Request.
9. On the last page of the modification, follow the instructions, and then click **Save** and **Finish**.
10. On the award modification workspace, click **Submit for Final Review**.

Demographic Changes Only

You can make non-financial changes to an award, either exclusively or in combination with a financial modification. The demographic changes include:

- **Financial Account Change** – Indicates that financial accounts associated with the award have been changed or inactivated, or that new accounts have been associated with it.

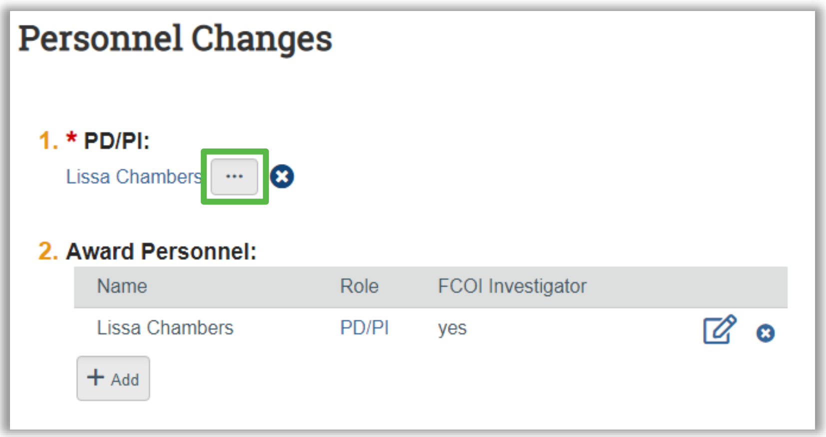
Note: Financial account changes are often included with other modification types in order to change the project or activity end dates.

- **Personnel Change** – Indicates the PD/PI or other project personnel are being replaced or that there is a significant change in their level of effort.
- **Sponsor Change** – Indicates the sponsor is transferring the award to another sponsor during the approved project period.
- **Other Changes** – Indicates other changes have been made to the award, such as a compliance update.

For simplicity, this topic assumes you are making personnel changes only.

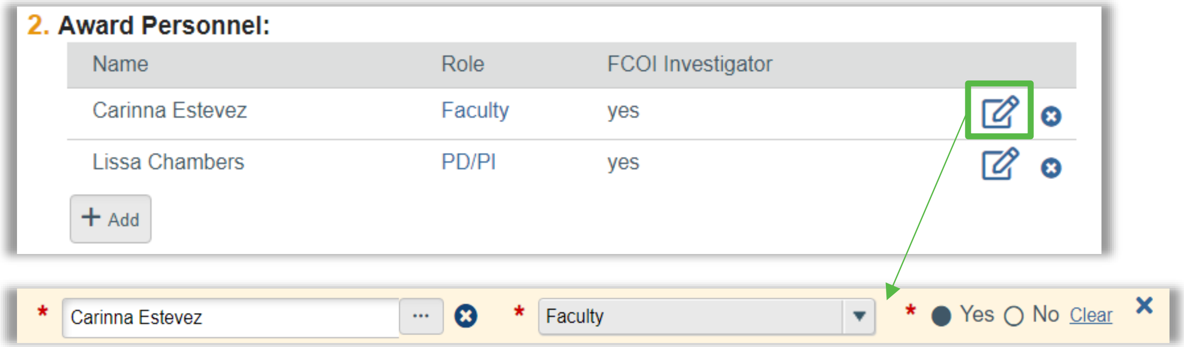
To update personnel

1. Create a modification from the award in which personnel information must be updated.
2. On the first page of the modification, select the modification type, **Demographic Changes Only**.
3. Under *Select demographic changes*, select **Personnel Change**.
4. Complete the rest of the page as needed, then click **Continue** to advance to the *Personnel Changes* page.



5. To reassign the PI/PD:
   a. Click the ellipsis button next to their name.
   b. If necessary, use the Filter feature to narrow the personnel list, and select the new person to assign.
   c. Click **OK**.

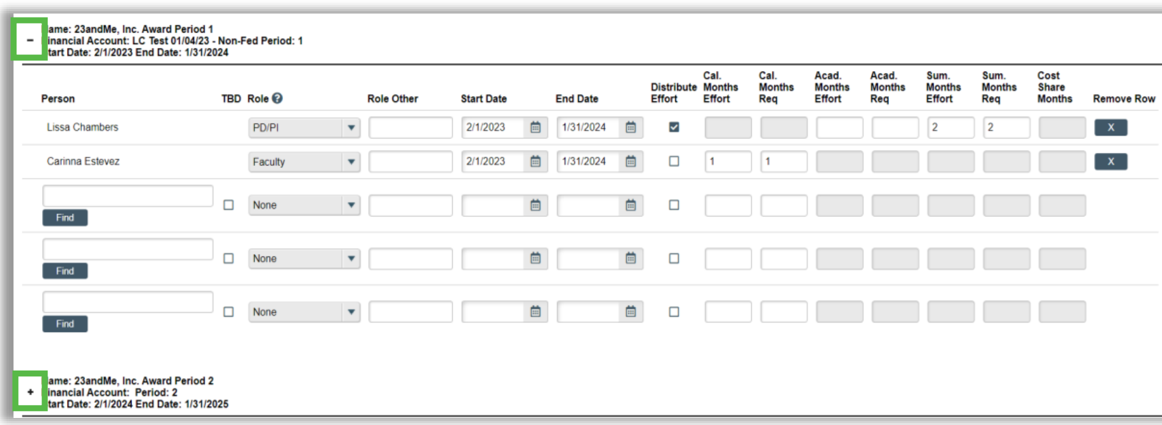
   Note: To update the Administrative Contact, use the **Manage Access** activity on the parent award.
6. To update other award personnel:
   a. Click the **Edit** icon at the right of the person's entry.



b. Update the person's name, role, or FCOI Investigator status as needed.
c. Click **Save** at the bottom of the page to save your changes.
d. To remove the entry entirely, click the remove icon at the far right.
e. To add a person to the list, click **Add** and complete the fields.

7. Click **Continue** to advance to the *Effort* page.

   It shows effort details for the first budget period by default, and the other periods are collapsed. Click the plus icon (+) at the far left to expand a period and the minus icon (-) to collapse a period.



8. Make the necessary changes in personnel effort for the appropriate period.

   Note: For rules on allowed changes, click the help icon next to the page title.

9. Repeat steps 5–8 for other periods as needed.
10. When done making changes on the *Effort* page, click **Continue**.
11. On the last page of the modification, follow the instructions, and then click **Finish**.
12. On the award modification workspace, click **Submit for Final Review**.

    Note: You cannot specify personnel changes in subsequently created award modifications until this modification is approved.

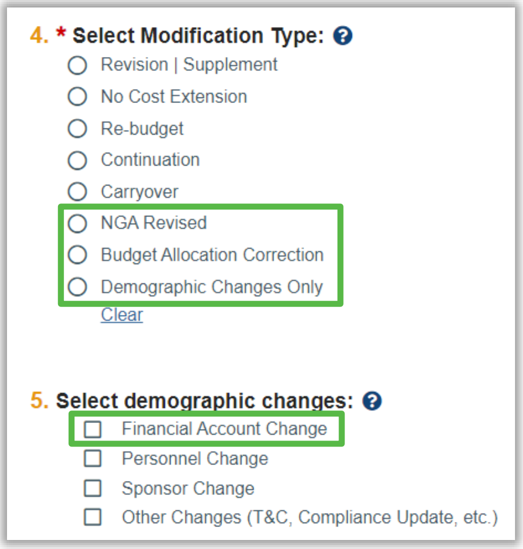
Update Financial Accounts

When setting up an award, you can define financial accounts that capture information needed by your institution's financial system. Review the Manage Financial Accounts section for more information. Once created, you can update financial accounts in an award until it enters the *Active* state. After that, you must create an award modification to perform those tasks.

To update a financial account

1. Create a modification from the award for which a financial account must be updated.

   The first page of the modification appears.



2. On the first page of the modification, type a meaningful name for it.
3. Type a description if needed.
4. Under *Select Modification Type*, click one of these options:
   - **NGA Revised** to update financial accounts and change an allocation's authorization status.
   - **Budget Allocation Correction** to update financial accounts and correct allocation errors in the current budget period.
   - **Demographic Change Only** to update financial accounts only.
5. Under *Select demographic changes*, select **Financial Account Change**.
6. Complete the rest of the form, and then click **Continue**.
7. On the *Financial Setup* page, make the necessary changes to the financial accounts.

   This includes any of the actions available on the *Financial Accounts* page of the parent award before it is active.
8. Complete any other pages in the modification.
9. Follow the instructions on the last page, and then click **Finish**.
10. Submit the modification for review.

Set Up Next Period in Advance or for an Annual Increment

When CALTECH does not receive a sponsor authorization for the next award period on time, the GM submits an At-Risk Spending award modification request to OSR to have an advance account set up the next period. If OSR approves, as described in the Review an Award Modification Request section, the OSR Specialist creates an award modification.

If CALTECH receives a sponsor authorization on time for the next annual increment, OSR will create an award modification to set up the next period. An award modification request from the GM is not necessary in this case.

1. On the award workspace, click **Create Award Modification**.
2. Create an **NGA Revised** award modification and select the demographic change type **Financial Account Change.**
3. On the *Financial Setup* page, click **Update** on the financial account(s) that will continue to be active in the next scheduled increment. Update the activity end date(s) to reflect the next authorized period.

   Note: For At-Risk Spending increments, the project end date should be increased to the new approved end date from the award modification request for at-risk spending.
4. On the *Budget Allocations* page of the SmartForm, click **Update** for the next period you wish to set up for an annual increment.
   - Select the appropriate Financial Account.
   - Under Authorized, select:
     - **Advance Account**, if this is to set up the next period for advance spending for which you have not yet received official award documentation authorizing the next increment.

       Note: Review the Activate an Award with an Advance Account section for more information.
     - **Authorized by Sponsor**, if this is to set up the next annual increment for which you have received sponsor authorization.
   - If this is to set up an authorized increment, include the incremental direct and indirect amounts.
   - Add the Activity Code and Reporting Date and select whether the budget allocation is for a cost sharing budget.
   - Include any other additional optional information and click **OK**.
5. If this is to set up an authorized increment and a budget reconciliation by the GM is necessary, inform the GM via Ancillary Review. Review the Send to Division for Budget Reconciliation section for more information.

   Note: If you are setting up the next increment as At-Risk Spending, $0 should be entered in the allocation. No budget reconciliation is needed at this time.
6. On the *Related Award Modification Request* page, click the ellipsis to select the related Award Modification Request. Select all that apply.

   Note: Only At-Risk Spending increments will have a related Award Modification Request. Authorized increments will be set up by OSR automatically when the sponsor authorization is received.
7. Click **Exit** or **Finish** to return to the award modification workspace.
8. When the award modification is complete, submit it to the Award Approver for review. Click **Submit for Final Review**.

   Note: Review the Send for Final Review section for more information.

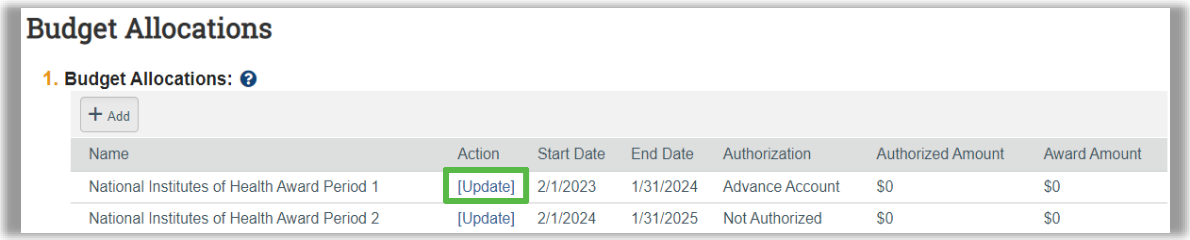
The assigned Award Approver receives an email notification, and the award modification appears in their PAM inbox. Review the Complete a Final Review section for more information.

Update Advance Spending to Authorized Spending for Advanced Awards

When the Sponsor authorizes funds for a period in which advance account spending was allowed, you should update the award to reflect that.

To update advance spending to authorized spending

1. On the award workspace, click **Create Award Modification**.
2. Create an **NGA Revised** award modification.
3. On the *Budget Allocations* page, click **Update** to change the authorizations of any allocations that were set to Advanced Account to **Authorized by Sponsor**.



Once the modification is approved and moves into the *Approved* state, the parent award advances to the *Active* state.

Managing Ancillary Reviews

Ancillary reviews are optional reviews that you can choose to include 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 an F&A waiver, 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**.
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.
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:
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 divisions committing cost share, you will need to add an ancillary review for each division.
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.

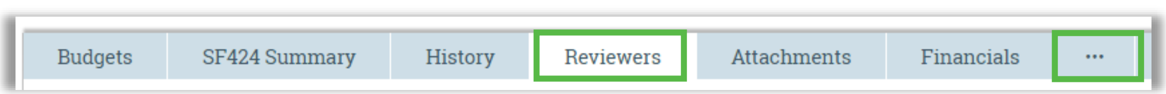
Check the Progress of an Ancillary Review

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.

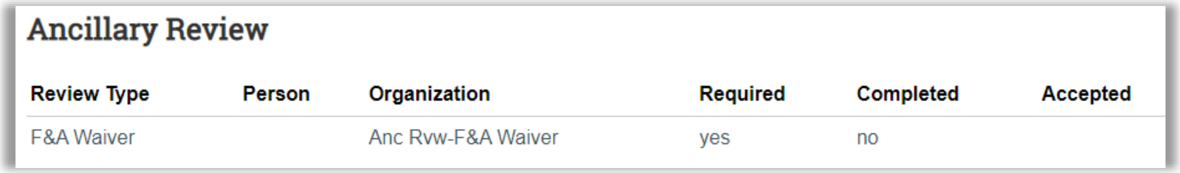
To check the progress of an ancillary review

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.



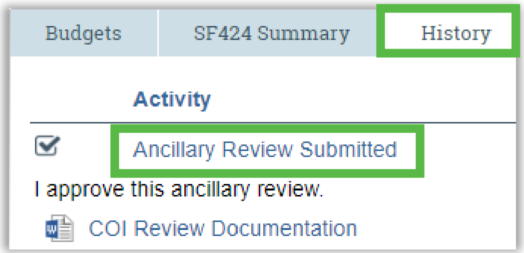
3. Examine the Ancillary Review area at the bottom of the page to see:
   - All ancillary reviews assigned for this project.
   - Whether they were assigned to individuals or organizations.
   - Whether they are required.
   - Whether they have been completed.
   - Whether the reviewers found the projects 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

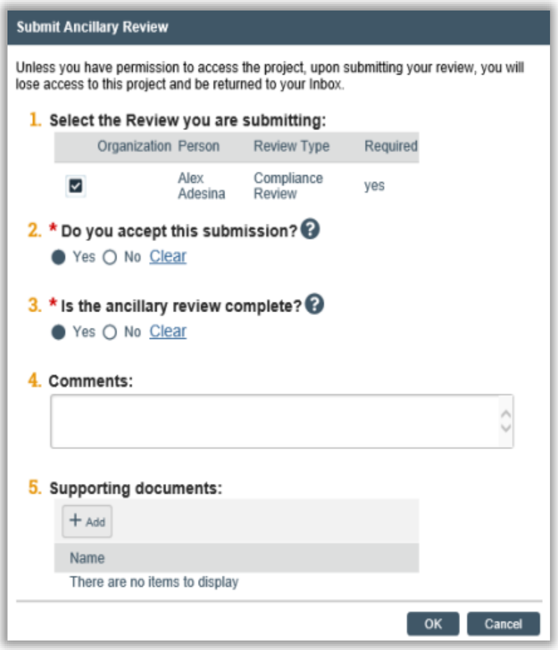
When ancillary reviews are added, the assigned ancillary reviewers will receive an email notification with a link that will take them to the related item's workspace. The project appears in your PAM inbox, and the **Submit Ancillary Review** activity becomes available in the project workspace.

Note: Any workflow blocks resulting from a required ancillary review 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.
- *Awards* and *Award Modifications* – All required ancillary reviews must be completed or the workflow will stop at the *Draft* state, and it cannot move forward for final review.

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.



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.

Modify an Ancillary Review

As the specialist on a project, you may need to modify an ancillary review that is in progress. You can do so for ancillary reviews initiated for any project type.

To modify an ancillary review

1. From you PAM inbox or one of the tabs on the appropriate Grants page, open the project for which to modify an ancillary review.
2. From the project workspace, click **Manage Ancillary Reviews**.
3. In the *Manage Ancillary Reviews* form, click **Update** for the ancillary review to modify.
4. On the *Edit Ancillary Review* form, make the necessary changes to the review.

   Note: The most common update is to change the *Response Required?* selection from **Yes** to **No**. This change allows a project blocked by an outstanding required ancillary review to complete its workflow.
5. When finished making changes, click **OK**.
6. Click **OK** in the *Manage Ancillary Reviews* window.

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 check 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

Glossary

Please refer to the   for a comprehensive list of terms used in PAM and their definitions.

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	• Division Administrator • Specialist Finance/Grant • Study Staff
Add Private Comment for PI	Private Comment to PI Added	Division Review	• Division Reviewer/Chair
Approve	Approved by Division	Division Review	• Division 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 Division Review Division 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	Division Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	• Study Staff
Create Agreement	Agreement Requested	All states	• Division 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	Division 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	• Study Staff

		populated and Submission method is not to grants.gov	
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	• Division 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 Division	Division Review	• Division Review/Chair
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 Division Reviewer	Submit Changes To Division Reviewer	Division 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 Division Review	Submitted for Division 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	Division Review Pending Submission to Sponsor Specialist Review	• Study Staff with edit rights
Update SF424 Research Plan	Update SF424 Research Plan	Division Review Division Review: Response Pending from PI Specialist Review	• Study Staff
Withdraw Proposal	Proposal Withdrawn	Division 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	• SF424 Administrator • SF424 Editors and Owner • SF424 Grants Specialist • SF424 Submitters

		Receiving by GrantsGov Submitted To GrantsGov Validated by GrantsGov	
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	• Specialist Finance/Grant

		Final Review – Response Pending	
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 Grants.

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] • **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
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] • **Direct Sponsor**: [Direct Sponsor Name] • **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. [Insert comments and documents from activity]	Sent when a user or organization is added as an Ancillary Reviewer	• Selected Ancillary Reviewer(s)
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]	Sent when an award ancillary review has been completed.	• Award Administrative Contact • PI • Specialist

	• **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.		
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	Sent when the **Decline** activity is executed on the award mod request workspace.	• Submitter of the award mod request

	navigate to view the modification request on the Award workspace. [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
Division Requests Changes From PI	Contains the following: • **Subject:** [ID]: Division Requests Changes From PI • **To:** [User(s) First and Last Names] • **Link:** [Project ID: linked to FP Workspace] • **PI:** [Funding Proposal PI] • **Title:** [Short Title]	Sent when the division requests changes and the state changes from *Division Review* to *Division Review: Response Pending from PI*.	• Administrative Contact • PI

	• **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.		
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 *Draft* to *Division Review*	• Administrative Contact • PI
Post Submission Changes Requested	Contains the following: • **Subject:** [ID]: Post Submission Changes Requested • **To:** [User(s) First and Last Names] • **Link:** [ID: linked to Funding Proposal Workspace] • **PI:** [FP PI] • **Post-submission update deadline:** [DD/MM/YYYY] • **Sponsor:** [Sponsor's name] • **Body:** A post-submission update for the proposal identified above has been requested by the sponsor. The deadline to submit the requested updates is identified above.	Sent when the **Request Post-Submission Update** activity on the FP workspace is executed and the state transitions from *Pending Sponsor Review* to *Post-Submission Update Requested.*	• Administrative Contact • 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 Division Review state.	• FP Current Reviewers (set of inboxReviewers)
Proposal Routed – PI/PD - Direct Sponsor	Contains the following: • **Subject:** [ID]: Proposal Routed – PI/PD - Direct Sponsor • **To:** [Recipient's First & Last Names]	Sent when the FP is submitted for division review and the state	• Relevant division reviewer

	• **Link:** [ID: linked to FP Workspace] • **PI:** [FP PI] • **Title:** [Short Title] • **Application Submission Deadline:** [MM/DD/YYYY] **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.	transitions from *Draft* to *Division Review*.	
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
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. 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 Caltech'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 division is true) • Any additional recipients identified in Q1 on the **Send Award Notice** activity form

Send Email (Funding Proposal)	Contains the following: • **Subject:** [ID]: <Email Subject Line Entered in Activity Form> • **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>	Sent when the **Send Email** activity on the FP workspace is executed.	• Selected Recipients
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] • **Body:** A status update has been provided for the above referenced proposal.	Sent when the **Send Grant Status Update** activity on the FP workspace is executed. The FP must be in a *Pending Sponsor Review* state to access the activity.	• Administrative Contact • Assigned Specialist

	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 *Specialist Review* to *Specialist Review: Pending Changes by PI*.	• 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 Post-Submission Update	Contains the following: • **Subject:** [ID]: Post-submission updates have been submitted • **To:** [Recipient's First & Last Names] • **Link:** [ID: linked to FP Workspace] • **PI:** [FP PI] • **Post-submission update deadline:** [DD/MM/YYYY] • **Sponsor:** [Sponsor Name] • **Body:** A post-submission update for the proposal identified above has been completed. If review and submission is necessary by the central office, the sponsor's deadline for receipt of these materials is listed above.	Sent when the **Submit Post Submission Update** activity is executed from the funding proposal workspace when the FP is in the *Post Submission Update Requested* state.	• Assigned Specialist

	[Activity's comments and supporting documents]		

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 Divisions • 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	• Notify OSR of the funding proposal's status • Manage Subaward: ○ Review, activate and update subaward.

	award letter has been received	◦ Log Comments, Log Correspondence, Upload Documents
Division Reviewer/Chair	Member of the submitting division 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 division.	• Read access to all SF424 applications
SF424 Specialist and SF424 Administrator	Users who need to edit and submit SF424 proposals regardless of division.	• 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 Division with requested changes and optionally require the Division 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 *Advance Award* state. When the Notification of Award is received, advances the award to the *Active* 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:** • Creates an award modification if necessary to change attributes of an active award, to terminate an award ahead of schedule, or to

		document that it has followed the PI to some other institution. • Submits the completed award modification for a designated review or for the final review and makes changes to the award modification requested by reviewers. • Sends the award modification to the sponsor for approval (outside the Grants system). • Withdraws the modification, whether due to rejection by the sponsor or for internal reasons.
Study Staff	Researchers, Fellows, and students responsible for submitting funding proposals.	• Broad access to funding proposal creation and completion. • Can submit funding proposals for division 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 Financial Operations Information Technology (FOIT). Review the Security Forms and Reports site for more information.