Caltech

PAM Agreements Guide
Research Community

Caltech

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Introduction

Introduction to PAM Agreements

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. Within PAM, there are modules for Grants and Agreements which are integrated to allow linking of records in each module, making it easy to navigate between related grants and agreement records.

PAM Agreements is a comprehensive, flexible contract management solution that simplifies and streamlines the agreement submission, review, and negotiation process.

PAM Agreements features include:

- Milestone and deadline tracking with notifications and reminders
- Automated inbound/outbound email tracking and document versioning
- Automated routing by agreement type to the appropriate Office of Sponsored Research (OSR) staff
- Customized submission forms by agreement type
- Ability to link agreements to other related agreements and Grants projects
- Flexible management of ancillary reviews and approval
- Template-based creation of standardized agreement documents
- On-demand turnaround time reports

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

Find Status and Key Information Quickly
In PAM, you can find the status of items going through the review and approval process quickly. Each item's state is clearly visible in multiple places, including on the PAM dashboard. When viewing an item's detail or working on a submission, the current state is prominently displayed on the top-left of 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, OSR or the GM can create relationships between funding proposals or awards and any agreements associated with them, as well as associate agreements with other agreements, and easily navigate back and forth between them directly from the workspace. 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 occur in parallel to ensure proposals are submitted on time, awards are setup, managed, and tracked efficiently, and agreements are negotiated and executed as quickly as possible. There may be cases where non-funded agreements may need to be submitted independently (i.e., not related to a Grants project); review the Creating and Submitting Agreements section in this guide for more information. The descriptions below provide an overview of the full workflow across Grants and Agreements.

Funding Proposals
The lifecycle generally starts with an GM creating a funding proposal in PAM Grants, including the budgets and SF424 if applicable. Once the funding proposal is complete, the GM submits the funding proposal into the workflow to begin the Grants review process. The appropriate department approvers review and approve the proposal first, followed by OSR. When reviews are completed and the proposal is approved, the proposal is submitted to the sponsor either by the department or by OSR.

Agreements
The process for creating agreements will differ depending on the agreement type and the status of the related proposal or award, if applicable. If an agreement is not created from the related funding proposal, it may be created from the related award as described in the Awards section below, or alternatively it can be created as a standalone agreement and it can later be linked to the related Grants record if appropriate.

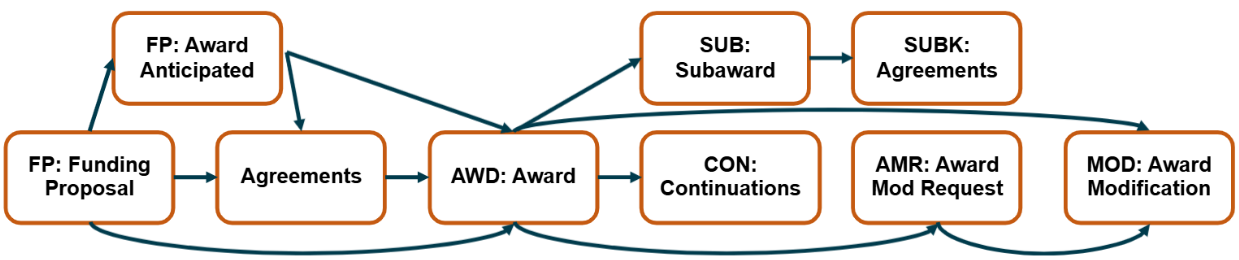
Awards
For new awards requiring negotiated contracts before award setup, OSR will create and submit an agreement for review, so the terms are in place prior to receiving the award. Note that if a non-funded agreement is needed at any time, GMs can create and submit them as standalone agreements to go 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. If the award includes sub-recipients, OSR creates a subaward in the Grants module and an Outgoing Subaward Agreement in the Agreements module for each sub-recipient. OSR then sends the Outgoing Subaward Agreement to the GM to complete the agreement details and then submit it into the agreement workflow for OSR to manage the review, negotiation, and signing. Review the Complete and Submit an Outgoing Subaward Agreement section in this guide for more information.

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 Grants. 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 GM 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 Workflow Across the Lifecycle



PAM Agreement Types

ID Prefix	Agreement Type	Description
SUB	Outgoing Subaward	Agreement between Caltech and a subrecipient under a sponsored program.
SRA	Sponsored Research Agreement	An SRA is needed when an outside institution provides funding to support a specific research project. This agreement type will only be used by Sponsored Research (never initiated by GMs).
URC	Unfunded Research Collaboration	An agreement under which two or more parties agree to collaborate on a defined research project.
ELA	Equipment Loan Agreement	Outlines the terms of lending equipment for research purposes. It protects the equipment and ensures its return.
SLA	Sample Loan Agreement	Outlines the terms of lending study samples for research purposes. It protects the equipment and ensures its return.
OTH	Other	The Other Agreement type should be chosen when the agreement does not fit any of the other defined types. This option should rarely be used.
FUA	Fee for Service: Facilities Use Agreement	Agreement to provide third party personnel access to Caltech research facilities under which no Caltech research will be performed.

TSA	Fee for Service: Technical Services Agreement	Agreement to provide a third party with Caltech laboratory services under which no third party personnel will be onsite.
MOU	Memorandum of Understanding	A non-legally binding agreement between two or more parties that are used to coordinate activities between the parties. A legally binding agreement may be needed in the future if the activity contemplated by the MOU is successful.
GFT	Gift	Records a donation to a research project.

Navigating Agreements

This section explains where to go to perform basic actions on an agreement.

Dashboard

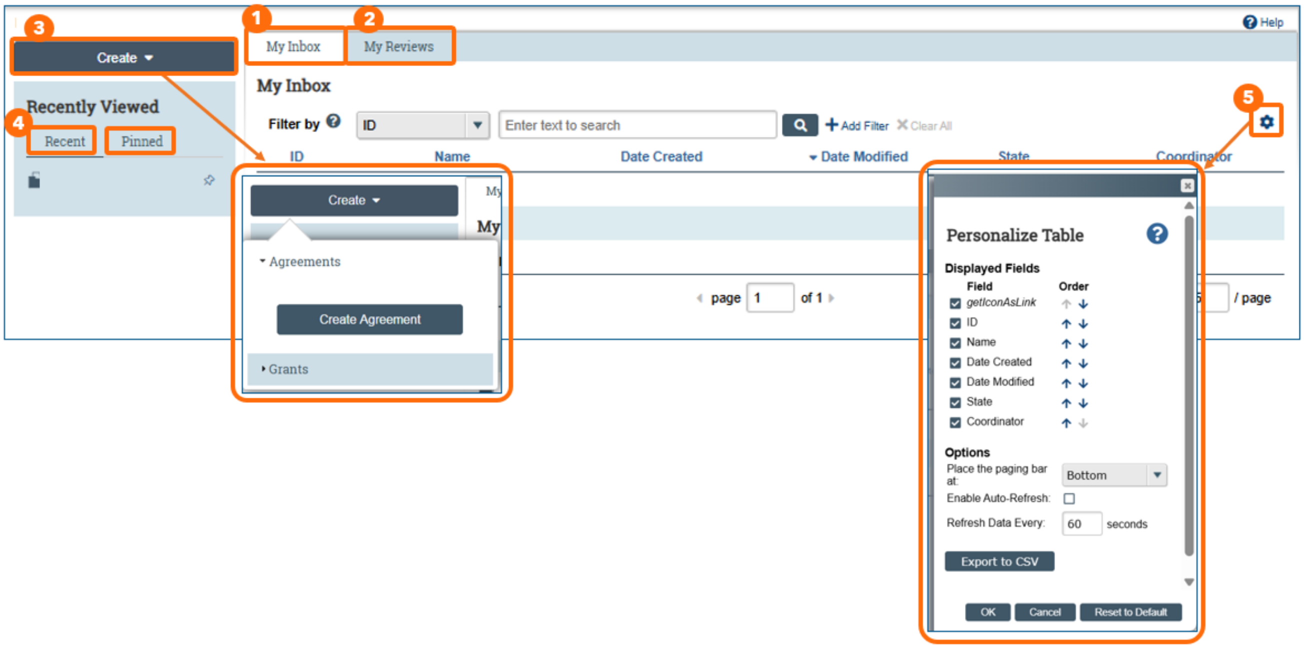
Overview

The PAM dashboards are designed to help the Caltech research community manage your work and keep on top of deadlines in one central location. Dashboards for GMs and OSR include helpful at-a-glance features, such as review assignment charts, providing transparency on work assignments and the volume of items in various states of the Grants and Agreements workflows.

There are two sets of dashboards, one set for Grants and one set for Agreements, however the dashboards will be integrated so you will see items from both Grants and Agreements in your PAM inbox. Depending on your role (i.e., whether you are a PI, Department GM, or a member of OSR), you will see some different information on your dashboard tabs. However, the dashboards all have a similar layout and share some of the same types of information regardless of role or module you are in. The tabs that show on your dashboard are tailored to your role and present information that will be most pertinent to your work.

Dashboard Features

Below are standard dashboard features generally available to the Caltech research community on both Grants and Agreements dasboards. If you are a GM, review the Agreements Department Administrator Dashboard section below for more information on your unique dashboard.



1. **My Inbox** lists all the items from both the Grants and Agreements modules that you are working on or that require your action to move them forward in the workflow.
   - You will only see those items you have permission to view because you are either assigned to it, you're listed as the primary contact or PI, or you have view or edit access to it.
   - Each item in your PAM inbox has an ID and the prefix tells you what the item is. For example, FP stands for funding proposal and AWD stands for award. Agreements will be indicated by different prefixes dependent on the agreement type. For example, DUA is a Data Use Agreement and CTA is a Clinical Trial Agreement. Review the Agreement Types section in this guide for more information on agreement types and their prefixes.
   - The state tells you where the item is in the workflow. For example, Draft or Pre-Submission means the item has not yet been submitted into the workflow and you can still update it before submitting.
   - To see more detail about an item or perform an activity related to that item, click the name to go to the item's workspace. Whenever you see a hyperlink for an item's ID or name, you can click on it to go to its workspace.
2. **My Reviews** lists items assigned to you to review. These are a subset of the same items in My Inbox, however the My Reviews tab is intended specifically for reviewers so that review assignments can be listed separately from other items in your inbox that you may be involved with but are not assigned to review.
3. **Create drop-down menu** shows the creator buttons available to you. After clicking Create, you can click either Grants or Agreements to reveal the creator buttons for each module. Clicking one of these buttons will open the SmartForm for either the funding proposal or agreement.
4. **Recently Viewed items** lists the last several items you viewed with the most recent ones at the top, and this is integrated between the modules so this will show both recently viewed Grants and Agreements items.
   - If you know you will refer to an item frequently or want to access it quickly, pin it in the Recently Viewed items using the Pin thumbtack icon.

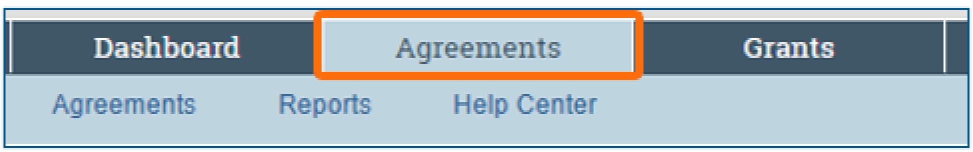
- Once pinned, the thumbtack icon will appear solid and the pinned item will appear on the Pinned tab, where it will remain until you unpin it.

5. **Gear icon** - Many tables throughout PAM allow you to filter the data and sort by the column headers to find what you need. The Help icon next to the "Filter by" feature explains how to use the filter including a wildcard so you can find items beginning or ending with or containing certain numbers or characters. Additionally, you can personalize the data that displays in the table using the gear icon. For details on how to personalize the data display, click the Help icon, or refer to the Personalize the Data Display section in this guide for more informatin. .
    - Review the Filter Feature section in this guide for more information on filtering capabilities.

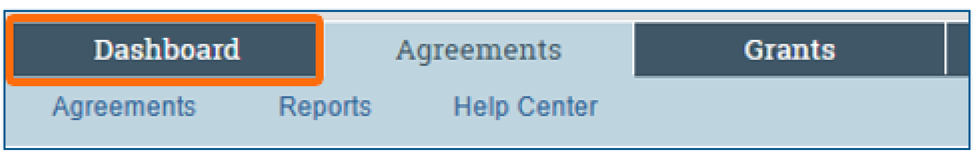
Navigating between Grants and Agreements Dashboard

When you first log into PAM, you will be on the Grants dashboard. To access the Agreements dashboard and navigate back and forth between the Grants and Agreements modules, follow these steps:

1. Click **Agreements** on the Top Navigator. This brings you into the Agreements module, specifically the Agreements page.



2. From the Agreeents page, if you click **Dashboard**, you'll see the Agreements dashboard.



3. If you want to navigate back to the Grants module or dashboard, first click **Grants** in the Top Navigator. This brings you into the Grants module, specifically the Funding Proposal page.
4. From the Grants Funding Proposal page, if you click **Dashboard** in the Top Navigator once again, you will be on the Grants dashboard. Notice that the PAM logo in the upper right will *not* say "Agreements" if you enter the Grants module and then click Dashboard.

In both Grants and Agreements modules, you'll see a similar dashboard layout and My Inbox will have all the same items listed. If you're on the dashboard and you only see PAM (not PAM Agreements) then you know you're on the Grants dashboard. The data that appears on the other tabs will be different depending on the dashboard template assigned to the logged in user. For example, the standard Agreements dashboard will have less tabs than the Agreements Department Administrator dashboard which will be assigned to GMs.

See below for more information on the dashboard features GMs will see.

Agreements Department Administrator Dashboard

GMs will be assigned the Agreements Department Administrator Dashboard. This dashboard is designed to provide GMs with quick and easy access to relevant and frequented information in an organized, central location. From this dashboard, GMs will find information about their submissions, identify critical and time-sensitive items requiring action, and resume tasks they may have already started or that OSR initiated for them to complete.

From this dashboard, GMs will see additional features that are not included in the standard Agreements dashboard, such as:

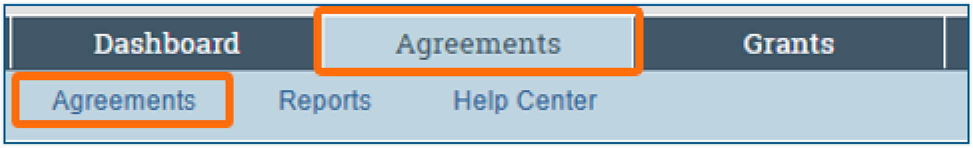
1. **Assignments –** this tab includes pie charts organized by agreement type, which provide a visual representation of individual workloads in your department. The pie charts show agreements assigned to you and other Department Administrators in your department so your team can manage and balance workloads across team members.
    - You can click a pie slice to see more detail about the items assigned to that person. A slide-in window will open a report with the data in that pie slice.
    - If you click **Pop Out** at the bottom of the slide-in window, this will open the slide-in a separate window, allowing you to analyze the data alongside the chart.
    - From the slide-in window, you can click the agreement ID or name link to go to that agreement's workspace. You can also filter the list and export the data to a CSV file. Review the Filter Feature section in this guide for more information.
    - You can also quickly and easily perform certain activities using the **My Activities** link under the Execute Activity column. For example, you can manage access to balance workloads or cover an absent employee by updating the primary contact or collaborators that have view/edit access to the agreement.
2. **In Process –** On this tab, you'll see tiles with your agreements and amendments going through the workflow as well as all agreements and amendments for your department regardless of Department Administrator assigned. This will show which agreements are in various stages of the workflow and separates those agreements and amendments for which you're assigned as the Primary Contact (i.e., My Agreements and My Amendments) as well as all other agreements and amendments assigned to other GMs in your department (i.e., All Agreements and All Amendments).
    - If you hover over a tile, you'll see its description. To see the data behind the number listed, click the tile. A slide-in window will open a report with the data behind that tile. From the slide-in, you can click the agreement ID or name link to go to that agreement's workspace.
    - Similar to the Assignments tab, you have options to Pop Out the slide-in window and use filtering or table personalization options to format the data to meet your needs and export reports as required.

Agreements Page

Overview

The Agreements page is where you will go to find agreements in the system that don't appear in your inbox. Click **Agreements** in the Top Navigator to access the Agreements page.

Note: If you navigate to one of the other tabs in the Sub-Navigator after clicking Agreements, you'll need to click Agreements in the Sub-Navigator to return to the Agreements page.



The Agreements page lists all agreements and amendments you have permission to view, grouped into the following useful categories:

- **All Agreements** – this tab will list all agreement records, including amendments
- **Unassigned** – this tab will list all agreements and amendments that are in the Unassigned state, meaning they have been submitted but need an owner to be assigned
- **New** – this tab will list all newly created agreements and amendments that are in the Pre-Submission state, meaning they have not yet been submitted into the workflow
- **Active** – this tab will list all agreements in the Active state, meaning they have completed the review and signing process and have been activated
- **Evergreen** – this tab will list all agreements in the Evergreen state, meaning they have been activated and include evergreen clauses so they do not have an end date
- **Archived** – this tab will list all agreements that have expired or have been discarded
- **In Progress** – this tab will list all agreements that are in a review or signing state, meaning they are under negotiation or are in the process of being finalized

At the top of each list of agreements, you will notice the “Filter by” search functionality. Using the filtering and search capabilities makes it easy to quickly locate a specific agreement. Review the Search for Records section in this guide for more information on how to use this functionality.

Note that the column headers in blue can be sorted by clicking on the column header name. The **State** column will identify the state of the agreement, and the **Modified Date** column will show the last date an action was taken on the agreement. These columns allow you to immediately see where agreements are in the workflow and which agreements are being worked on.

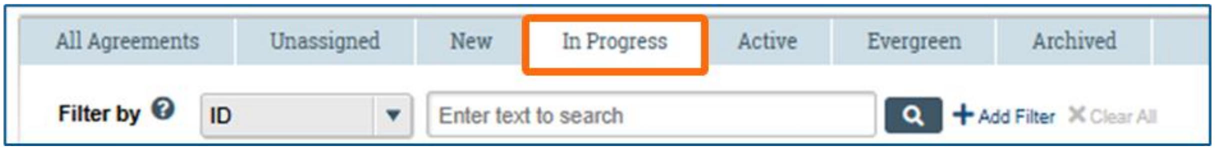
To open an agreement, click the agreement name or ID hyperlinks to go to the agreement workspace. To open the agreement document itself, click the file name link under the **Agreement** column to download a copy of the current draft agreement.

Look Up Workflow Status

To look up the workflow status for agreements in review, follow the steps below.

1. In the PAM Top Navigator, click **Agreements**.
2. From the Agreements page, click the **In Progress** tab.

Note: If you don't see the In Progress tab right away, click the ellipses symbol to reveal additional tabs.



3. On the **In Progress** tab, see the following columns:
   a. **State**: To find agreements in Internal Review and External Review states.
   b. **Modified Date**: To see when action was last taken on an agreement.

☆ **Tip:** Use the Filter by functionality to show agreements in a certain status, such as Internal Review. Review the Search for Records section in this guide for more information.

4. To view more details, click on an agreement name to go to the agreement workspace. You can see where the agreement is in the workflow represented on the workflow diagram, as well as the current state of the agreement in the upper left corner of the workspace.
5. From the agreement's workspace, click the **History** tab to see the latest activities performed on the agreement. You can also click on the activity hyperlink to view the activity details.

Agreements Workspace

Workspaces allow users to find key agreement information quickly and easily. The agreement workspace is where anyone with access to the agreement can find a summary of information about the agreement, such as the current state, key dates, the history of actions taken, the agreement document, related projects, etc. From the workspace, you can also perform various activities for that agreement like add attachments or submit for review.

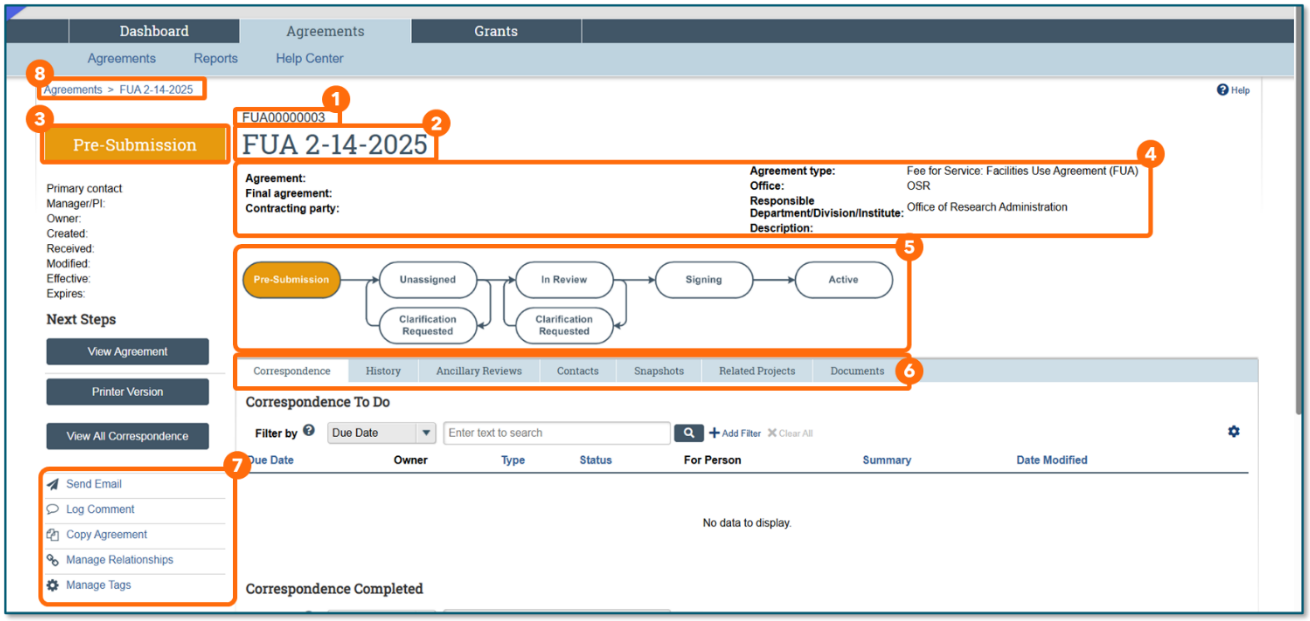
To navigate to the Agreement Workspace

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement you're trying to navigate to is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.

   ☆ **Tip:** To quickly search through the list of all agreements, you can use the "Filter by" search functionality to filter and narrow the results. Review the Search for Records section in this guide for more information.

Workspace Components

PAM workspaces will share a similar layout and some of the same features. The below image highlights the main components of the PAM Agreements workspace that you should become familiar with. Each numbered box in the image is described below.



1. **Unique Agreement ID** – each agreement will be automatically assigned with a unique agreement ID number. The ID prefix will indicate the agreement type; review the Agreement Types section in this guide for more information.
2. **Agreement Name** – the agreement name entered in the “Title or internal reference number” question 4 on the “Agreement Upload” SmartForm page will appear here.
3. **State and key contacts/dates** – the state of the agreement will appear in the orange box in the upper left corner of the workspace, and underneath the state, the key contacts and dates relevant to the agreement will be listed. The state in this section may be different from what is shown on the workflow map, as the workflow map provides a high-level overview of the review and negotiation process (i.e., the workflow map may show the agreement is “In Review”, while the state in the upper left will provide more detail to clarify the agreement is under “External Review”)
4. **Summary information** – the summary information will appear under the agreement name and will include the following key elements: a version of the current agreement document, a PDF version of the agreement document once it has been finalized, the contracting party, agreement type, office managing this agreement, the responsible department/division/institute, and a preview of the description entered into the SmartForm.
5. **Workflow map** – the workflow map provides a high-level visual representation of where the agreement is in the overall workflow. The state in the upper left corner of the workspace will provide more context on the current status.
6. **Workspace tabs** – the tabs on the workspace organize the following information about the agreement:
    a. **Correspondence** – this tab lists both captured emails and action items created by the agreement owner to help manage and track the review process. This tab will be used frequently to follow-up on tasks with reviewers, contracting parties, or others related to the agreement.

    b. **History** – this tab shows a history of the activities/actions that have been performed on the agreement, including who performed the activity and the date/time. You can click the activity name in the History to open a slide-in window which will display more details about the activity and any changes that occurred
    c. **Contacts** – this tab lists the key people involved in this agreement, including the owner, contracting party, PI, primary contact, agreement collaborators and administrative editors.
    d. **Snapshots** – this tab lists links to read-only copies of the agreement SmartForm captured at key state transitions in the process, such as when the agreement is submitted for review. The columns will identify the state of the agreement during the snapshot and the date/time which the snapshot was taken. Clicking on the snapshot will open the page in a new window.
    e. **Amendments** – if an active agreement has been amended, this tab will appear on the agreement workspace and the related amendments will display here. You can click on the ID or name of the amendment to go to the amendment workspace.
        i. **Note:** If the agreement does not have any related amendments, then this tab will not appear on the workspace.
    f. **Related Projects** – this tab shows all agreements, funding proposals and awards linked to this agreement.
        i. **Note:** For related projects to appear under this tab, the agreement must either be created directly from the funding proposal or award record using the Create Agreement activity from the funding proposal or award workspace, which will automatically link the records, or using the Manage Relationships activity to manually establish a linkage.
    g. **Documents** – this tab links to supporting documents added in the agreement SmartForm. To open a document, click the file link.

7. **Activities** – under Next Steps, different buttons and activities you can perform will be listed. The activities available to you may vary depending on your security permissions and the state of the agreement. Review the Activities section in the appendix of this guide for more information.
8. **Breadcrumb trail** – this shows the pathway to the agreement to help orient users to where they are in the system, and includes hyperlinks so you can easily navigate back to where you started

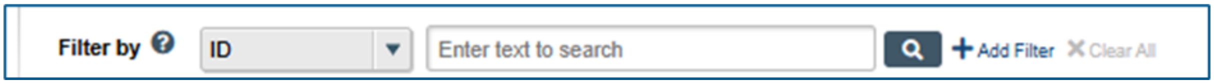
In addition to the above main workspace components, you will notice in-system **Help** – in the upper right corner of the workspace, a help bubble is available to provide assistance on some common agreement actions using helpful short video tutorials.

Search for Records

This section explains the different methods to search for agreement records.

Filter Feature

At the top of each list of agreements, you will notice the “Filter by” search feature. Using the filtering and search capabilities makes it easy to quickly locate a specific agreement and identify its current state. The filter lets you narrow down the data shown in the lists, and most lists in PAM have this filter feature.



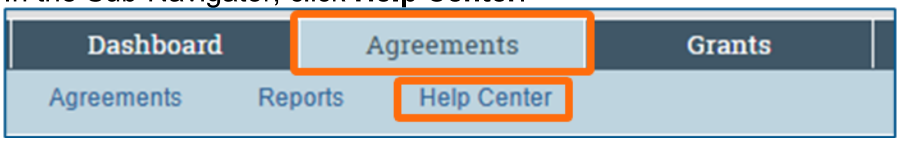
To use the filter feature, follow the steps below.

1. To review the different criteria that you can filter by, click on the help bubble next to Filter by. This will reveal the following options:
    a. **Filter by Text** – Type the first part of the text you want to find. Use % as a wild card.
        i. **Examples**:
            1. Typing `Gre` finds “great,” “Green,” and “Greetings.”
            2. Typing `%ack` finds “tack” and “Blackwell.”
    b. **Filter by Dates** – Type the date, such as `5/23/2015`. Filter to the minute by including the time, such as `5-23-15 1:42 PM`.
    c. **Use Comparison Operators to Make Your Filter More Efficient** – Valid Operators: !=, >, >=, <, <=
        i. **Examples:**
            1. Filter a date field with `> 5/23/2015` to find all values after that date.
            2. Filter a numeric field with `!= 0` to find non-zero values.
    d. **Use Boolean Operators for Complex Searches** – Valid Operators: -or, -and
        i. **Examples**:
            1. Find any of several text values, such as filtering a name column with `Shawn -OR Shaun`.
            2. Find everything between two numbers, such as filtering a numeric column with `> 10000 -and <= 50,000.`
2. The drop-down menu options to the right of Filter by will display a list of the column headers that are in blue (i.e., the columns that can also be used for sorting the list).
    a. On the “All Agreements” tab on the Agreements page, the drop-down list options will include the agreement ID, name, agreement type, PI first and last name, contracting party, state, owner first and last name, and the last modified date.
    b. With these filtering options, you can narrow your search results to the search criteria that will be most helpful to you to locate the agreement(s) you’re searching for.
3. To use the filter, start by selecting the item you want to search on, for example, the ID, name, or state.
4. Next, type the characters, numbers, or text, into the search box and click the magnifying glass icon or hit “Enter” on your keyboard.
5. If you want to add more filter criteria, you can click **Add Filter** and then add another filter criteria line and the system will return all items meeting both criteria.

Help Center Overview

The PAM Agreements module will include a Help Center which all PAM users can access to review helpful resources, such as quick reference guides and video tutorials. To access the PAM Agreements Help Center to view these resources, follow the steps below.

1. In the Top Navigator, click **Agreements**.
2. In the Sub-Navigator, click **Help Center**.



3. From the Help Center, under the **Quick Reference** tab you'll see the quick reference guides pertinent to PAM Agreements. Click on the file name of the guide you wish to open. Depending on your browser settings, the guide may open in a new window, where you can then save it to your local drive, or the guide may download to your Downloads folder upon clicking the link.
4. To access helpful videos, click the **Videos** tab. Click on the video name you wish to view. Depending on the video file type, the video will either open in a new window for you to view, or the video file may download to your Downloads folder upon clicking the link.

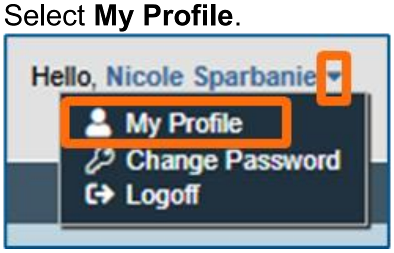
If you have additional questions or need further information that is not covered in the Help Center, contact (Insert help plan here).

Manage My Profile

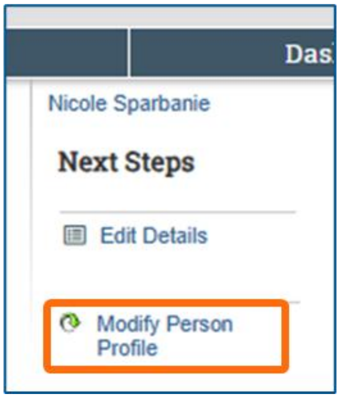
The **Modify Person Profile** activity in Grants allows all users to update select data on their profile, including Name, ERA Commons Username, and ORCID. All users have access to the **Modify Person Profile** activity for their own profile only. Follow the steps below to navigate to Grants and update your profile.

To update My Profile

1. Log in to PAM and click Grants on the Top Navigator. This brings you into the Grants module.
2. In the top-right corner of the page, click the down arrow next to your name.
3. Select **My Profile**.



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



5. Update the necessary information in the Person Information slide-in window.
6. Click **OK** to save your changes.

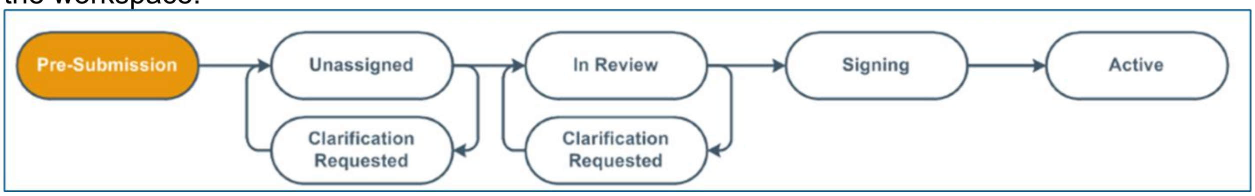
Creating and Submitting Agreements

Agreements Workflow

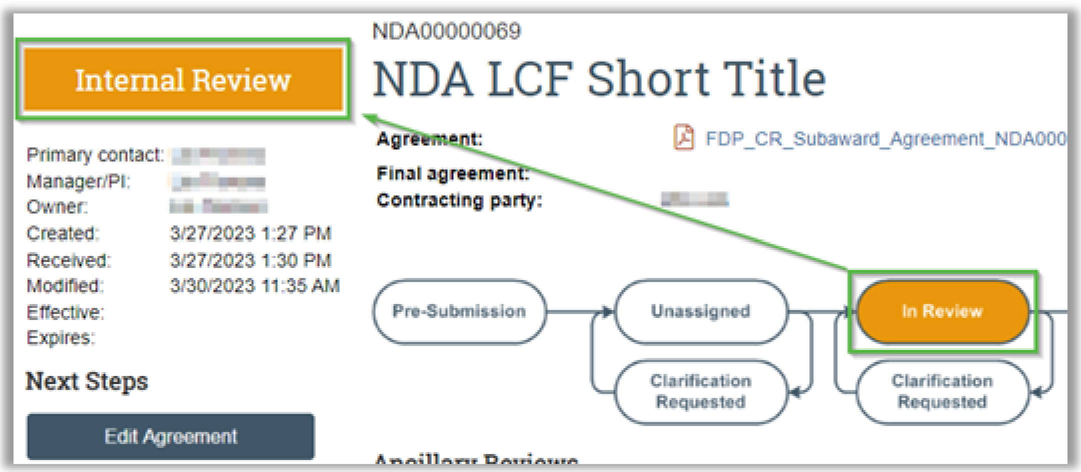
In PAM Agreements, one workflow is designed for all agreement submissions, including:

- New agreements
- Amendments to agreements

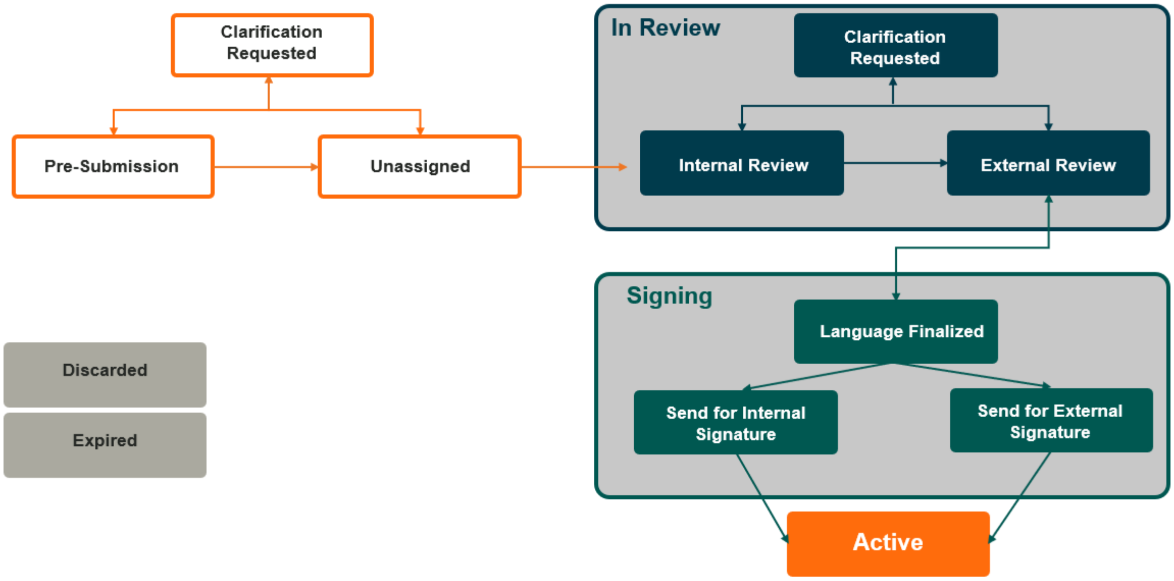
On each agreement workspace, you will see the below workflow diagram which summarizes the workflow at a high-level. The orange bubble in the workflow diagram will identify where the agreement is in the review process, in conjunction with the orange box in the upper left corner of the workspace.



The orange box in the upper left corner of the workspace will display the current state of the agreement, which in some cases will be more detailed than the states in the workflow diagram. For example, an agreement that's in the In Review state in the workflow diagram may show as being under External Review in the upper left corner.



The diagram below shows all of the workflow states in PAM Agreements and the different review pathways that lead to each state. See below for more information on state transitions.



1. All agreements start in **Pre-Submission**, then when they're submitted, they move to the **Unassigned** state for an OSR owner to be assigned.
    a. If clarification is requested while the agreement is unassigned, then the agreement will move to the **Clarification Requested** state, and when the response to the clarification request is submitted, the agreement will move back to the **Unassigned** state.
    b. The agreement will stay in the Unassigned state until OSR assigns a team member to oversee the review, negotiation, and signing process.
2. Once an OSR owner is assigned to oversee the agreement through the rest of the review process, then the agreement will move from the Unassigned state to the **In Review** state in the workflow diagram. Within the In Review state, the agreement can be routed to **Internal Review** or **External Review**.
    a. During either of these states, clarification can be requested if more information is needed for the review to be completed. If clarification is requested, the agreement will move to the **Clarification Requested** state in the workflow until a response is provided to the clarification, then it will move back to either the **Internal** or **External Review** state.
3. After an agreement goes through internal and external review and the agreement language is approved, it will then move to the **Signing** state in the workflow. In Signing, there are also additional workflow states as you see in the diagram above. The more detailed state will appear in the orange box in the upper left corner of the agreement workspace.
    a. For example, when the agreement language is approved, the agreement will be in the **Signing** state in the workflow diagram, but the state in the upper left-corner will say **Language Finalized** to indicate the agreement language has been approved but it has not yet been sent for signatures.
4. PAM will include 3 signature-relates states: (1) **Send for Internal Signature**, (2) **Send for External Signature**, and (3) **Send for Signatures (AdobeSign)** if AdobeSign will be used to collect signatures electronically. Once all signatures have been completed, then the agreement will move into the **Active** state.

5. The two workflow bubbles on their own on the left are some additional states that you may see in PAM if an agreement is either discarded, meaning it's permanently withdrawn from the review process, or if an agreement expires. Agreements in the **Discarded** or **Expired** states will not have a workflow diagram on their workspace; they will say "Discarded" or "Expired" in the orange state box in the upper left-corner of the workspace.

Throughout the workflow before the agreement reaches the Signing state, PAM Agreements allows flexible management of Ancillary Reviews, which are ad-hoc reviews that can be assigned by person or organization while the agreement is in the following workflow states:

- Pre-Submission, Unassigned, In Review (Internal Review and External Review), and Clarification Requested

Review the Managing Ancillary Reviews section in this guide for more information.

Workflow States

The below table describes all of the workflow states in PAM Agreements, what actions can be performed during each state, and what actions are needed in that state to move to the subsequent state.

State transitions occur when authorized users execute specific activities on agreements. Review the Activities section in the Appendices of this guide for more information on activities that can be executed in PAM Agreements.

Initial State	During This State…	To Move To The Next State…	Next State
(No State)	Any PAM user can create a new agreement.	The user creating the new agreement must click **Continue** on the first page of the agreement SmartForm or click **Save** at the bottom of the page to save the agreement. This saves information entered in the SmartForm and creates the agreement ID. The agreement will stay in Pre-Submission until it is submitted.	Pre-Submission
Pre-submission	The PI, assigned PI proxy, or Primary Contact, and assigned collaborators can edit the agreement. The PI, assigned PI proxy, Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with the agreement can add ancillary reviewers to the agreement if needed.	The PI, assigned PI proxy, the Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with an agreement submits the agreement to OSR by executing the **Submit** activity.	Unassigned

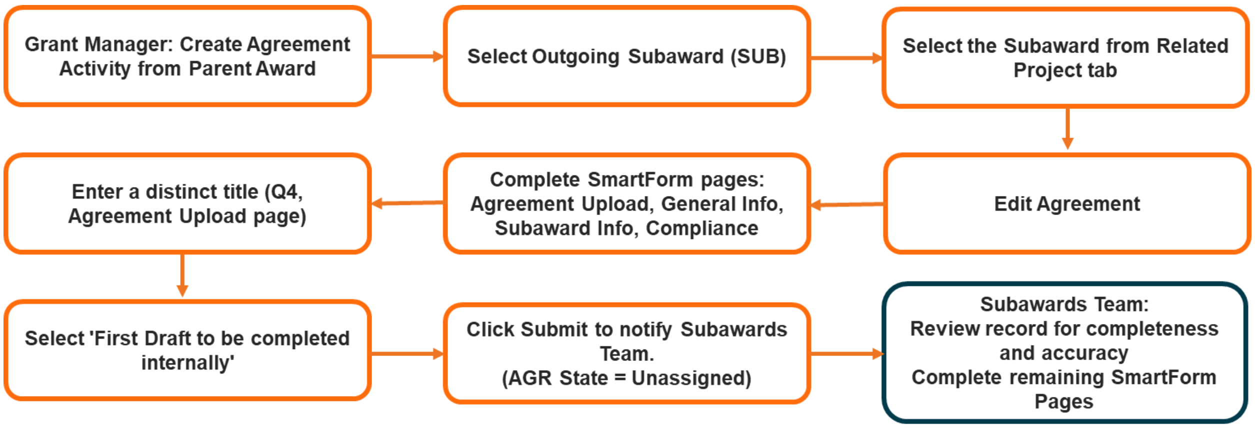
	Note: By default, the person who creates an agreement is the assigned Primary Contact of that agreement. If the Primary Contact is replaced by someone else, then the person who creates the agreement will have read or write permissions only in the Pre-Submission state.		
Unassigned	Agreements Reviewer (REV) reviews the agreement.	REV takes ownership of the agreement or assigns it to another OSR team member by executing the **Assign Owner** activity.	Internal Review
		REV requests clarification from the PI or Proxy about the agreement submitted by executing the **Request Clarification** activity.	Clarification Requested
Clarification Requested	The PI, assigned PI proxy, Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with an agreement can edit the agreement in response to the reviewer's clarification request.	The PI, assigned PI proxy, or the Primary Contact submits changes and responds to the reviewer's clarification request by executing the **Submit Changes** activity.	Unassigned, Internal Review, or External Review (returns to the state in which the clarification request was made).
Internal Review	REV can generate the agreement for review. REV can edit the agreement or upload a revision. REV can email the agreement to other PAM Agreements users to review. REV can set up correspondence reminders to follow up with internal, 3rd party, or ancillary reviewers.	REV moves the agreement to External Review by executing the **Move to External Review** activity. **Note:** REV will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.	External Review
		When all parties agree on the agreement language and all the required ancillary reviews are	Internal Signature

	REV can add ancillary reviewers and update ancillary reviews.	completed, the REV approves the language by executing the **Approve Language** activity and under question 2 indicates “Yes” for the agreement to be routed for Internal Signature first.	
		Same as above except the REV executes the **Approve Language** activity and indicates “No” under question 2.	Language Finalized
External Review	Same as Internal Review: REV can generate the agreement for review. REV can edit the agreement or upload a revision. REV can email the agreement to other PAM Agreements users to review. REV can set up correspondence reminders to follow up with internal, 3rd party, or ancillary reviewers. REV can add ancillary reviewers and update ancillary reviews.	REV moves the agreement to Internal Review by executing the **Move to Internal Review** activity. **Note:** REV will move the agreement back and forth between Internal and External Review to reflect who is reviewing the agreement.	Internal Review
		When all parties agree on the agreement language and all the required ancillary reviews are completed, the REV approves the language by executing the **Approve Language** activity and under question 2 indicates “Yes” for the agreement to be routed for Internal Signature first.	Internal Signature
		Same as above except the REV executes the **Approve Language** activity and indicates “No” under question 2.	Language Finalized
Language Finalized	REV can upload the final version of the agreement for	For wet ink signatures if Caltech will sign first, REV routes the agreement for internal signature by	Internal Signature

	signature (or confirm the final agreement is in PAM). REV can convert the agreement to a PDF before signing using the **Convert to PDF** activity. This is a required step if AdobeSign will be used to gather signatures, and before the agreement can be activated.	executing the **Send for Internal Signature** activity. **Note:** This is not needed if AdobeSign will be used to gather signatures.	
		For wet ink signatures if a 3rd party will sign first, REV sends out the agreement for signature by executing the **Send for External Signature** activity. **Note:** This is not needed if AdobeSign will be used to gather signatures.	External Signature
		If AdobeSign will be used to gather signatures, REV prepares the AdobeSign envelope and routes for signatures by executing the **Send for Signatures** activity.	AdobeSign Signatures
Internal Signature	REV can upload the final version of the signed document if wet ink signatures were obtained. REV can convert the agreement to a PDF (if not done before receiving signatures).	Once all wet ink internal signatures are received, REV sends the agreement out to the 3rd party for signature by executing the **Send for External Signature** activity. **Note:** This is not needed if AdobeSign will be used to gather signatures.	External Signature
		REV moves the agreement back to Internal or External Review by executing the **Move to Internal Review** or **Move to External Review** activities.	Internal Review or External review
		REV routes the agreement for AdobeSign signatures by executing the **Send for Signatures** activity.	AdobeSign Signatures
		When all signatures have been received, REV	Active

		activates the agreement by executing the **Activate** activity (or approves the amendment by executing the **Approve** activity).	(“Approved” for amendments)
External Signature	Same as Internal Signature: REV can upload the final version of the signed document if wet ink signatures were obtained. REV can convert the agreement to a PDF (if not done before receiving signatures).	Once the 3rd party wet ink signatures are received, REV routes the agreement for internal signatures by executing the **Send for Internal Signature** activity.	Internal Signature
		REV moves the agreement to Internal or External Review by executing the **Move to Internal Review** or **Move to External Review** activities.	Internal Review or External review
		When all signatures have been received, REV activates the agreement by executing the **Activate** activity (or approves the amendment by executing the **Approve** activity).	Active (“Approved” for amendments)
Active	Once the agreement is active, the PI, assigned PI proxy, the Primary Contact, or an Agreement Manager or Reviewer belonging to the office associated with the Agreement can create an amendment, provided there is no other active amendment to this agreement. REV can terminate the agreement if needed.	The Active state is a terminal state signifying the end of the agreement review workflow. Agreements that expire or are terminated will move from being Active to the Expired state or to the Terminated state, if applicable. Agreements that have no end date will move into the Evergreen state.	

Outgoing Subaward Workflow



The steps below describe the Outgoing Subaward workflow in more detail.

Grant Managers will:

1. Create an Agreement Activity from the Parent Award.
2. Select the **Outgoing Subaward (SUB)** option.
3. Navigate to the **Related Project** tab and select the Subaward you just created.
4. Click **Edit Agreement**.
5. Complete the **Outgoing Subaward Agreement SmartForm** pages, including:
    a. Agreement Upload
    b. General Information
    c. Subaward Agreement Information
    d. Subaward Regulatory Compliance

    The Subawards Team will complete the remaining SmartForm pages.
6. On the **Agreement Upload** page (Q4), enter a distinct and recognizable title.
7. Select **First Draft to be completed internally**.
8. Click **Submit** to notify the Subawards Team. The Agreement state will update to Unassigned.

The Subawards Team will review the record for completeness and accuracy.
The Subawards Team will handle the rest of the process, which includes converting the requisition to Techmart and Oracle POs, drafting and negotiating the subaward agreement, and executing and distributing the subaward internally.

Agreement Types

PAM Agreements SmartForms support the following agreement types:

ID Prefix	Agreement Type	Description

SUB	Outgoing Subaward	Agreement between Caltech and a subrecipient under a sponsored program.
SRA	Sponsored Research Agreement	An SRA is needed when an outside institution provides funding to support a specific research project. This agreement type will only be used by Sponsored Research (never initiated by GMs).
URC	Unfunded Research Collaboration	An agreement under which two or more parties agree to collaborate on a defined research project.
ELA	Equipment Loan Agreement	Outlines the terms of lending equipment for research purposes. It protects the equipment and ensures its return.
SLA	Sample Loan Agreement	Outlines the terms of lending study samples for research purposes. It protects the equipment and ensures its return.
OTH	Other	The Other Agreement type should be chosen when the agreement does not fit any of the other defined types. This option should rarely be used.
FUA	Fee for Service: Facilities Use Agreement	Agreement to provide third party personnel access to Caltech research facilities under which no Caltech research will be performed.
TSA	Fee for Service: Technical Services Agreement	Agreement to provide a third party with Caltech laboratory services under which no third party personnel will be onsite.

MOU	Memorandum of Understanding	A non-legally binding agreement between two or more parties that are used to coordinate activities between the parties. A legally binding agreement may be needed in the future if the activity contemplated by the MOU is successful.
GFT	Gift	Records a donation to a research project.

Non-funded Agreements

Non-funded agreements may include Material Transfer Agreements (MTA), Data Use Agreements (DUA), Non-Disclosure Agreements (NDA), Collaboration Agreements (CA), a Letter of Indemnification (LOI), or a Memorandum of Understanding (MOU).

Non-funded agreements can be created as stand-alone agreements in the Agreements module, whereas funded agreements should be created from the related Grants record so that the agreement can be automatically linked to the related funding proposal or award.

Funded Agreements

Funded agreements may include Sponsored Research Agreements (SRA). Agreements that are related to a funding proposal or award record should be initiated from that record's workspace. Review the Create and Submit Agreement from Grants section in this guide for more information.

Create and Submit an Agreement

When you create an agreement, you are required to complete a series of pages. The number of pages depends on the type of agreement. Follow the steps below to create and submit an agreement.

To create an agreement

1. From the PAM Dashboard, click the **Create** menu and then select **Create Agreement**.
    - **Note:** If the agreement is related to an existing funding proposal or award, review the Create and Submit Agreement from Grants section in this guide for instructions on how to create the agreement from the related Grants record.
2. Complete all required fields on the Agreement Upload page.
3. For question 3, if the agreement document has already been drafted, you can attach it by clicking the **Upload** button. However, OSR will create the first draft of the agreement using a Caltech template, check the **First draft to be generated internally?** box instead.
4. For question 5, select the appropriate agreement type. After completing this page, click **Continue** and enter all required information in the following pages.
    - Review the Agreement Types section in this guide for more information.

- ☆ **Tip:** After selecting the Agreement Type, you can hover over the type selected with your mouse to read a description with more details.

5. Depending on the Agreement Type selected, additional SmartForm pages specific to that type will be added. Click **Continue**.
6. Complete all required fields and once you've completed each page, move on to the next page by clicking **Continue**.
   - **Important!** Do not complete the "Negotiation Information" page as this section is only to be filled in by OSR.
7. On the last page, follow the completion instructions and then click **Finish**.
   - **Note:** Failure to fill out correctly and completely will cause delays and the agreement will be routed back to the department.

When you click Finish from the SmartForm:

- You have not yet submitted the agreement. The workspace of the created agreement displays, and the workflow state is **Pre-Submission**.
- The agreement will stay in your inbox, and you can continue to edit the agreement until you submit it for processing.
- The **History** tab on the agreement workspace will log who created the agreement.

Note: By default, the person who creates an agreement is assigned as the Primary Contact in the system. The Primary Contact can be changed, and if that happens, the person who creates the agreement will:

- See the agreement in My Inbox only during the Pre-Submission state.
- No longer have read and write permissions on that agreement.
- Not be able to create amendments for the agreement.

To submit an agreement

1. Check if all the information is accurate and complete.
   - ☆ **Tip:** You can verify you've completed all required SmartForm fields by clicking **Edit Agreement** on the workspace and then at the top of the left navigation panel, click **Validate**.
2. At the left of the agreement workspace under Next Steps, click **Submit**.
3. Click **OK** to accept the statement and submit the agreement.

When this Submit activity is executed:

- The agreement advances to the Unassigned state. The appropriate OSR team member will assign a team member to oversee the agreement through the review, negotiation, and signing process.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.

- The PI and Proxy will be notified throughout the workflow if clarification is needed. The PI, Proxy, and Collaborators will be notified once the agreement language is approved. When the agreement is activated, they will also receive a notification with a link to the fully executed agreement.

Create and Submit an Agreement from Grants

The **Create Agreement** activity can be used to create a new agreement directly from a Grants funding proposal or award record. Follow the steps below to create and submit an agreement from Grants.

1. Navigate to the funding proposal or award record in Grants for which you'd like to create a related agreement.
2. On the left of the funding proposal or award workspace under Next Steps, click **Create Agreement** to initiate the creation of the agreement.
    a. **Note:** Using this activity will automatically associate the new agreement with that funding proposal or award so that the records will be linked.
3. On the Create Agreement activity form, under "Select an Agreement Type to create" select the agreement type you want to create and then click **OK**.
4. Once you've completed this activity:
    a. PAM will generate the new agreement under the "Related Projects" tab on the funding proposal or award workspace and basic information will be copied from the grant into the agreement, such as Owner (person who initiated the activity), PI, Agreement name (copied from Grants project name), etc.
    b. The agreement ID is auto-numbered using the Agreement Type prefix. Review the Agreement Types section in this guide for more information.
    c. The related Grants record will also appear under the "Related Projects" tab on the agreement workspace, allowing easy navigation between these related records.
5. To navigate to the agreement you created, click the "Related Projects" tab on the funding proposal or award workspace.
6. From the "Related Projects" tab, click on the agreement to go to the agreement workspace.
    a. **Note:** If you don't see the agreement appear right away, wait a few moments to allow the agreement to generate and refresh the page.
7. On the left of the agreement workspace under Next Steps, click **Edit Agreement** to open the SmartForm.
8. Now that you have created the agreement from the Grants record, continue by following the steps in the Create and Submit an Agreement section in this guide to complete and submit your agreement.

General Activities

Managing Ancillary Reviews

Ancillary review allows individuals, departments, and other organizations to give feedback on the agreement on an ad-hoc basis outside of the standard PAM Agreements workflow. Ancillary reviews can be required (i.e., the review must be completed before the agreement language can be approved) or optional (i.e., the review does not need to be completed for the agreement to be activated). Ancillary reviews can be requested by the PI, Proxy, or agreement creator in select workflow states.

During **Pre-Submission** and while the agreement is in the **Unassigned** state, the PI, assigned PI proxy, or an OSR staff member belonging to the office associated with the agreement can assign ancillary reviewers to the agreement. Once the agreement is assigned to an OSR negotiator (i.e., “owner”) and is in review, only OSR staff can assign ancillary reviewers. During these states, ancillary reviews will be managed by OSR.

Ancillary reviewers can be any registered user in PAM, for example, someone from the Principal Investigator’s (PI) department or a person in another agreement office. During the review process, ancillary reviewers log into PAM Agreements, review the agreement, and then submit a review indicating whether they accept the agreement.

The OSR owner assigned to the agreement can submit ancillary reviews on behalf of the reviewers. This is especially important for ancillary reviews that are required because the agreement language cannot be approved until all required ancillary reviewers have accepted the agreement.

Review the *PAM Agreements Ancillary Review Matrix* for more information on the ancillary review types that will be initiated by GMs while the agreement is in the Pre-Submission or Unassigned states.

All activities listed below are performed from the agreement workspace. Once an ancillary review is created, the details display on the agreement workspace under the workflow map.

Add an Ancillary Review and Check Review Status

You can add an organization or a person as an ancillary reviewer until you submit the agreement (while it is in Pre-Submission) and until it has been assigned an OSR owner (after submitting, while it is in the Unassigned state).

Note: For certain exceptional circumstances, such as institutional cost sharing or PI eligibility, an ancillary review *must* be included.

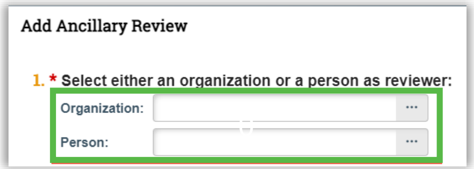
The steps below describe how to add an ancillary review and check the ancillary review status.

To assign an ancillary reviewer

1. In the Top Navigator, click **Agreements**. From the Agreements page, click the **All Agreements** tab, then click the agreement name to open it.

    Note: You can also open the agreement directly from your PAM inbox.

2. On the left of the agreement workspace under Next Steps, click **Manage Ancillary Reviews**.
3. Click **Add**. A slide-in window will open for you to add each organization or person who needs to provide an ancillary review.
4. In the **Organization** box or the **Person** box, you can begin typing the name of the organization or person you want to add as a reviewer. Alternatively, you can click the ellipses on the right to select an organization or person from the list.



5. Click the **Review Type** drop-down arrow and select the appropriate Ancillary Review type. Review the *PAM Agreements Ancillary Review Matrix* for more information.
6. For question 3, select **Yes** or **No** to indicate whether a response is required for this ancillary review.
7. Select **Yes** to trigger e-mail notification to be sent to the reviewer and select **No** if you do not want the reviewer to be notified in the **Send notification now?** field.

   Important! This field displays only when an ancillary review is created in the Pre-Submission state. After the project is submitted and in the subsequent states, the reviewers receive an e-mail notification by default.
8. Add comments or supporting documents for the reviewer as necessary. Click **OK and Add Another** to add multiple ancillary reviews if needed. Once complete, click **OK** to save your changes and close the slide-in window.
9. The added ancillary reviews will appear in the table on the Manage Ancillary Review activity window. Click **OK** to save and return to the workspace.

When this Manage Ancillary Reviews activity is executed:

- The assigned ancillary reviewers will receive email notifications, and the submission will appear in their PAM inbox.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

To check ancillary review status

1. To check on the status of an ancillary review, open an agreement in which ancillary reviewers have been added.
2. From the agreement's workspace, under the workflow map you will see a table summarizing the assigned ancillary reviews, where you can view the details and current status of each ancillary review.
3. Review the ancillary review information, including the **Person** and **Completed** columns, to check the review status for each ancillary review. The **Accepted** column will display whether the ancillary review was approved, and the table will include any comments or documents left by the reviewers. The **Reqd** column will display whether a response is required for the ancillary review.
   - **Note:** Required reviews must be completed before the agreement language can be approved.

To update an ancillary review

Once you have assigned one or more ancillary reviews, if the agreement is still in the Pre-Submission or Unassigned states, you can update ancillary reviews as needed following the steps below.

1. From the agreement workspace, click **Manage Ancillary Reviews** on the left.
2. Click **Update** next to the person or organization for the review you want to enter.
3. Select **Yes** if the review is required, and **No** if the review is not required in the **Is a response required?** field.
4. Select **Yes** if you agree with the agreement terms, and **No** if the agreement terms are not accepted in the **Do you accept this agreement?** field.
5. Select **Yes** if the ancillary review is complete, and **No** if the ancillary review is not complete and requires corrections or clarifications in the **Is the ancillary review complete?** field.
6. Add comments or attachments, if necessary and then click **OK**.

   Note: Only an OSR Contracts and Negotiations Team member should update this activity to indicate an agreement has been accepted or the ancillary review has been completed. When they do accept the agreement and indicate that it is complete:

   - The Approve Language activity no longer blocks the workflow and the agreement can proceed to the next step in the review process.
   - The agreement no longer displays in the ancillary reviewer's inbox.

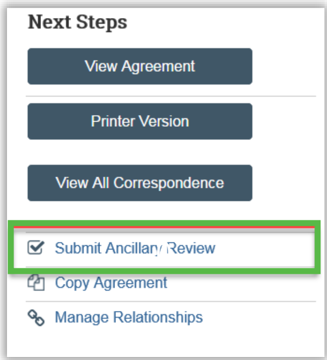
Submit an Ancillary Review

If you are assigned as an ancillary reviewer, you will receive an e-mail notification, the related agreement appears in your inbox, and the Submit Ancillary Review activity becomes available on the agreement workspace.

This procedure assumes you have finished reviewing the agreement and are ready to submit your review.

1. There are multiple ways to open the agreement you need to review:
   a. Email notification – In the ancillary review email notification you received, click the link to go to the item workspace.
   b. My Inbox – From your PAM inbox, click the name of the agreement you want to review. The agreement workspace will open.
2. On the left of the agreement workspace under Next Steps, click **View Agreement** to review the agreement SmartForm.
3. After completing your review, click **Exit** at the bottom-right of the SmartForm to return to the workspace.

4. On the left of the agreement workspace under Next Steps, click **Submit Ancillary Review**.



5. In the Submit Ancillary Review activity form, for question 1 select the ancillary review to submit and complete the remaining required fields.
6. For question 2, select **Yes** if you agree with the agreement terms, otherwise select **No**.
    - *For example:* If you do not accept the agreement terms, select **No** and add comments under question 4 to explain why you don't accept.
7. For question 3, select **Yes** if you've completed your review, otherwise select **No**.
    - *For 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 under question 4 to identify what's needed for you to complete the ancillary review.

      Note: All required ancillary reviews need to be completed before the **Approve Language** activity is executed. For the ancillary reviews that are not required, the Submit Ancillary Review option will display until the agreement is sent for signatures.
8. Add any comments and supporting documents you think necessary, then click **OK**.

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

- It does not change the state of the agreement.
- The agreement no longer displays in your PAM inbox.
- The details of the ancillary review are displayed on the agreement workspace under the workflow map.

Add an Agreement Collaborator (for read/edit access)

You can add or replace a Primary Contact or collaborator(s) in an agreement in any state without going through the amendment process. This action is done through the **Manage Access** activity which can be executed only on the parent agreement by the following users:

- OSR Contracts and Negotiations Staff
- PI/ Proxy
- Primary Contact
- Collaborators

- Organization-based Admin Editors

To add or replace Primary Contact or Collaborators in an agreement

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.
    - ☆ **Tip:** To quickly search through the list of all agreements, you can use the "Filter by" search functionality to filter the results. Review the Search for Records section in this guide for more information.
2. On the left of the agreement workspace under Next Steps, click **Manage Access**.
3. To add or replace a primary contact, next to the Primary contact field, click the ellipsis and select a primary contact, and then click **OK**.
4. To add one or more collaborators, next to the Agreements collaborators field, begin typing the collaborator's name or click the ellipsis and select the collaborator(s), then click **OK**. To remove collaborators, click on the X symbol to the far-right of their name.
5. Once you have completed the Manage Access activity form, click **OK** to save your changes.

When this Manage Access activity is executed:

- The changes made through this activity will immediately reflect in the parent agreement and as well as in the related amendments.
- The Primary Contact and collaborator(s) added will be able to view the agreement in their inbox and edit the agreement when it is in editable states.
- Collaborators will receive notifications throughout the workflow as defined in the Email Notifications section of this guide.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Manage Relationships

The **Manage Relationships** activity is used to relate agreements with other agreements or Grants records, such as funding proposals and awards. To manage relationships on an agreement, follow the steps below.

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.
    - ☆ **Tip:** To quickly search through the list of all agreements, you can use the "Filter by" search functionality to filter the results. Review the Search for Records section in this guide for more information.
2. On the left of the agreement workspace under Next Steps, click **Manage Relationships**.

3. Under question 1, you can start typing the name or ID of the related submission if you know it, or you can click the ellipses to the right to open the “Select One or More Projects” slide-in window.
   - **Note:** When creating a linkage using the Manage Relationships activity, continuations will not be available for selection.
   - If you need to link an agreement with a continuation proposal, use the Create Agreement activity from the continuation workspace in Grants. This will create a one-way linkage and will allow the continuation to appear on the Related Projects tab on the agreement and vice versa. Review the Create and Submit an Agreement from Grants section in this guide for more information.
4. From the slide-in window, search for the record(s) you want to relate to this agreement. All valid Grants projects and agreements available for selection will appear in this window.
   - ☆ **Tip:** The drop-down list to the right of “Filter by” allows you to narrow the search results by ID, name, organization, or project type.
5. After selecting the record(s), click **OK** to save your selection(s).
6. You can add any comments or supporting documents as needed. Once complete, click **OK** to execute the activity.

When this Manage Relationships activity is executed:

- All relationships will display under the **Related Projects** tab on both the Agreements and Grants record workspaces. Clicking on the ID or name of the related projects will open their workspaces, allowing easy navigation between these related records.
- The activity will be logged under the History tab on the agreement workspace, including any comments or documents left in the activity form.
- The Primary Contact and collaborator(s) added will be able to view the agreement in their inbox and edit the agreement when it is in editable states.

Assign a PI Proxy

A PI Proxy is an individual who is authorized by the PI to perform activities in PAM Agreements on the PI’s behalf, such as submitting agreements or creating amendments, and who will receive all the same notifications sent to the PI so that they can respond or take action.

To be assigned as a PI Proxy, the individual must first be listed as an Agreement Collaborator on that agreement. Review the Add an Agreement Collaborator section in this guide for more information. If the individual is not listed as a Collaborator on the agreement, they will not be available for selection in the Assign PI Proxies activity.

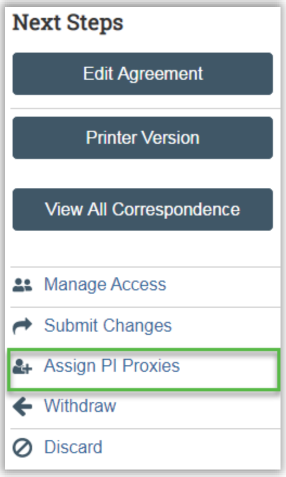
Note: Only the PI can execute the Assign PI Proxies activity, and this must be done per-agreement.

To assign a PI Proxy to an agreement, follow the steps below.

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.

☆ **Tip:** To quickly search through the list of all agreements, you can use the “Filter by” search functionality to filter the results. Review the [Search for Records](#) section in this guide for more information.

2. On the left of the agreement workspace under Next Steps, click **Assign PI Proxies**.



3. In the Assign PI Proxies activity window, select the agreement collaborators you’d like to act as proxies to perform responsibilities on behalf of the PI.
4. Once you have selected the proxies, click **OK**.

When this Assign PI Proxies activity is executed:

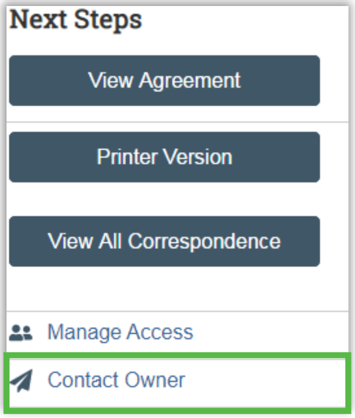
- The changes made through this activity will immediately reflect in the parent agreement and as well as in the related amendments.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show the proxies selected.

Contact the Owner

After an agreement is assigned an owner, the agreement transitions from the Unassigned state to the **In Review** state in the workflow. If an agreement is in the Pre-Submission or Unassigned states, the Contact Owner activity will not appear because the owner has not yet been assigned in these states. After an owner has been assigned, only the PI, Primary Contact, collaborators, and OSR staff will be able to execute this activity.

To contact the assigned owner on an agreement, follow the steps below.

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.
   - ☆ **Tip:** To quickly search through the list of all agreements, you can use the “Filter by” search functionality to filter the results. Review the [Search for Records](#) section in this guide for more information.
2. On the left of the agreement workspace under Next Steps, click **Contact Owner**.



3. In the Contact Owner activity window, type in the message you'd like to send to the assigned owner. If needed, you can include attachments, however this is not required.
4. Once you have entered a message to send to the owner, click **OK**.

When this Contact Owner activity is executed:

- The assigned agreement owner will receive an email notification containing your message and a link to the agreement.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details.

Discard an Agreement

If an agreement is no longer moving forward, then the agreement should be discarded. The below table defines who can execute the "Discard" activity during various states in the agreements workflow.

Agreement Workflow States	Who can "Discard"

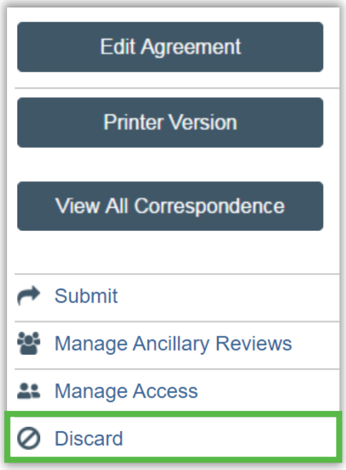
• Pre-Submission
• Unassigned
• In Review
    ○ Internal Review
    ○ External Review
• Clarifications Requested
• Internal Signature
• External Signature
• Language Finalized
	• Agreements staff in the related agreements admin office
	• Agreement manager/PI/Proxy
	• Agreement creator

To discard an agreement

1. From your PAM inbox, click the agreement name to go to the workspace. If the agreement is not in your inbox, click **Agreements** in the Top Navigator and locate the agreement on one of the tabs (All Agreements, Unassigned, etc.) then click on the agreement name.

- ☆ **Tip:** To quickly search through the list of all agreements, you can use the “Filter by” search functionality to filter the results. Review the Search for Records section in this guide for more information.

2. On the left of the agreement workspace under Next Steps, click **Discard** and then click **OK** to permanently remove the agreement from the workflow.



When this Discard activity is executed:

- The agreement will move into the “Discarded” state and will be permanently removed from the workflow.
- The agreement will be archived on the Agreements page under the **Archived** tab.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Participating in the Review Process

Respond to a Clarification Request

If a reviewer has questions or requires changes to the agreement submission, the PI, Primary Contact, and Proxy on the agreement will receive an e-mail notification indicating clarification is needed.

When the agreement is in the Clarification Requested state, it will show in the PAM inbox for the Primary Contact and Collaborators. GMs should monitor their PAM inbox to take action on agreements when they're in this state. The "In Process" tab on the PAM dashboard can also be used to monitor agreements in this state throughout your department.

Only the PI, Proxy, and the agreement creator will be able to respond to a clarification request. Collaborators and the Primary Contact will be able to view and edit the agreement in this state, however they will *not* be able to submit the response to the clarification request.

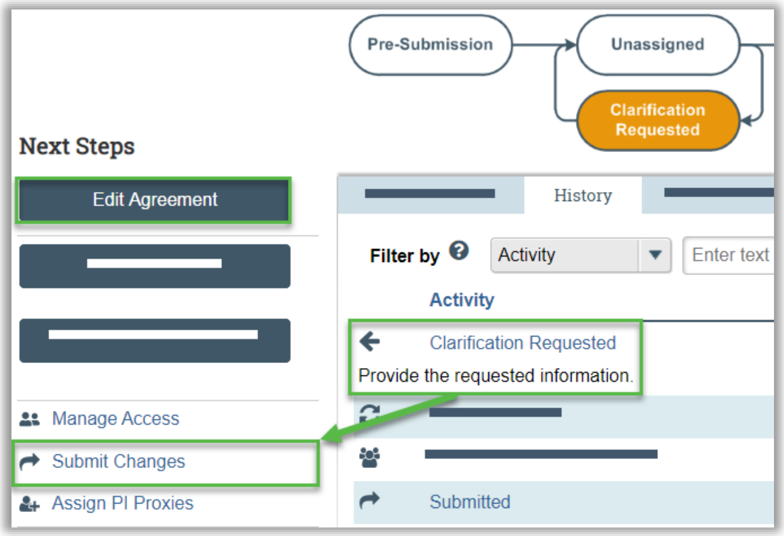
The below table defines who can execute the Submit Changes activity to respond to a clarification request.

Agreement Workflow States	Who can "Submit Changes"
• Clarifications Requested	• Agreement manager/PI/Proxy • Agreement creator

If you are an GM and you did not create the agreement, and if you will be responsible for responding to clarification requests, then you will need to ask the PI on the agreement to assign you as a PI Proxy to be able to submit changes on the PI's behalf. Review the Assign a PI Proxy section in this guide for more information.

To respond to a clarification request, follow the steps below.

1. From your PAM inbox, click the agreement name to open it.
2. From the agreement workspace, click the **History** tab.
3. Look for the **Clarification Requested** activity and review any reviewer comments.



4. If required, click **Edit Agreement** on the left and make the changes.

   Note: You can enter a response for the reviewer before submitting the changes to the agreement.

5. Click **Submit Changes**.

   Note: In case you have changed the agreement type, make sure to complete the related pages of the agreement type in the SmartForm. In case you miss filling out the pages or mandatory entries then the system will validate and present an error message. Only when the validation passes can you then go ahead and submit the change.

6. In the Notes box, type a response to the reviewer's comments or questions. If needed, you may also upload supporting documents.
7. Click **OK** to submit your changes. You have now responded to the clarification request**.**

When this Submit Changes activity is executed:

- An email notification will be sent to the assigned owner on the agreement letting them know that you have submitted your changes in response to the clarification requested.
- The agreement will move back into either the Unassigned, Internal Review, or External Review states (returns to the state in which the clarification request was made).
- The activity will be logged under the History tab on the agreement workspace, showing your response to the clarification requested.

Review Correspondence

PAM Agreements offers the ability to log and review correspondence directly on the agreement workspace. The Log Correspondence activity will be used by OSR staff to manage correspondence by status, type, and priority, as well as assign correspondence items to other users, set due dates, trigger reminders, and add notes or attachments. GMs will be responsible for reviewing logged correspondence following the steps below.

To review correspondence

1. When correspondence is logged on an agreement for you to review, you will receive an email notification with a link to the agreement. From this notification, click on the link to go to the agreement workspace.
2. On the agreement workspace under the "Correspondence" tab, you can see a list of all logged correspondence to-do items and the due date, owner (i.e., person who the correspondence is assigned to), type, status, the person for whom the correspondence is related, a summary, and the last date modified.
3. On the left of the agreement workspace under Next Steps, click **View All Correspondence**.
4. The View All Correspondence window will display the details of all logged correspondence, including any notes or attachments left by OSR staff. You can click Print in the upper right to print a copy of the window and click on the attachment links to download documents.

To respond to logged correspondence, review the Contact the Owner section in this guide for instructions. Once correspondence items are complete, OSR staff will mark them as completed and then they will appear under the "Correspondence Completed" section on the "Correspondence" tab of the agreement workspace.

Managing Amendments

Create and Submit an Amendment

You can create amendments for agreements in the Active, Expired, and Evergreen state. To create and submit an amendment to an agreement, follow the steps below.

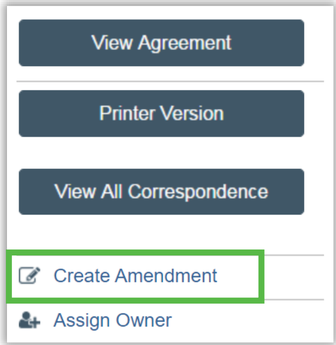
Notes:

- Only one amendment can be in progress at a time.
- You can add or replace Primary Contact and collaborators for an agreement without creating an amendment. This can be done through the **Manage Access** activity from the parent agreement workspace. Review the Add an Agreement Collaborator (for read/edit access) section in this guide for more information.

To create and submit an amendment

1. In the PAM Top Navigator, click **Agreements**.
2. On the **All Agreements** tab, click the name of the agreement to amend.

   ☆ **Tip:** To quickly search through the list of all agreements, you can use the "Filter by" search functionality to filter the results. Review the Search for Records section in this guide for more information.
3. At the left of the agreement workspace under Next Steps, click **Create Amendment**. The amendment SmartForm will open.



4. Make necessary changes to the agreement pages and add amendment documents, including other supporting documents if required.

    Note: The assigned Proxy, Primary Contact, and collaborators have the same edit rights to the amendment as the Agreement Manager or Principal Investigator (PI).

5. Click **Continue** to move to the next page or use the Left Navigator to jump to a specific page.
    - **Important!** Do *not* complete the "Negotiation Information" page as this section is only to be filled in by OSR.
6. When you have completed your changes, follow the completion instructions on the last page and then click **Finish**. The amendment workspace displays.
7. At the left of the workspace under Next Steps, click **Submit** to submit the amendment for review.
8. Click **OK** to confirm the amendment is complete and correct.

When this Submit activity is executed on an amendment:

- The amendment advances to the Unassigned state. The appropriate OSR team member will assign a team member to review, negotiate, and sign the amendment.
- The activity will be logged under the History tab on the amendment workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Notes:
- You can view the amendment workspace from the parent agreement by clicking the **Go to Amendment** button.
- From the parent agreement workspace, you can find information about related amendments under:
    - **Amendments** tab**:** Displays list of amendments initiated for the agreement along with their ID, description, state, and final amendment document link (if any).
    - **Documents** tab**:** Displays name and IDs of the agreement project along with the list of final agreement and amendment files and any supporting documents (in ascending alphabetical order) uploaded in the parent agreement and amendments.

Generating Agreements Reports

Find and run reports

To find and run a report in PAM Agreements, follow the steps below:

1. After logging in to PAM, in the Top-Navigator, click **Agreements**.
2. In the Sub-Navigator, click **Reports**.
3. On the Reports page, click the name the of the report you want to run. The report results will open in a slide-in window.

In each report, you can use the **Filter by** functionality to filter the list of results. Review the Filter Feature section in this guide for more information. You can also click **Actions** in the top right corner of the slide-in window to print, email, or export the report to a CSV file.

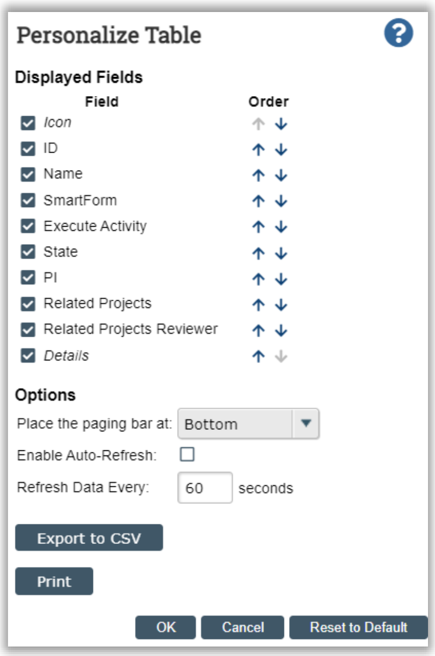
Personalize the Data Display

In addition to filtering information in a report to search for an entry or a list of related entries, you can further personalize how data is displayed in a report table using personalization features provided with PAM.

Using the Personalize Table options, you can choose to:

- Show or hide fields in a report table
- Change the order of fields in a report
- Change the position of the paging bar in the report slide-in window
- Auto refresh the report table data
- Export report data to a Comma Separated Value (CSV) format for analysis and reporting

Note: Logging out of PAM will not affect your saved preferences. The personalization preferences you select are saved in your browser and they will only go back to the default when you reset them, delete the browser cache, or if you use a different browser.



To personalize how data is displayed

1. Click the gear ( ) icon. The Personalize Table slide-in window will open.

Note: The gear icon is only available if personalization features are enabled on that table.

To hide or show fields

1. To hide a particular field in the table, clear the check box next to the field name. Alternatively, select the check box of the field name you want to show in the table.

Note: By default, all the field name check boxes are selected.

2. Click **OK** to save your changes.

To change the order of fields

1. In the Order column, click the up arrow next to a field name and the field moves one level up, which corresponds to one column left in your table.
2. Alternatively, click the down arrow next to a field name and the field moves one level down, which corresponds to one column right in your table.
3. Use the up and down arrows to arrange fields the way you want them displayed in the table and then click **OK** to save your changes.

To change the position of the paging bar

1. Click the **Place the paging bar at** arrow and select where you want to display the paging bar.

Note: By default, the paging bar always displays at the bottom of the table listing. You can change it to display at the top or bottom or both. If you have an extensive list, then having the paging bar at both (top and the bottom) helps in viewing the data across pages and controlling the number of items displayed on each page.

2. Click **OK** to save your changes.

To enable auto refresh of table data

1. Select the **Enable Auto Refresh** check box if you want the system to refresh data in the table automatically.

Note: If you do not select this check box, data will not be refreshed until you have an interaction with the page.

2. In the **Refresh Data Every** box, type the time in seconds to specify how often you want the table data to refresh.
3. Click **OK** to save your changes.

To export the table data to CSV

1. Click the **Export to CSV** button.

Note: Using the personalization options you have currently selected, the entries in your table get exported to a CSV file and downloaded to your system downloads folder. From there, you can open the file with Microsoft Excel to view and manipulate the data further.

To reset to default

- In the bottom right corner of the form, click the **Reset to Default** button to go back to the original default table settings.

Appendix

Activities

The table below contains all the activities that can be executed by the Caltech research community in PAM Agreements.

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 an agreement 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 Agreements.
- Review the Workflow States section in this guide for information on the valid states and state transitions that result from executing these activities.
- Review the User Roles and Security section below for more information on the user roles listed in the "Who can execute?" column.

Activity Name	Completed Name	Valid States	Who can execute?
Submit	Submitted	Pre-Submission	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator
Manage Ancillary Reviews	Managed Ancillary Reviews	Internal Review, External Review, Pre-Submission, Unassigned, Clarification Requested	• PI* • Proxy* • Agreements Reviewer • Agreements Manager • Agreement Creator* *Limited to Pre-Submission or Unassigned states
Submit Ancillary Review	Ancillary Review Submitted	Internal Review, External Review, External Signature*, Internal Signature*,	• Ancillary Reviewers selected in the Manage Ancillary Reviews activity

		Pre-Submission, Unassigned, Language Finalized*, Clarification Requested *Limited to ancillary reviews that are *not* required. Required ancillary reviews must be submitted before the agreement language can be finalized and routed for signatures.	
Assign PI Proxies	PI Proxies Assigned	All states	• PI
Manage Access	Managed Access	All states	• PI • Proxy • Primary Contact • Agreement Collaborators • Agreements Reviewer • Agreements Manager • Agreement Creator
Withdraw	Withdrawn	Internal Review, External Review, External Signature, Unassigned, Language Finalized, Clarification Requested, Internal Signature	• PI • Proxy • Agreement Creator
Discard	Discarded	Internal Review, External Review, External Signature, Internal Signature, Pre-Submission, Unassigned, Language Finalized, Clarification Requested	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator
Copy Agreement	Copied Agreement	All states	• Registered Users with access to the agreement
Contact Owner	Owner Contacted	Internal Review, External Review, Expired, External Signature, Evergreen, Language	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator

		Finalized, Clarification Requested, Internal Signature, Approved, Active	• Agreement Collaborators
Submit Changes	Changes Submitted	Clarification Requested	• PI • Proxy • Agreement Creator
Log Correspondence	Correspondence Logged	All states	• Agreements Reviewer • Agreements Manager
Manage Tags	Tags Managed	All states	• Registered Users with access to the agreement
Manage Relationships	Relationships Managed	All states	• Registered Users with access to the agreement
Create Amendment *_Note:_ there must not be an existing amendment already in progress.	Amendment Created	Active, Evergreen, Expired	• PI • Proxy • Primary Contact • Agreement Collaborators • Agreements Reviewer • Agreements Manager

Email Notifications

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

The column headers display the following information:

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

Notification	Description	Trigger	Recipients
Agreement Activated	Notification sent when an agreement is activated. Contains the following: • **Subject:** <Agreement ID] agreement activated • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator]	Sent when the **Activate** activity is executed.	• PI • Primary Contact • Proxy • Collaborators

	• **Title:** [Title of agreement] • **Body:** Notification of Activated The agreement is now active. For additional details, click on the link above.		
Agreement Expired	Notification sent when an agreement is past its expiration date. Contains the following: • **Subject:** [Agreement ID] has expired • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Owner:** [Owner] • **Body:** Notification of Agreement Expired This agreement has expired. Click the link above to see the details and create an amendment.	Sent when an agreement is past its expiration date.	• PI • Primary Contact • Proxy • Collaborators
Amendment Approved	Notification sent when an amendment to an agreement is approved. Contains the following: • **Subject:** [Agreement ID] agreement approved • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Approved The amendment has been approved. For additional details, click on the link above.	Sent when the **Approve** activity is executed on an amendment.	• PI • Primary Contact • Proxy • Collaborators

Approve Language	Notification sent when the agreement language is approved/finalized. Contains the following: • **Subject:** [Agreement ID] language finalized • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Language Approved The language has been approved for the agreement. For additional details, click on the link above.	Sent when the **Approve Language** activity is executed.	• PI • Primary Contact • Proxy • Collaborators
Assign Owner	Notification sent when an owner is assigned to an agreement. Contains the following: • **Subject:** [Agreement ID] owner assigned • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Owner:** [Owner] • **Body:** Notification of Owner Assigned	Sent when the **Assign Owner** activity is executed.	• Assigned Owner • PI • Primary Contact • Proxy • Collaborators
Contact Owner	Notification sent when the assigned owner of an agreement is contacted. Contains the following: • **Subject:** [Agreement ID] requires your attention • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement]	Sent when the **Contact Owner** activity is executed.	• Assigned Owner

	• **Body:** Notification of Owner Contacted [Message entered in Contact Owner activity]		
Edit Correspondence	Notification sent when correspondence logged on an agreement is edited *only if* the person editing the correspondence selects to notify specific people. Contains the following: • **Subject:** [Agreement ID] correspondence edited • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Correspondence Edited Correspondence has been edited on the agreement for you to review. For additional details, click on the link above.	Sent to selected users when the **Edit Correspondence** activity is executed or on the reminder date set in the activity. One or more of the people in the **Created by**, **Assigned to**, or **Related to** fields must have the "Notify" checkbox selected for notifications to trigger, otherwise the notifications will not send.	• Person(s) with the "Notify" checkbox selected under question 2 in the Edit Correspondence activity
Email Agreement	Notification sent when the Email Agreement activity is used to trigger a notification to the person(s) selected in that activity. Contains the following: • **Subject:** [Agreement ID] [Subject text from Email Agreement activity form] • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of agreement emailed [Body text from Email Agreement activity form]	Sent when the **Email Agreement** activity is executed by Agreements Staff.	• Person(s) selected in the **To**, **CC**, or **bcc** fields in the Email Agreement activity

Expiration Reminder	Reminder notification sent when the agreement end date is approaching. Contains the following: • **Subject:** [Agreement ID] nearing expiration • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Expiration Reminder	Sent automatically once each at 90, 60, and 30 days before the agreement end date.	• PI • Primary Contact • Proxy • Collaborators
Log Correspondence	Notification sent when correspondence is logged on an agreement *only if* the person logging the correspondence selects to notify or remind specific people. Contains the following: • **Subject:** [Agreement ID] correspondence logged • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Correspondence Logged Correspondence has been logged on the agreement for you to review. For additional details, click on the link above.	Sent when the Log Correspondence activity is executed by Agreements Staff or on the reminder date set in the activity. One or more of the people in the **Created by**, **Assigned to**, or **Related to** fields must have the "Notify" checkbox selected for notifications to trigger, otherwise the notifications will not send.	• Person(s) with the "Notify" checkbox selected under question 2 in the Log Correspondence activity
Request Clarification	Notification sent when clarification is requested on an agreement or amendment. Contains the following: • **Subject:** [Agreement ID] clarification was requested	Sent when the **Request Clarifications** activity is executed.	• PI • Primary Contact • Proxy

	• **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Requested Clarifications Clarifications have been requested on this submission. This requires a response from you. For additional details, click on the link above to review and provide clarification.		
Response Time Exceeded	Reminder notification sent when a response is not yet received from the PI or Proxy after clarification is requested on an agreement or amendment. Contains the following: • **Subject:** [Agreement ID] is waiting for clarification • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Reminder of Clarifications Requested **Reminder:** This agreement is awaiting your response to clarifications requested by the agreements staff or reviewers. Please click on the above link to access the agreement. If you do not intend to continue the review process for this agreement, please withdraw or discard the agreement.	Sent automatically every 3 days when a response is not received after the Request Clarifications activity is executed.	• PI • Proxy • Collaborators

Submit Changes	Notification sent when changes are submitted in response to a request for clarification. Contains the following: • **Subject:** [Agreement ID] updated with clarifications • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Body:** Notification of Changes Submitted The PI has responded to your requested clarifications and submitted them for approval. To navigate to the project workspace, click on the link above.	Sent when the **Submit Changes** activity is executed.	• Assigned Owner
Manage Ancillary Reviews (Organization)	Notification sent to members of an ancillary review organization (prefixed with **Anc Rvw**) when the organization is assigned as ancillary reviewer. Contains the following: • **Subject:** [Agreement ID] assigned for ancillary review • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Required:** [yes/no - whether review was marked required in Manage Ancillary Reviews activity] • **Body:** Notification of Ancillary Review	Sent when the **Manage Ancillary Reviews** activity is executed, and an organization is selected to perform the review.	• Reviewers defined under the organization selected in the Manage Ancillary Reviews activity

	An Agreement submission has been assigned to your organization for ancillary review. Click the link above to access and review the study.		
Manage Ancillary Reviews (Person)	Notification sent to individual ancillary reviewers when they are assigned as the person responsible for completing an ancillary review. Contains the following: • **Subject:** [Agreement ID] assigned for ancillary review • **Link:** [Link to agreement] • **P.I.:** [Principal Investigator] • **Title:** [Title of agreement] • **Required:** [yes/no - whether review was marked required in Manage Ancillary Reviews activity] • **Body:** Notification of Ancillary Review An Agreement submission has been assigned to you for ancillary review. Click the link above to access and review the agreement.	Sent when the **Manage Ancillary Reviews** activity is executed, and an individual person is selected to perform the review.	• Person(s) selected in the Manage Ancillary Reviews activity

User Roles and Security

The following table lists the functional user roles used in PAM Agreements and describes their uses throughout the site.

User Role	Description	Capabilities
Agreements Reviewer*	Users responsible for reviewing agreements and ensuring that review and communication processes are completed properly. ***Important!** Users with the Agreements Reviewer role	This role enables you to: • View all agreements assigned to your Agreements office • Create and submit agreements

	must also be added to the appropriate Agreements office to gain access to agreements.	• Create and submit amendments to agreements submitted by others • Assign the owner of a specific agreement • Manage access to an agreement • Generate an agreement document • Approve agreement language • Activate an agreement • Approve an amendment • Request clarification • Revise an agreement document • Finalize agreements • Terminate active agreements • Administratively change an active or expired agreement • Expedite approval of an amendment
Agreements Manager*	Users who have overall responsibility of Agreements administration. ***Important!** Users with the Agreements Reviewer role must also be added to the appropriate Agreements office to gain access to agreements.	This role is virtually identical to the Agreements Reviewer role. In addition, this role enables you to: • Be selected as the Agreement Manager/Principal Investigator for an agreement (see Study Staff below for details)
Global Agreements Viewer	Users who need to see all agreements for the institution.	This role enables you to: • View all agreements across all Agreements offices
Registered User	Any person with a user account in PAM.	This role enables you to: • Create and submit agreements

		- Respond to clarification requests - Submit an ancillary review (if assigned as ancillary reviewer) - Be selected as the primary contact or a collaborator, which lets you edit the agreement in Pre-Submission, Unassigned, and Clarification Requested states, and also create and submit an amendment and manage access - Copy any agreement accessible to you
Study Staff	Researchers involved in preparing agreements for review.	This role enables you to: - Be selected as the Agreement Manager/Principal Investigator for an agreement (a permission also available to the Agreement Manager, Principal Investigator, and Investigator roles), which lets you: - Edit the agreement in Pre-Submission, Unassigned, and Clarification Requested states - Submit - Submit Changes - Create Amendment - Manage Access - Assign PI Proxies - Manage Ancillary Reviews

Request PAM Access

If you need to request PAM access or request additional roles, contact OSR for more information.