PAM Agreements Guide
Office of Sponsored Research

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Introduction

Introduction to PAM

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.

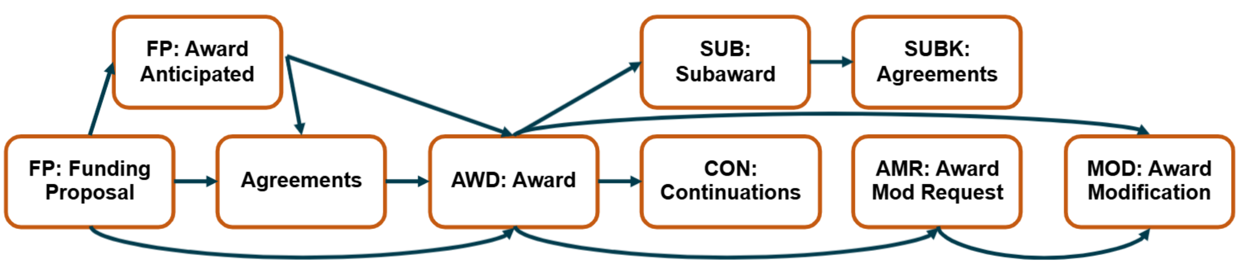
If a proposal is awarded and all terms agreed upon, or the research team requests an advance account, OSR will create an award in PAM, and it will go through a setup and data quality review process. If the award includes sub-recipients, OSR creates a subaward in the Grants module and an Outgoing Subaward 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.

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 and navigation in Agreements.

Dashboard

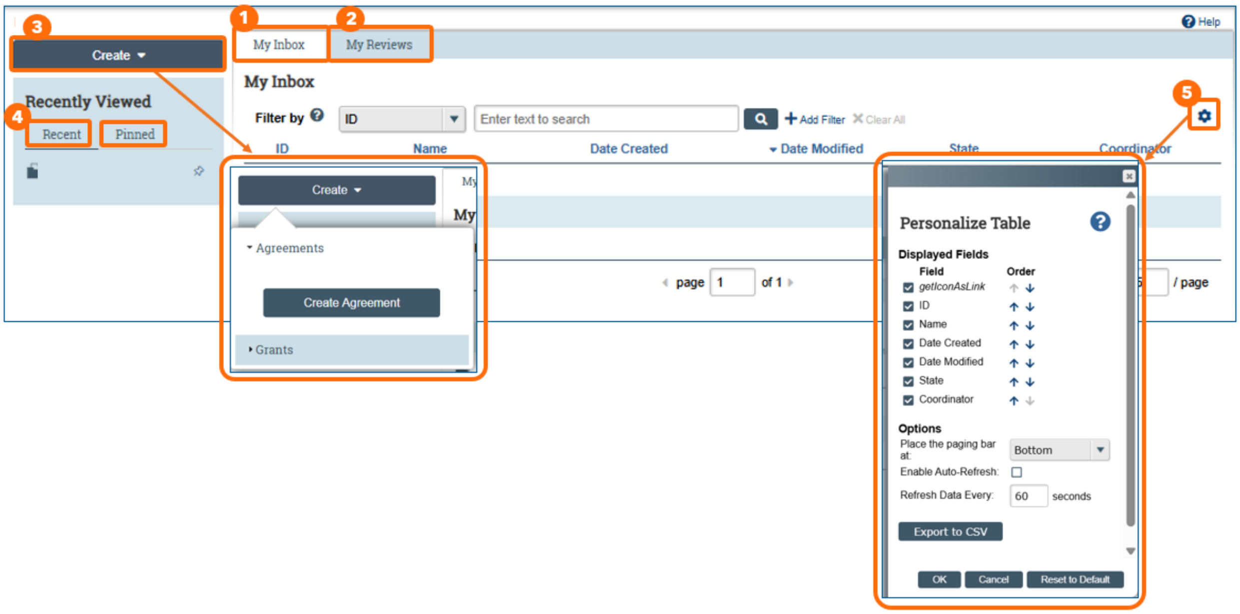
Overview

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 Grant Managers and the Office of Sponsored Research (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 in OSR, review the Agreements Central Office 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, SRA is a Sponsored Research Agreement and URC is an Unfunded Research Collaboration. 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.

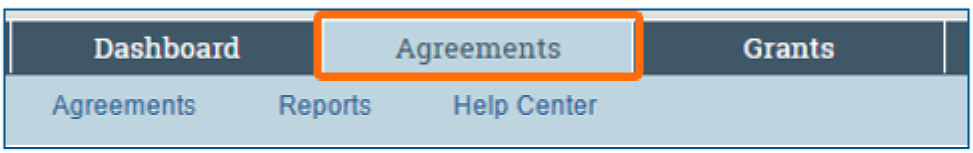
- Once pinned, the thumbtack icon will appear solid and the pinned item will appear on the Pinned tab, where it will remain until you unpin it.

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 information.
   - Review the Filter Feature section in this guide for more information on filtering capabilities.

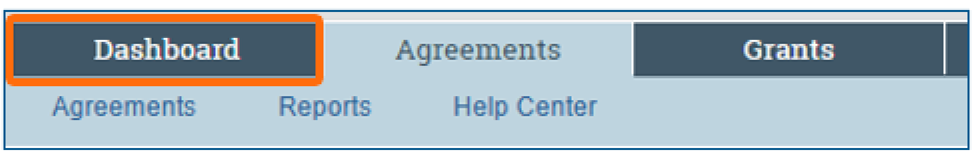
Navigating between Grants and Agreements Dashboard

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.



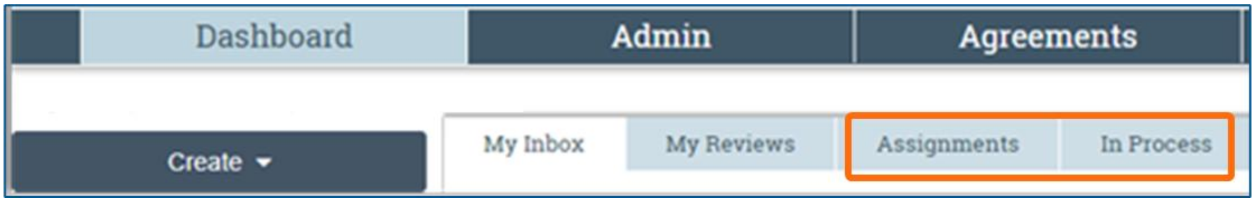
3. If you want to navigate back to the Grants module or dashboard, first click **Grants** in the Top Navigator. This brings you into the Grants module, specifically the Funding Proposal page.
4. From the Grants Funding Proposal page, if you click **Dashboard** in the Top Navigator once again, you will 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 Grant Managers.

Review the Agreements Central Office Dashboard section below for more information on the dashboard features OSR will see.

Agreements Central Office Dashboard

OSR will be assigned the Agreements Central Office Dashboard. This dashboard was designed to provide OSR with quick and easy access to relevant and frequented information in an organized, central location. From this dashboard, OSR will find information about their work assignments, identify critical and time-sensitive items requiring action, and resume tasks already started.



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

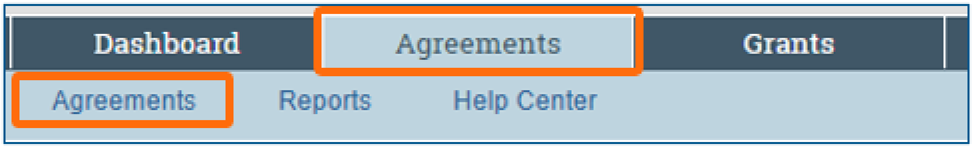
1. **Assignments –** this tab includes pie charts organized by agreement type, which provide a visual representation of individual workloads in your office. The pie charts show agreements assigned to you and other OSR staff so your teams can manage and balance workloads across team members.
   - You 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 re-assign agreement owners to balance workloads or cover an absent employee by updating the owner assigned 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 in PAM regardless of the owner 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 Owner (i.e., My Agreements and My Amendments) as well as all other agreements and amendments assigned to other OSR team members (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. Review the Filter Feature section in this guide for more information.

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.



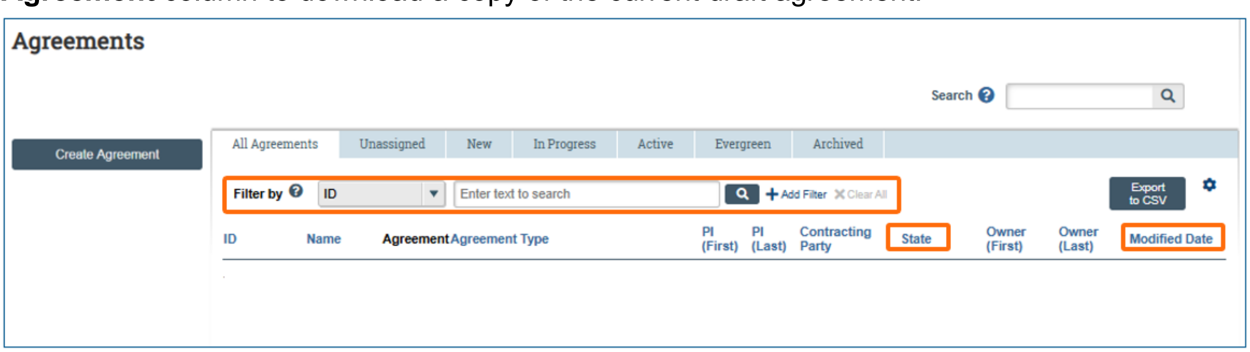
The Agreements page lists all agreements and amendments you have permission to view, grouped into the following useful categories:

- **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.



To take or assign ownership on an agreement

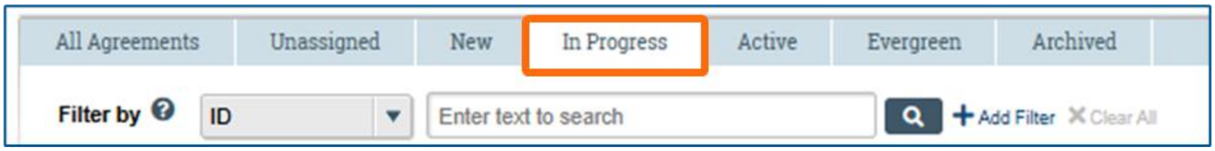
Review the Assign an Owner section in this guide for more information on assigning an owner to an agreement.

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 state, 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 quickly and easily find key information about a particular agreement. This 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.

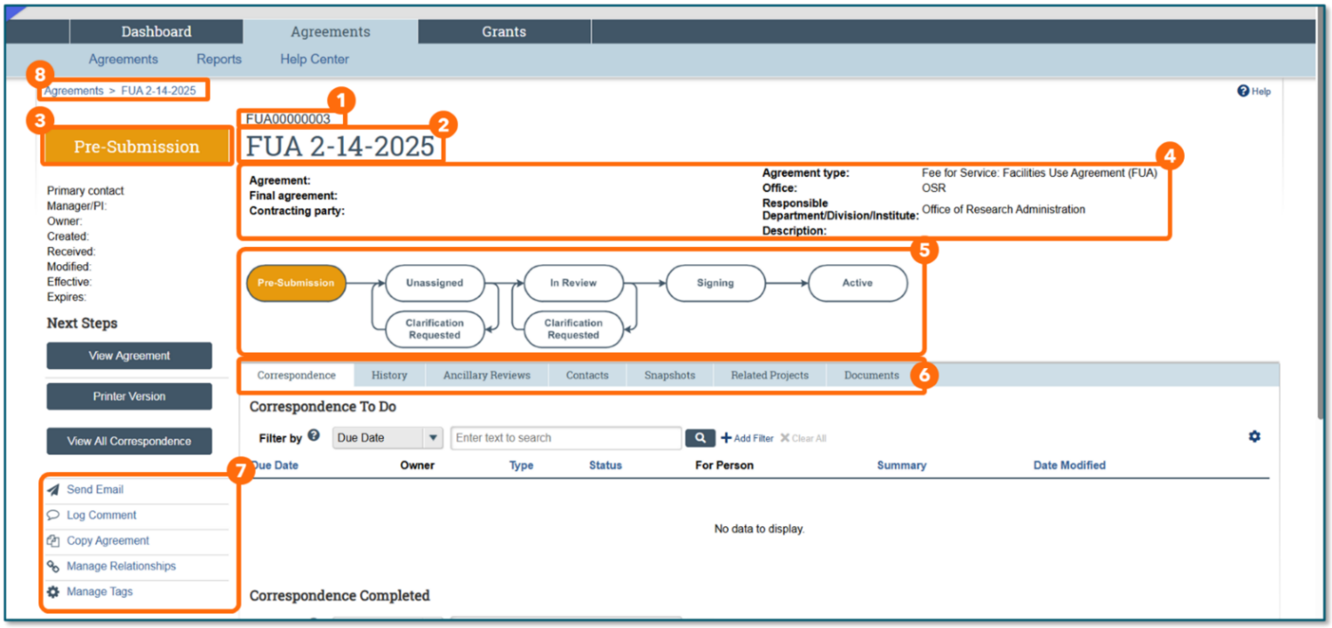
To navigate to the Agreement Workspace

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: 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 shows action items created by the agreement owner to help manage and track the review process (review the Log Correspondence section in this guide). 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 lists both captured emails (review the Email Catcher section in this guide) and 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.

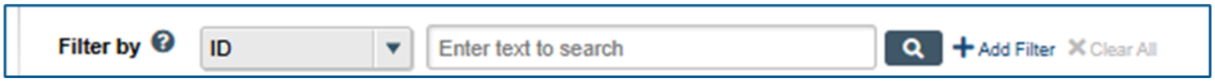
In addition to the above main workspace components, you will notice in-system **Help** – in the upper right corner of the workspace, a help bubble ? is available to provide assistance on some common agreement actions using helpful short video tutorials.

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.



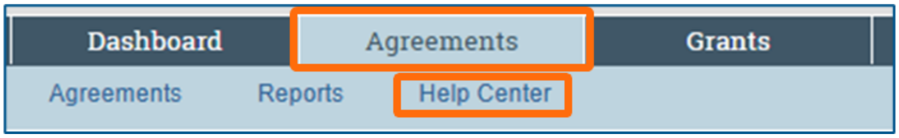
To use the filter feature, follow the steps below.

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.

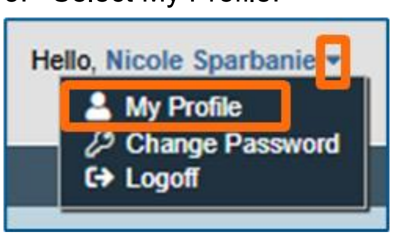
If you have additional questions or need further information that is not covered in the Help Center, contact SponsoredResearch@Caltech.edu.

Manage My Profile

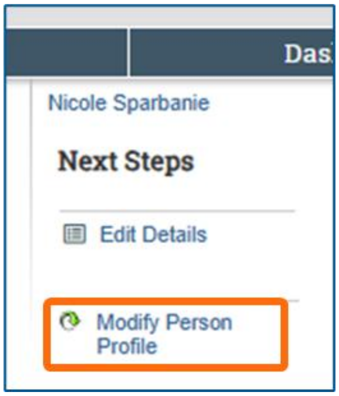
The **Modify Person Profile** activity in Grants allows all users to update select data on their profile, including name, eRA Commons username and ORCID. All users have access to the **Modify Person Profile** activity for their own profile only. Users with the Salary Access role or the Specialist Finance/Grants role can execute this activity on any profile, however this activity is only available in the Grants module. 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 Managers can perform all the activities that Agreements Reviewers perform. View the agreement software workflow diagram to see all the activities a user can perform in a particular state.

Note: Amendments almost follow a similar workflow to agreements.

Important! Office of Sponsored Research users with the Agreements Reviewer or Agreements Manager role must also be added to the appropriate Agreements office in the PAM Agreements Settings to gain access and perform administrative actions on agreements. For details, contact Caltech IMSS.

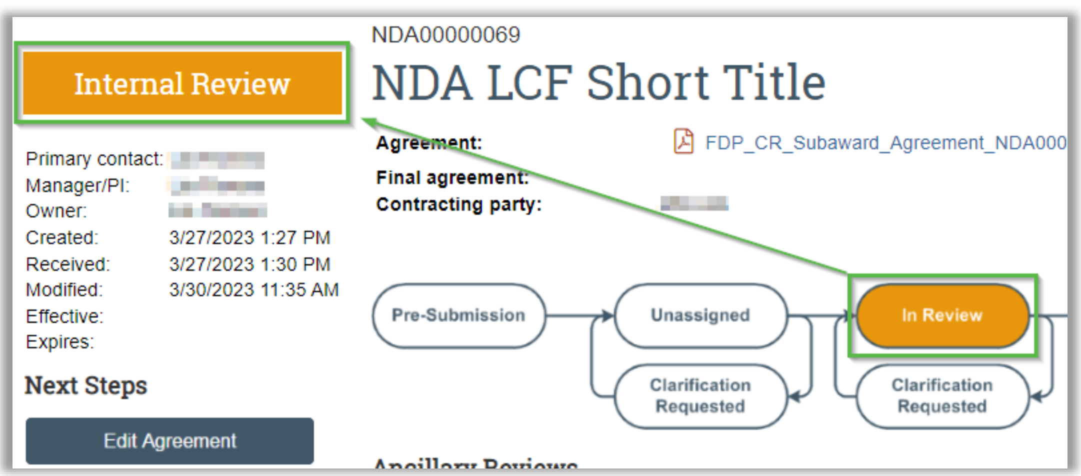
Agreements Workflow

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

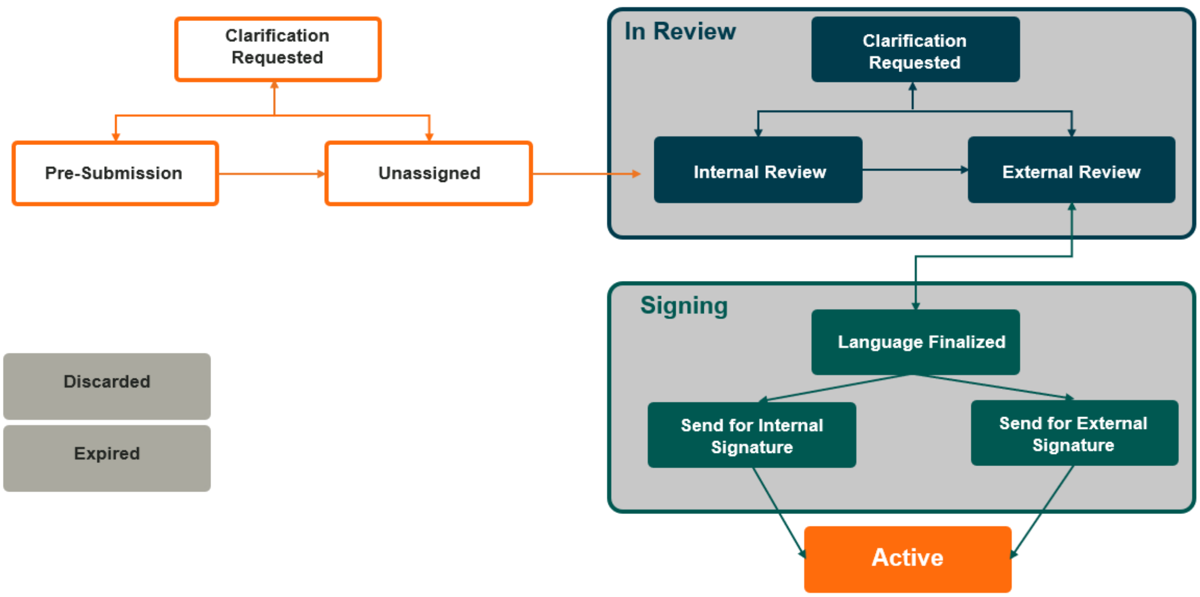
- New agreements
- Amendments to agreements

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 Internal Review or 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-related states: (1) **Send for Internal Signature**, (2) **Send for External Signature**, and (3) **Send for Signatures (DocuSign)** if DocuSign 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 completed, the REV	Internal Signature

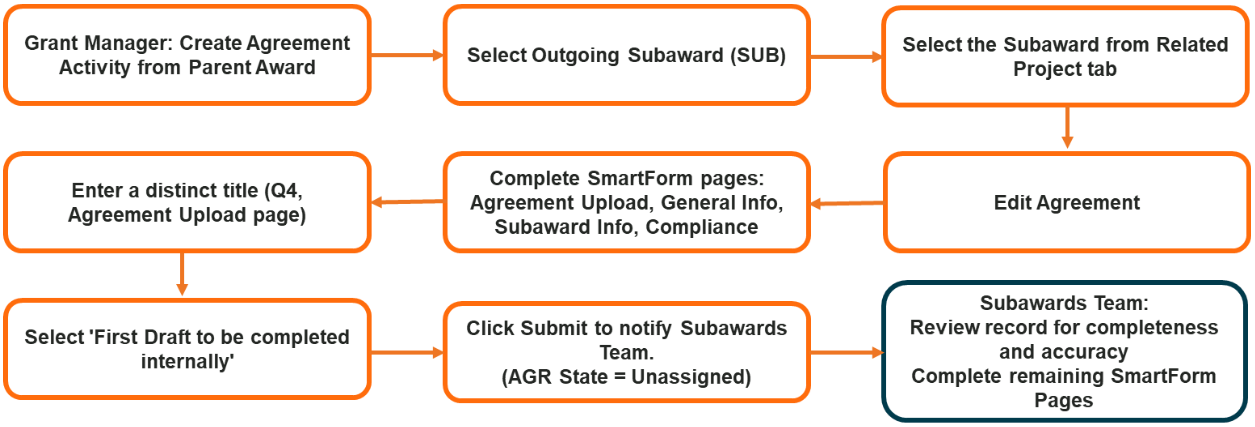
	REV can add ancillary reviewers and update ancillary reviews.	approves the language by executing the **Approve Language** activity and under question 2 indicates "Yes" for the agreement to be routed for Internal Signature first.	
		Same as above except the REV executes the **Approve Language** activity 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 signature (or confirm the final agreement is in PAM).	For wet ink signatures if Caltech will sign first, REV routes the agreement for internal signature by executing the **Send for Internal Signature** activity.	Internal Signature

	REV can convert the agreement to a PDF before signing using the **Convert to PDF** activity. This is a required step if DocuSign will be used to gather signatures, and before the agreement can be activated.	**Note:** This is not needed if DocuSign 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 DocuSign will be used to gather signatures.	External Signature
		If DocuSign will be used to gather signatures, REV prepares the DocuSign envelope and routes for signatures by executing the **Send for Signatures** activity.	DocuSign 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 DocuSign 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 DocuSign signatures by executing the **Send for Signatures** activity.	DocuSign Signatures
		When all signatures have been received, REV activates the agreement by executing the **Activate** activity (or approves the	Active (“Approved” for amendments)

		amendment by executing the **Approve** activity).	
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 Division 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

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.

Agreement SmartForms

All Agreement Types in PAM will share the first 2 SmartForm pages—the Agreement Upload and General Information pages, as well as the Completion Instructions page.

Additional Agreement Type-specific pages will appear after the General Information page depending on the agreement type selected on the Agreement Upload page. These pages will include questions specific to each agreement type. The graphic below provides a visual representation of the SmartForm pages included in all agreements.

Notes:

- In most cases, for non-funded agreements Grant Managers will complete the **Agreement Upload** page, however OSR will be responsible for creating certain agreement types, such as Sponsored Research Agreements.

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.

Note: In most cases, OSR will be working on agreements that have previously been created.

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, if Office of Sponsored Research (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. Complete all required fields and once you've completed each page, move on to the next page by clicking **Continue**.
6. On the last page, follow the completion instructions and then click **Finish**.

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 Office of Sponsored Research team will assign a team member to review, negotiate, and sign the agreement. If the Agreement originated in OSR, then the person who created the agreement can assign it to themselves at this stage.
- The activity will be logged under the History tab on the agreement workspace, showing who submitted the agreement.

Create and Submit Agreement from Grants

Important! Office of Sponsored Research users with the Agreements Reviewer or Agreements Manager role must also be added to the appropriate Agreements office in the PAM Agreements Settings to gain access and perform administrative actions on agreements. For details, contact PAM IT Support.

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.
   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).

During **Pre-Submission** and while the agreement is in the **Unassigned** state, the PI, assigned PI proxy, Primary Contact, 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 the Internal Review and External Review states, ancillary reviews will be managed by OSR.

Ancillary reviewers can be any registered user in the system, for example, someone from the PI's division 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.

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. To set reminders to perform ancillary review activities, review the To notify reviewers by logging "To Do" items section below for more information.

Add an Ancillary Review and Check Review Status

You can add an organization or a person as an ancillary reviewer while an agreement is in the Pre-Submission, Unassigned, Clarification Requested, Internal Review, or External Review states. Ancillary reviewers can be any registered user in the system, for example, someone from the PI's division or a person in another agreement office. The steps below describe how to add an ancillary review and check the ancillary review status.

Notes:

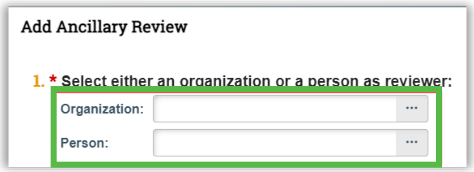
- For certain exceptional circumstances, such as institutional cost sharing or PI eligibility, an ancillary review *must* be included.
- The Subcontracts team can use ancillary review to get AOSRSP good standing verification (GSV) if needed and may also request C&N team review on sub site requested changes; otherwise, the unit GM is responsible for requesting ancillary reviews from other central compliance offices.

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.
    - **Note:** There are certain organizations that are only used for Ancillary Review with the prefix **Anc Rvw-** these ancillary review organizations consist of a pre-defined list of ancillary reviewers, not the entire department. Ancillary reviewers must be assigned to an organization for the Organization option to be available. Review the *PAM Agreements Ancillary Review Matrix* for more information on the organizations that should be selected.



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

The steps to update an existing ancillary review will be similar to how ancillary reviews are added.

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: When an Agreements Manager or Agreements Reviewer accepts the agreement and indicates that it is complete:
   - The **Approve Language** activity no longer blocks the workflow and the agreement proceeds to the next step in the review process.
   - The agreement no longer displays in the ancillary reviewer's inbox.

To notify reviewers by logging "To Do" items

You can create "to do" items for yourself or other agreements users, such as:

- A reminder to follow up with a reviewer.
- An action item for an internal user to complete a review, such as an ancillary review.

Review the Log Correspondence section in this guide for more information on logging "to do" items.

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 Manage Access activity which can be executed only in the parent agreement by the following users:

- OSR
- PI/Proxy

- GM?
- 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**.
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

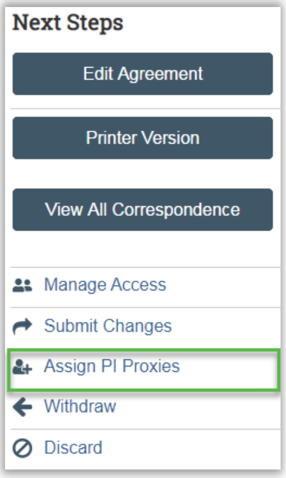
A PI Proxy is an individual who is authorized by the PI to perform activities in PAM Agreements on the PI’s behalf, such as submitting agreements or creating amendments, and who will receive all the same notifications sent to the PI so that they can respond or take action.

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:

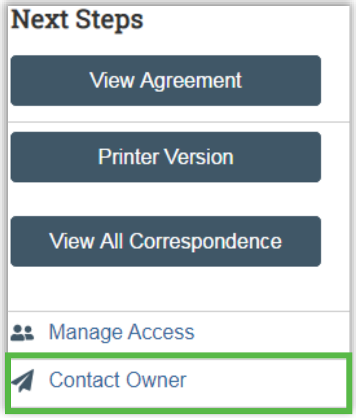
- The changes made through this activity will immediately reflect in the parent agreement and as well as in the related amendments.
- The activity will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show the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

Withdraw an Agreement

If an agreement is stalled or no longer moving forward, then the agreement should be withdrawn from the review workflow and/or discarded. The below table defines who can execute the "Withdraw" activity during various states in the agreements workflow.

Agreement Workflow States	Who can "Withdraw"

• Unassigned
• In Review
    ○ Internal Review
    ○ External Review
• Clarifications Requested
• Internal Signature
• External Signature
• Language Finalized
	• Agreement manager/PI/Proxy
	• Agreement creator

Note: OSR staff in the related Agreements office can discard an agreement without needing to first withdraw it from the workflow. The "Discard" activity should only be used if the agreement should be permanently removed from the workflow and archived. Review the Discard an Agreement section below for more information. Withdrawing an agreement does not permanently remove it from the workflow, it only returns the agreement to the Pre-Submission state.

To withdraw 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 **Withdraw**. An activity window will open.
3. In the Withdraw activity form, enter any notes or attachments as needed to document the reasoning for withdrawing the agreement from the workflow.
   Note: these fields are optional but adding notes is recommended for documentation purposes.
4. After you have completed the form, click **OK** to execute the activity and withdraw the agreement. If the agreement is not moving forward and needs to be archived, follow the steps below to Discard an Agreement.

When this Withdraw activity is executed:

- The agreement will be withdrawn from the workflow and will return to the Pre-Submission state.
- 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.

Discard an Agreement

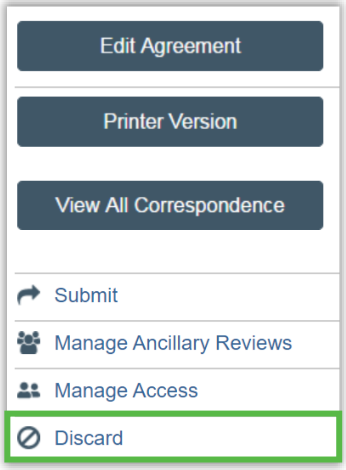
If an agreement is no longer moving forward, then the agreement should be discarded. The below table defines who can execute the "Discard" activity during various states in the agreements workflow.

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.

Reviewing and Negotiating an Agreement

Assign an Owner

When an agreement is submitted into the workflow, it will first enter the Unassigned state so that OSR can assign a team member (i.e., owner) to coordinate the review, negotiation, and signing of the agreement.

Note: For the C&N team, everyone will monitor the Unassigned queue and assign themselves to the agreement, then will review and assign the appropriate negotiator to move ahead with the agreement.

To assign an owner, 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 or Unassigned) then click on the agreement name.
    - ☆ **Tip:** To quickly search through the list of 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 Owner**.
3. In the Assign Owner activity window, question 1 will list the individuals who are authorized to be designated as the owner. Select the appropriate owner from the list.
4. Under questions 2 and 3, you can optionally add any notes or attachments that you’d like for the assigned owner to review.
5. After you have completed the form, click **OK** to execute the activity.

When this Assign Owner activity is executed:

- The assigned owner, PI, Primary Contact, Proxy, and collaborators will receive an email notification letting them know an owner has been assigned to the agreement.
- The agreement will transition from the Unassigned state to the Internal Review state.
- The assigned owner’s name will appear in the upper left corner under the state in the orange box.
- 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.

Unassign an Owner

While an agreement is in the Internal Review or External Review states, an additional activity to unassign the currently assigned owner will be available to OSR Agreements staff. This activity differs from the Assign Owner activity because it allows removal of the assigned owner without requiring a new owner to be selected, and it will move the agreement back to the Unassigned state.

To unassign an owner, 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 or In Progress) then click on the agreement name.
   - ☆ **Tip:** To quickly search through the list of 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 **Unassign Owner**.
3. In the Unassign Owner activity window, click **OK** to execute the activity.

When this Unassign Owner activity is executed:

- The agreement will transition from the Internal Review or External Review state to the **Unassigned** state.
- The previously assigned owner will be removed from the agreement and their name will no longer appear in the upper left corner of the agreement workspace.
- 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.

Log Correspondence

The Log Correspondence activity offers the following features**:**

- Ability to manage correspondence by status, type, and priority
- Assign to other users
- Set Due Date
- Send Reminders
- Add Notes
- Add Attachments

You can create “to do” items for yourself or other agreements users by logging correspondence, such as:

- A reminder to follow up with a reviewer.
- An action item for an internal user to complete a review, such as an ancillary review.

Logged “to do” items will appear at the top of the Correspondence tab under **Correspondence To Do**. Logged correspondence items can be edited and marked as complete when they’re done, and completed items will be moved to their own **Correspondence Completed** section under the **Correspondence** tab on the agreement workspace, making it easy to see which items are pending.

To log correspondence related 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 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 **Log Correspondence**. An activity window will open.
3. Complete the Log Correspondence activity form with the necessary details and once complete, click **OK**.
    - **Note:** This activity does not allow back-dating.
4. On the **Correspondence** tab, use the links to the right of each line item to update items or mark them as completed.

When this **Log Correspondence** activity is executed and when logged items are edited:

- PAM notifies the “Assigned to” person when the item is created, on the reminder date, and when the item is edited.
- The logged or edited correspondence will appear under the Correspondence tab on the agreement workspace.
- 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.

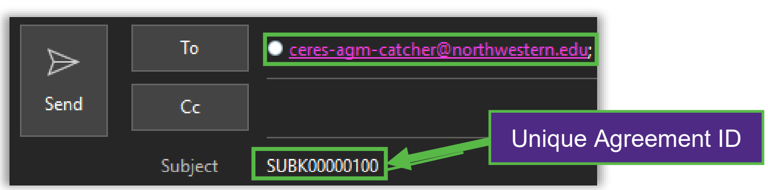
Email Catcher

Email Catcher is a PAM feature that allows the system to regularly check the inbox of a defined Caltech email address, download any emails sent to that address to the PAM server, process and log the message in PAM on the related agreement.

PAM does this by checking the email subject line to see if it has the ID of the agreement in the subject line. If an email meets these criteria, PAM will create an Activity entry under the **History** tab.

2 Criteria for Email Catcher to Log Correspondence:

1. Include the PAM Caltech email address as a recipient (either To or CC)
    - PAM email address tbd
2. Include agreement ID in the email subject line



Auto-creation of Activity Entry

This automatically creates an Activity entry on the agreement so the owner doesn’t need to. Then if the person who received the email replies back and attaches a file, the new email will also show up as a new Activity to do under the History tab.

Additional Email Functionality in PAM

Another option to document email communications in PAM is using the Send Email activity. Using this activity will document the sent email under the History tab on the agreement workspace, and it will send the recipients a copy of the agreement, if indicated. If someone replies to the email and includes the email catcher criteria in their reply, then the reply email will be logged in PAM on the Correspondence tab of the agreement workspace.

Using Email Catcher

To use Email Catcher, follow the steps below.

1. Compose an email in your local email application (i.e., Outlook) as you would normally.
2. Make sure the **agreement ID** is in the email subject line.
3. Include the PAM Caltech email address as a recipient in either the **To** or **CC** field.
4. After confirming you've met these criteria, add any additional recipients you'd like to receive the message. You can also add attachments if you want those logged in PAM.
5. Send the email and wait approximately 10-20 minutes (PAM needs time to download and process the email).
6. After this time, refresh or go back to the agreement workspace. You will see the caught email appear under the **Correspondence** tab on the workspace.

Tag Agreements

PAM Agreements allows all registered users to add tags, or keywords, to agreements and amendments so that you can later report on those agreements. You can associate tags to agreements in any state, however you will only be able to select from a pre-determined list of tags.

Note: Agreements Data Managers can create or update the list of tags that can be associated with an agreement.

To tag 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 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 Tags**.
3. Under Associate Tags, start typing the name of the desired tag or click the ellipsis to view the full list of tags you can select.
4. Select the appropriate tag(s) from the list and click **OK**.
   - **Note:** If you want to use a tag that is not in the list, contact the Business Systems & Operations team at oOSR-info@Caltech.edu to request it.
5. Add any comments, if needed, and then click **OK** again to execute the activity and associate the tag(s) with the submission.

When this Manage Tags activity is executed:

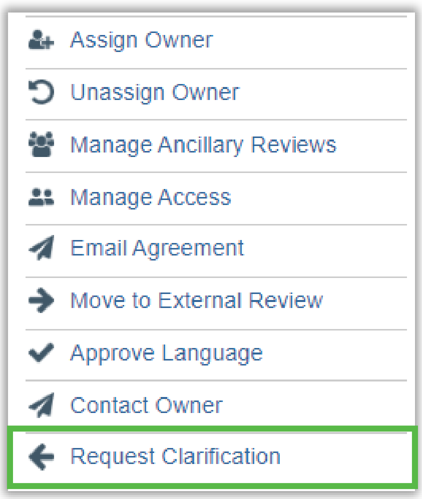
- The tagged agreement will display in the Agreement with Tags report on the Reports page. Review the Find and run reports section in this guide for more information.
- The activity and any comments added will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Request Clarification

While reviewing the agreement, if additional information or changes are needed, clarification or changes should be requested. Requesting clarification through PAM can be done while the agreement is in the Unassigned, Internal Review, or External Review states and will allow the PI, Proxy, or agreement creator to edit the agreement and provide the requested information.

Follow the steps below to request clarification on an agreement:

1. From your PAM inbox, click the agreement name to go to the workspace.
2. On the left of the agreement workspace under Next Steps, click **Request Clarification**. The Request Clarification activity window will open.



3. Under question 1 in the activity window, type in the request for changes or information needed.
4. Under question 2, optionally add any attachments that may be relevant to the clarification request.
5. Once you have completed the activity form, click **OK** at the bottom right to execute the activity.

When this Request Clarification activity is executed:

- The PI, Primary Contact, and Proxy will receive an email notification letting them know that clarification has been requested on this agreement.
- The agreement will appear in the Primary Contact's and Collaborators' inboxes providing a link for them to access the agreement workspace where they can review the clarification request and edit the agreement.
- The agreement state in the workflow diagram will change from either Unassigned or In Review to Clarification Requested.
- The activity will be logged under the History tab on the agreement workspace, showing the clarification request details.

Generate a Draft Agreement

When the agreement document is ready to be drafted internally (i.e., if a Caltech template should be used or if the "First draft to be generated internally?" checkbox was selected under question 3 on the Agreement Upload page of the agreement SmartForm), it will be generated using the **Generate Agreement** activity on the agreement workspace.

- **Note:** Outgoing Federal Subaward agreements will have a different process for generating the agreement document. Review the Generate FDP Template for Outgoing Federal Subawards section below for more information.

To generate a draft 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 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 **Generate Agreement**. An activity window will open.
3. From the Generate Agreement activity form, under question 1 click the drop down arrow to see the agreement templates available for selection.
   - **Note:** The templates available for selection will vary depending on the agreement type (see table above). For more information on agreement types, review the Agreement Types section in this guide.
4. After selecting the appropriate template from the drop down list, click the **Generate** button. Wait a moment for the system to generate the draft agreement.
5. Once the agreement has been drafted, a link to the draft document will appear under question 2. Click on the document link to download it.
6. From your local Downloads folder, open the draft agreement. Notice that PAM has auto-merged some information from the agreement SmartForm, such as the PI's name.
7. Review the draft agreement and input the missing information in place of the highlighted placeholders.
   - **Note:** Make sure to un-highlight placeholder text after filling in the correct information. Address any internal comments left within the document and once resolved, delete those comments.
8. After reviewing the draft agreement and filling in all necessary information, verify that the draft agreement is complete and accurate. In the agreement document, use File > Save As to save your edited draft agreement to your local drive.
   - **Note:** Refer to your team's specific SOP regarding naming conventions.
9. Return to the Generate Agreement activity window (the window should still be open unless you closed it; if you closed the window, re-open it by clicking the Generate Agreement activity again).
10. In the activity window, click the ellipses to the right of the generated template and then click **Upload Revision** to replace the agreement template with the revised draft agreement. A slide-in window will open.
    - **Note:** PAM will track all versions of documents uploaded in this activity.
11. In the slide-in window, click **Choose File** to select the draft agreement from your local drive. If needed you can re-title the draft agreement file name, otherwise the name of the file will be used.

12. After you've selected the draft agreement, click **OK**. Then click **OK** again on the activity window to save your work.

When this Generate Agreement activity is executed:

- The generated agreement draft will appear on the agreement workspace in the summary information underneath the agreement title. You can click the ellipses to the right of the file name to download a copy, view version history and compare with a previous version.
- The full version history can be found by clicking the ellipses next to the draft agreement on the workspace summary information, then click **View History**.
- 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.

Generate FDP Template for Outgoing Federal Subawards

For outgoing federal subaward agreements, to generate the agreement template you will use a different activity called **Generate FDP Template**.

To generate an FDP template, 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 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, look for and click **Generate FDP Template**. An activity window will open.
3. From the Generate FDP Template activity form, under question 1 select the appropriate FDP type and then click **OK**.

When this Generate FDP Template activity is executed:

- PAM will generate the FDP template on the agreement workspace in the summary view information under the agreement title. You can click the file link to view or download the PDF.
- The full version history can be found by clicking the ellipses next to the draft agreement on the workspace summary information, then click **View History**.
- 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.

Revise the Draft Agreement

After generating the initial draft agreement, if you need to revise the draft agreement this can be done by performing either of the following activities:

- **Edit Agreement:** To change the existing agreement.
- **Revise Agreement:** To upload a revised or final agreement.

Note: If you make changes to the agreement SmartForm and you want to re-generate the agreement from a template instead of revising the existing agreement, you can re-run the **Generate Agreement** activity for non-federal and non-subaward agreements or the **Generate FDP Template** activity for federal outgoing subaward agreements.

Edit Agreement SmartForm

To change the existing agreement by editing the agreement SmartForm, 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 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 **Edit Agreement**. The agreement SmartForm will open.
3. On the Agreement Upload page, under question 3 click the ellipses to the right of the file name, then click **Upload Revision** to replace the agreement template with the revised agreement. A slide-in window will open.
4. In the slide-in window, click **Choose File** to select the draft agreement from your local drive. If needed you can re-title the draft agreement file name, otherwise the name of the file will be used.
5. After you’ve selected the revised agreement, click **OK**. Then click **Save** and **Exit** to save your changes and return to the agreement workspace.

When the agreement is revised by editing the SmartForm:

- The revised agreement draft will appear on the agreement workspace in the summary information underneath the agreement title. You can click the ellipses to the right of the file name to download a copy, view version history and compare with a previous version.
- The full version history can be found by clicking the ellipses next to the draft agreement on the workspace summary information, then click **View History**.
- The changes made will be logged under the History tab on the agreement workspace. You can click on the activity hyperlink to open the activity details and see exact changes made by clicking **View More Details** in the upper right.

Revise Agreement Activity

To upload a revised or final agreement using the Revise Agreement activity, 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 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 **Revise Agreement**. An activity window will open.
3. On the Revise Agreement activity form, notice that question 2 auto-populates the version number. You can update this if needed.
4. Under question 1, click **Choose File** to upload the revised agreement from your local drive.
   - **Note:** Make sure that the revised agreement file is titled the way you want it to appear on the agreement workspace, as you are not able to change the file title through this activity.
5. After uploading the revised agreement, you can optionally add notes if needed. Once complete, click **OK** to execute the activity.

When this Revise Agreement activity is executed:

- The revised agreement draft will appear on the agreement workspace in the summary information underneath the agreement title. You can click the ellipses to the right of the file name to download a copy, view version history and compare with a previous version.
- The full version history can be found by clicking the ellipses next to the draft agreement on the workspace summary information, then click **View History**.
- 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.

Move an Agreement to External Review

To change the agreement state to external review to reflect that the external party is reviewing the 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 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 **Move to External Review**. An activity window will open.
3. Add any relevant notes or supporting documents if needed, and verify that the contracting party’s information is correct. Once complete, click **OK** to execute the activity.

When this Move to External Review activity is executed:

- The state in the upper left corner of the workspace changes to External Review.
- 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.
- The agreement will stay in the owner’s PAM inbox until it is finalized.

Move an Agreement to Internal Review

Once the agreement has completed external review and is ready to move to internal review to reflect that the necessary internal parties are reviewing the 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 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 **Move to Internal Review**. An activity window will open.
3. Add any relevant notes or supporting documents if needed, and verify that the contracting party's information is correct. Once complete, click **OK** to execute the activity.

When this Move to Internal Review activity is executed:

- The state in the upper left corner of the workspace changes to Internal Review.
- 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.
- The agreement will stay in the owner's PAM inbox until it is finalized.

Complete Negotiation Information

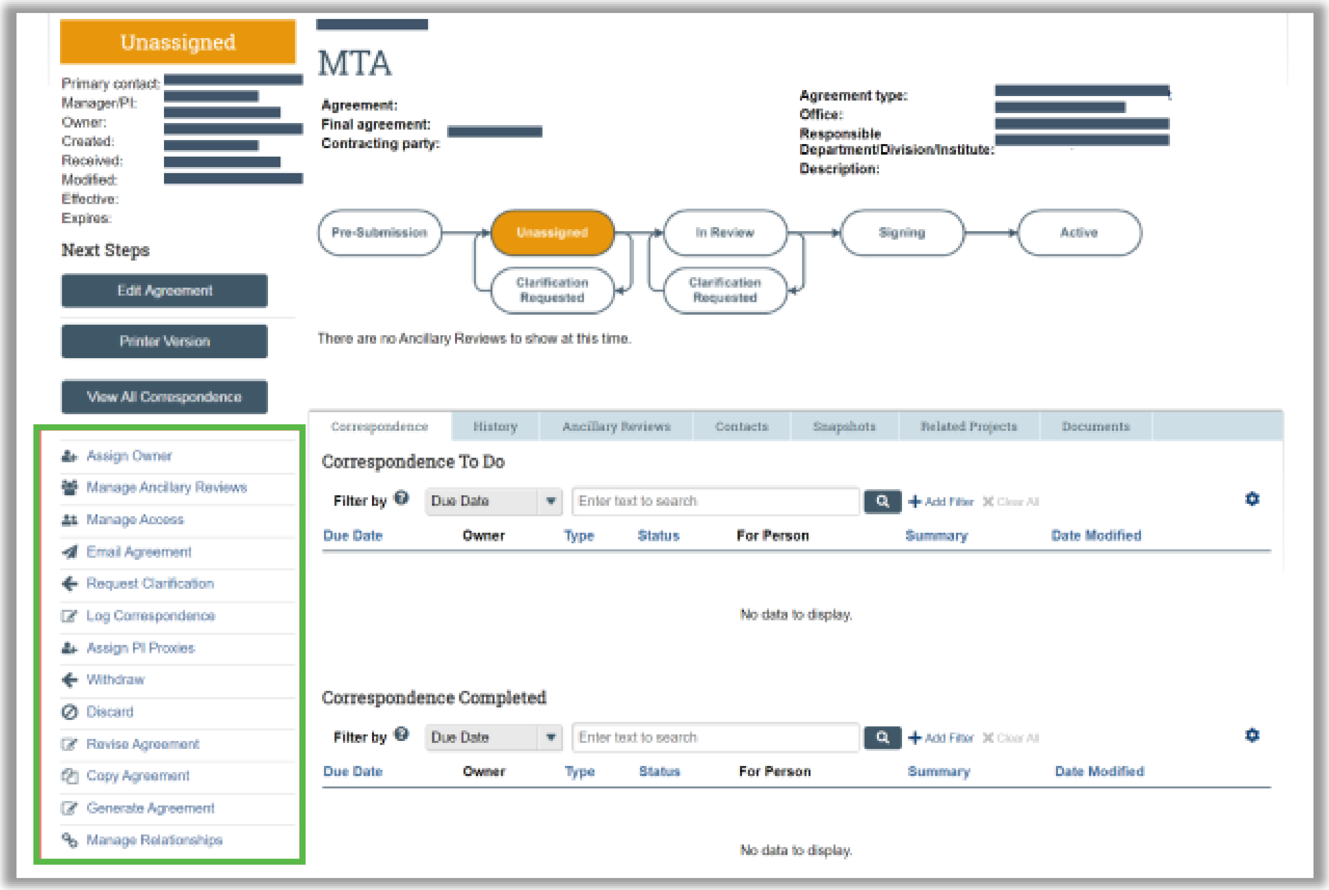
Before an agreement can be finalized, the Negotiation Information page in the agreement SmartForm must be completed by the OSR negotiator. To complete this page, follow the steps below.

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 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 **Edit Agreement**. The agreement SmartForm will open.
3. Using the left navigation pane, click on the **Negotiation Information** page to navigate to that section.
4. Complete all fields on the Negotiation Information page. If you have questions about a specific field, click on the help bubble to see additional guidance.
5. After completing this page, click **Save** and **Exit** to save your changes and return to the agreement workspace.

Finalizing an Agreement

After all internal, third party, and required ancillary reviews are completed, the agreement language can be approved, and the agreement can be signed.

All activities appear on the left of the agreement workspace.



The following checklist includes the activities to perform to complete the review process:

- ☐ **Approve Language:** During this activity, you will indicate if the agreement will be routed for internal signature first.
- ☐ **Convert to PDF:** Only convert to a PDF after wet-ink signatures have been received *or* if you will use AdobeSign to gather signatures. If AdobeSign will be used, the agreement must be converted to a PDF ***before*** you can execute the Send for Signatures activity to route through AdobeSign.
- ☐ **Send for Internal Signature:** If you are sending the agreement for internal signatures first, then send it for external signatures next. ***Note*:** This step is not needed if AdobeSign will be used to gather electronic signatures.
- ☐ **Send for External Signature:** If you are sending the agreement for external signatures first, then send it for internal signatures next. ***Note*:** This step is not needed if AdobeSign will be used to gather electronic signatures.

☐ **Send for AdobeSign Signatures:** If you are using AdobeSign to collect electronic signatures, then use the Send for Signatures activity to use the AdobeSign integration with PAM. Review the Use AdobeSign for Digital Signatures section below for more information.

☐ **Activate (or Approve for amendments):** After all signatures have been received and the agreement is converted to a PDF, perform this activity to complete the review process and activate the agreement (or approve the amendment).

Approve Language and Obtain Signatures

Approve Language

When the agreement language is ready to be approved and the agreement is ready to be signed, 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 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 **Approve Language**. An activity window will open.
3. In the activity form, indicate the signature type under question 1 and whether the agreement should be routed for internal signature first under question 2.
   - **Note:** For signature type, Wet Ink indicates someone will print, sign, and scan/upload a PDF of the signed agreement or manually insert an image of a signature and then re-upload the agreement. If AdobeSign will be used to gather signatures electronically, select the Digital signature option.
4. Under question 3, indicate whether the agreement contains any evergreen clauses indicating it won’t expire.
5. For questions 4 and 5, either type in the effective and expiration dates or click the calendar icon to select the dates from the calendar.
6. For questions 6 and 7, optionally add any notes or supporting documents as needed. Once complete, click **OK** at the bottom right to execute the activity and route for signatures.

When this Approve Language activity is executed:

- The PI, Primary Contact, Proxy, and collaborators will receive an email notification letting them know the language has been approved for the agreement.
- The state in the upper left corner of the workspace changes to Internal Signature if you elected to route for signature internally first, otherwise the state will change to Language Finalized.

- 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.
- The agreement will stay in the owner's PAM inbox until it is finalized.

Send for Signatures and Convert to PDF

AdobeSign Signatures

If AdobeSign will be used to gather signatures electronically, the agreement must first be converted to a PDF using the Convert to PDF activity. The **Send for Signatures** activity to route through AdobeSign will not appear until ***after*** the Convert to PDF activity is executed. Review the Use AdobeSign for Digital Signatures section below for more information on this process.

Wet Ink Signatures

PAM Agreements will include activities to send an agreement for internal or external signatures. These activities should only be used in cases where AdobeSign isn't being used, such as for wet ink (if someone will print, sign, and scan/upload a PDF of the signed agreement or manually insert an image of a signature and then re-upload the agreement) or if another electronic signature format is being used outside of PAM. If AdobeSign is being used, then it's not necessary to execute the **Send for Internal Signature** or **Send for External Signature** activities described below.

If the agreement will be signed using wet ink then the Convert to PDF activity is executed ***after*** all wet ink signatures needed for the agreement have been obtained. In both cases (AdobeSign or wet ink signatures), the agreement must be converted into a PDF document in order to complete the review process and activate the agreement.

Send for Internal Signature

To send an agreement out for internal signature, if you are **NOT** using AdobeSign to gather signatures, follow the steps below. If DocuSign will be used, skip to the Use DocuSign for Digital Signatures section below.

1. On the left of the agreement workspace under Next Steps, click **Send for Internal Signature**. An activity window will open.
2. Add any relevant comments if needed. Once complete, click **OK** to execute the activity.
   - **Note:** When applicable, for internal signatures, assign the signer as the agreement owner so that it appears in their PAM inbox. After signing, they will reassign the owner back to the sending negotiator. Review the Assign an Owner section in this guide for more information.

When this Send for Internal Signature activity is executed:

- The state in the upper left corner of the workspace changes to Internal Signature.
- 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.
- The agreement will stay in the owner's PAM inbox until it is finalized.

Send for External Signature

To send an agreement out for external signature, if you are **NOT** using AdobeSign to gather signatures, follow the steps below. If AdobeSign will be used, skip to the Use AdobeSign for Digital Signatures section below.

1. On the left of the agreement workspace under Next Steps, click **Send for External Signature**. An activity window will open displaying the contracting party's information.
2. Verify that the contracting party's information is correct and add any relevant comments if needed. Once complete, click **OK** to execute the activity.

When this Send for External Signature activity is executed:

- The state in the upper left corner of the workspace changes to External Signature.
- 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.
- The agreement will stay in the owner's PAM inbox until it is finalized.

Convert to PDF

Once all wet ink signatures have been received, or once you're ready to route the agreement for signatures through AdobeSign, the next step is to convert the agreement to a PDF in PAM.

To convert the agreement to a PDF, follow the steps below.

1. On the left of the agreement workspace under Next Steps, click **Convert to PDF**. An activity window will open.
2. The approved agreement link will display. You can click the document link or click the ellipses and then click **Download Copy** to download the approved Word document version of the agreement to your local Downloads folder.
3. Click **OK** to execute the activity and convert the Word document into a PDF. The agreement can now be activated.

When this Convert to PDF activity is executed:

- The state in the upper left corner does not change.
- 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.
- The agreement will stay in the owner's PAM inbox until it is finalized.

Use AdobeSign for Digital Signatures

When an agreement is in a signing state, an AdobeSign envelope can be created from within the agreement record and sent for signature to internal and external parties.

To use AdobeSign to collect digital signatures within PAM, follow the steps below.

1. Before using AdobeSign in PAM, you must have already performed the following steps:
   - Executed the **Approve Language** activity and indicated that the signature type is "Digital". Review the Approve Language section above for more information.
   - Ensure that a final agreement is present on the record and use the **Convert to PDF** activity to PDF the agreement. Review the Convert to PDF section above for more information.

2. On the left of the agreement workspace under next steps, click **Send for Signatures**. The Send for Signatures activity window will open.
    - **Note:** There are similarly named activities called **Send for External Signatures** and **Send for Internal Signatures** (discussed above) which can be used for agreements that will *not* be signed via AdobeSign. These activities should only be used if wet ink signatures (defined above) are being collected and the agreement will be manually scanned/uploaded.
3. In the Send for Signatures activity window, specify the recipients that should receive the AdobeSign envelope.
    - Internal recipients can be added by clicking **+Add**, searching for a person in the finder.
    - Add external recipients by manually entering the recipient's name and email address.
    - Specify the type of recipient by selecting whether they need to sign, carbon copy (meaning just receive a copy), or only view the agreement.
    - You can also add a signing group, which will allow you send the document to everyone in your agreement office – doing so will allow anyone in the agreement office to sign the document.
4. Once all recipients are added, click **OK** to create a draft envelope in AdobeSign.
5. An **AdobeSign** tab will appear on the agreement workspace. Click on that tab to see the draft envelope, then click **Send Envelope**. AdobeSign will open in a new tab with the envelope for you to prepare and send.
6. Add the standard fields onto the agreement, such as signature, initial, date signed, etc., for each signer. You can click the back button to specify a signing order if needed.
7. Once you've finished adding all the fields to be completed by the signers, click **Send** to route the AdobeSign envelope for signatures.

When this Send for Signatures activity is executed and the AdobeSign envelope is sent:

- The agreement transitions to the Adobe**Sign Signatures** state.
- On the agreement workspace, you will notice the **AdobeSign** tab now displays information about the envelope, including its status and who has signed the document.
- Once the envelope is sent, each signer will receive an email message in the order specified, from which they can review and sign the document.

Updating or Voiding a AdobeSign Envelope

While the agreement is in the AdobeSign Signatures state, if you need to update or void the AdobeSign envelope, you can do so by going back to the **AdobeSign** tab and clicking either **Update Envelope** or **Void Envelope**.

If signatures are no longer needed, you can click **Void Envelope** to withdraw the envelope from all signers. You can also manually update the envelope with the latest information by clicking **Update Envelope**, clicking the checkbox, and then clicking **OK.** The AdobeSign tab will update automatically every 20 minutes, but manually updating the envelope can be used if the signatures are time sensitive.

AdobeSign Envelope Completed

When all signatures are complete, all signers receive an email notification indicating all signatures have been received including a link to the signed agreement. The agreement automatically transitions to the **Internal Signature** state and the fully signed agreement will be uploaded as the **Final agreement** on the workspace. Once in the Internal Signature state, the

Activate activity appears on the workspace, which can be used to activate the agreement and complete the process. Review the Activate an Agreement section in this guide for more information.

Notes:

- Completing an AdobeSign envelope and receiving all signatures does *not* activate the agreement. While in the **Internal Signatures** state, the agreement can be sent again for additional AdobeSign signatures, or sent for internal or external signatures via email or any other method.
- Additionally, an agreement can be sent for external signature via email and then sent internally for signature via AdobeSign or vice versa – any number of signature activities can happen in any order.
- At what point the agreement is considered fully signed and activated is determined by the owner assigned to the agreement who can use the Activate activity after at least one signature is received.

Activate an Agreement

Once all the signatures needed for the agreement have been obtained and the agreement has been converted into a PDF, it is ready to be activated. The OSR staff member who is processing the agreement will perform this activity. To activate the agreement, follow the steps below.

1. On the left of the agreement workspace under Next Steps, click **Activate**. An activity window will open.
2. Under question 1, you can begin typing the name(s) of the people who have signed or click the ellipses to open the person chooser and select the name(s) from the list of all PAM users.
3. For the remaining questions, you can type in the dates or click the calendar icon to select the dates from the calendar.
4. Once you've completed the activity form and verified all the dates are correct, click **OK** to execute the activity.
5. Once the agreement is activated, if it is related to an existing Grants record then the OSRO will assign the AMA as Specialist on the corresponding Funding Proposal. This will indicate that Award Setup can proceed.

When this Activate activity is executed:

- The PI, Primary Contact, Proxy, and collaborators will receive an email notification letting them know the agreement is now active, which will include a link to access the agreement.
- The final agreement draft will appear on the agreement workspace in the summary information underneath the agreement title. You can either click the PDF file name or click the ellipses to the right of the file name to download a copy.
- The state in the upper left corner and in the workflow diagram both change to Active.
- 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.
- The agreement will no longer appear in the owner's PAM inbox.

Manage Final Agreement Documents

If an agreement is in the Active, Evergreen, or Expired states then you can revise the agreement title and upload a revised agreement file or any supporting document in the parent agreement using the **Administrative Change** activity.

Note: This activity does not initiate an amendment process.

The revised agreement file needs to be a PDF file and it displays as the final agreement file on the agreement workspace.

Any supporting document that you upload can be a non-PDF file, such as an image file, Word document, etc. You can add, revise, or delete supporting documents using this activity. You can access the supporting documents from the **Documents** tab on the agreement workspace.

Note: The **Administrative Change** activity cannot be used if there is no Final Agreement document which will be the case for converted agreement records. Use the **Upload Final Agreement** activity to upload a Final Agreement, and then execute the **Administrative Change** activity when you need to modify a converted agreement record.

To upload a revised agreement file in the active agreement

1. Click **Agreements** in the Top Navigator and locate the agreement on the **Active** tab, then click the name of the agreement you want to revise.
2. On the left of the agreement workspace under Next Steps, click **Administrative Change**.
3. Under the Final agreement field, click the **Upload** button and upload the new agreement file. Alternatively, click the ellipsis () next to the document name to display the options and click **Upload Revision**. Upload a revised file and click the **OK** button.
4. Add any supporting documents and comments, if needed.
5. Click **OK** to execute the activity.

To revise the agreement title in the active agreement

1. Click **Agreements** in the Top Navigator and locate the agreement on the **Active** tab, then click the name of the agreement you want to revise.
2. On the left of the agreement workspace under Next Steps, click **Administrative Change**.
3. Type the revised title in the **Title or internal reference number** field.
4. Click **OK**.

When this **Administrative Change** activity is executed:

- The revised agreement title displays in the parent agreement workspace summary.
- The revised agreement file and the supporting documents displays in the parent agreement workspace summary.
- The agreement version number is incremented only if the existing agreement file is revised or replaced.
- Changes made in the agreement file do not update the agreement draft files. Agreement draft file remains unchanged.
- The **History** tab on the agreement workspace displays the details of the activity.

Managing Amendments

Create and Submit an Amendment

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

Notes:

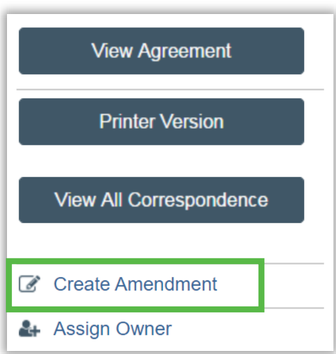
- Only one amendment can be in progress at a time.
- Creating an amendment will likely follow an Award Modification Request of some type. Review the *PAM Office of Sponsored Research Grants Reference Guide* for more information on the Award Modification Request process.
- You can add or replace Primary 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 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 PI 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 Office of Sponsored Research.

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 Office of Sponsored Research team 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.

Manage Amendments

Amendments in PAM will follow the same review workflow as agreements, with the exception that amendments will have an additional activity that allows you to expedite the approval process and bypass the workflow states related to signatures.

Review the Reviewing and Negotiating an Agreement and Finalizing an Agreement sections in this guide for more information on the standard review, negotiation, and signing process.

Expedite Amendment Approval

When an amendment is in the Internal Review or External Review state, you can expedite or fast track the amendment approval process by using the Expedite Approval activity. You can use this activity if there are changes or updates in the amendment and no signatures are required, but you are not uploading a new amendment file and Caltech is not generating the first draft of the agreement.

To expedite amendment approval

1. Click **Agreements** in the Top Navigator and locate the amendment on the **All Agreements** tab, then click the name of the amendment you want to approve.
2. On the left of the amendment workspace under Next Steps, click **Expedite Approval**.
3. Type or select the effective and expiration dates.

4. Type in any comments, if needed, and click **OK** to execute the activity.

When this Expedite Approval activity is executed:

- The amendment bypasses workflow states related to signature and transitions to the **Approved** state.
- The **History** tab on the amendment and agreement workspaces display the details of this activity. You can click on the activity hyperlink to open the activity details, which will show a copy of the completed activity form.

Approve Amendments

If you do not expedite the amendment's approval, once all the signatures needed for the amendment have been obtained, the amended agreement must be converted into a PDF document in order to complete the review process and approve the amendment. To approve the amendment, follow the steps below.

1. On the left of the amendment workspace under Next Steps, click **Convert to PDF**. An activity window will open.
2. The approved amended agreement link will display. You can click the document link or click the ellipses and then click **Download Copy** to download the approved Word document version of the agreement to your local Downloads folder.
3. Click **OK** to execute the activity and convert the Word document into a PDF. The amendment can now be approved.

When this Convert to PDF activity is executed:

- The state in the upper left corner does not change.
- 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.

To approve the amendment, follow the steps below:

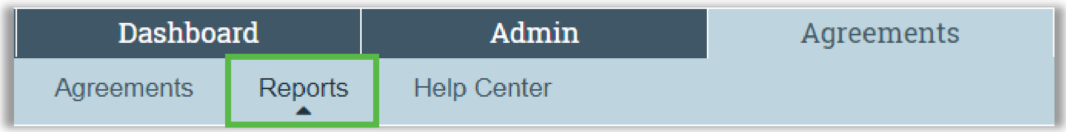
1. On the left side of the amendment workspace under Next Steps, click **Approve**. An activity window will open.
2. Under question 1, you can begin typing the name(s) of the people who have signed or click the ellipses to open the person chooser and select the name(s) from the list of all PAM users.
3. For the remaining questions, you can type in the dates or click the calendar icon to select the dates from the calendar.
4. Once you've completed the activity form and verified all the dates are correct, click **OK** to execute the activity.

When this Approve activity is executed:

- The PI, Primary Contact, Proxy, and collaborators will receive an email notification letting them know the amendment has been approved, which will include a link to access the amendment.
- The amended final agreement draft will appear on the agreement workspace in the summary information underneath the amendment title. You can either click the PDF file name or click the ellipses to the right of the file name to download a copy.

- The state in the upper left corner of the amendment workspace changes to approved.
- 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.
- The amendment will no longer appear in the owner's PAM inbox.

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.

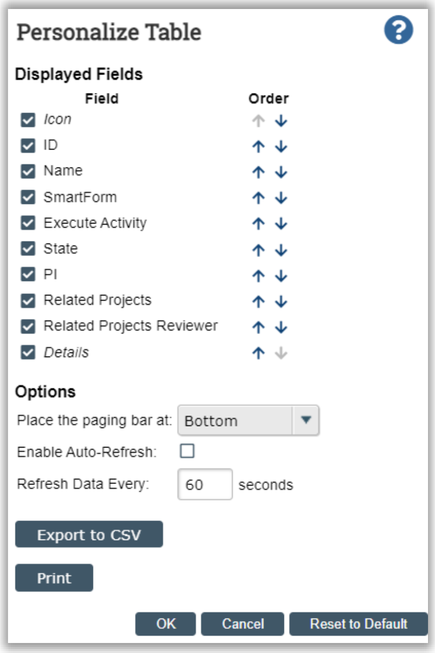
Personalize the Data Display

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 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*, 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.	• Ancillary Reviewers selected in the Manage Ancillary Reviews activity
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
Assign Owner	Owner Assigned	Internal Review, External Review, Expired, External Signature, Evergreen, Unassigned, Language Finalized, Clarification Requested, Internal Signature, Approved, Active	• Agreements Reviewer • Agreements Manager
Unassign Owner	Owner unassigned	Internal Review, External Review	• Agreements Reviewer • Agreements Manager
Contact Owner	Owner Contacted	Internal Review, External Review, Expired, External Signature, Evergreen, Language Finalized, Clarification Requested, Internal Signature, Approved, Active	• PI • Proxy • Agreements Reviewer • Agreements Manager • Agreement Creator • Agreement Collaborators
Request Clarification	Clarifications Requested	Unassigned, Internal Review, External Review	• Agreements Reviewer • Agreements Manager

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
Revise Agreement	Agreement Revised *<Includes link to revised agreement document uploaded>*	Internal Review, External Review, External Signature, Internal Signature, Unassigned, Language Finalized	• Agreements Reviewer • Agreements Manager
Generate Agreement	Agreement Generated	All States *except* Active, DocuSign Signatures, Evergreen and Expired	• Agreements Reviewer • Agreements Manager
Generate FDP Template	FDP Template Generated	Internal Review, External Review, Language Finalized	• Agreements Reviewer • Agreements Manager
Move to External Review	Moved to External Review	Internal Review, External Signature, Language Finalized, Internal Signature	• Agreements Reviewer • Agreements Manager
Move to Internal Review	Moved to Internal Review	External Review, External Signature, Language Finalized, Internal Signature	• Agreements Reviewer • Agreements Manager
Approve Language	Approved Language	Internal Review, External Review	• Agreements Reviewer • Agreements Manager
Convert to PDF	Converted to PDF	External Signature, Language Finalized, Internal Signature, Approved	• Agreements Reviewer • Agreements Manager
Send for External Signature	Sent for External Signature	Language Finalized, Internal Signature	• Agreements Reviewer • Agreements Manager
Send for Internal Signature	Sent for Internal Signature	External Signature, Language Finalized	• Agreements Reviewer • Agreements Manager
Send for Signatures* *Specific to AdobeSign	Send for Signatures	Language Finalized, Internal Signature	• Agreements Reviewer • Agreements Manager

Activate	Activated	External Signature, Internal Signature	• Agreements Reviewer • Agreements Manager
Terminate	Terminated	Active	• Agreements Reviewer • Agreements Manager
Manage Relationships	Relationships Managed	All states	• Registered Users with access to the agreement
Close Correspondence	Correspondence Closed	All states	• Agreements Reviewer • Agreements Manager
Delete Correspondence	Correspondence Deleted	All states	• Agreements Reviewer • Agreements Manager
Edit Correspondence	Correspondence Edited	All states	• Agreements Reviewer • Agreements Manager
Administrative Change	Administrative Change	Active, Evergreen, Expired	• Agreements Reviewer • Agreements Manager
Post Execution Updates	Post Execution Updates	Active	• Agreements Reviewer • Agreements Manager
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
Approve* *Specific to amendments.	Approved	External Signature, Internal Signature	• Agreements Reviewer • Agreements Manager
Expedite Approval	Expedited Approval	Internal Review, External Review	• Agreements Reviewer • Agreements Manager
Upload Final Agreement	Uploaded Final Agreement	Active, Expired	• Agreements Reviewer • Agreements Manager • Contract Specialist

Email Notifications

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

The column headers display the following information:

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

Notification	Description	Trigger	Recipients
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> • **Title:** <Title of agreement> • **Body:** Notification of Agreement Activated The agreement is now active. For additional details, click on the link above.	Sent when the **Activate** activity is executed.	• PI • Primary Contact • Proxy • Collaborators
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>	Sent when the **Approve** activity is executed on an amendment.	• PI • Primary Contact • Proxy • Collaborators

	• **P.I.:** <Principal Investigator> • **Title:** <Title of agreement> • **Body:** Notification of Amendment Approved The amendment has been approved. For additional details, click on the link above.		
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.	Sent when the **Contact Owner** activity is executed.	• Assigned Owner

	Contains the following: • **Subject:** <Agreement ID> requires your attention • **Link:** <Link to agreement> • **P.I.:** <Principal Investigator> • **Title:** <Title of agreement> • **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
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>	Sent automatically once each at 90, 60, and 30 days before the agreement end date.	• PI • Primary Contact • Proxy • Collaborators

	• **Body:** Notification of Expiration Reminder		
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 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 • **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.	Sent when the **Request Clarifications** activity is executed.	• PI • Primary Contact • Proxy

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	Sent when the **Submit Changes** activity is executed.	• Assigned Owner

	The PI has responded to your requested clarifications and submitted them for approval. To navigate to the project workspace, click on the link above.		
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 An Agreement submission has been assigned to your organization for ancillary review. Click the link above to access and review the study.	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
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>	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

	• **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.		
Submit Ancillary Review	Notification sent when an ancillary reviewer completes their review. Contains the following: • **Subject:** <Agreement ID> ancillary review submitted • **Link:** <Link to agreement> • **P.I.:** <Principal Investigator> • **Title:** <Title of agreement> • **Approved:** <yes/no - whether reviewer indicated approval in Submit Ancillary Review activity> • **Body:** Notification of Ancillary Review Submitted An ancillary review has been submitted for this agreement. Click the link above to access and review the agreement.	Sent when the **Submit Ancillary Review** activity is executed.	• Assigned Owner
AdobeSign Envelope Completed	Notification sent when all required signatures for an agreement have been received. Contains the following: • **Subject:** AdobeSign Envelope Completed on Agreement <Agreement ID>	Sent when the final signer has signed and the AdobeSign envelope is now complete.	• Assigned Owner

	• **Body:** All required AdobeSign signatures for Agreement <Agreement ID> have been received, the envelope is now complete.
	• **Envelope Information:** <Link to agreement>
	    ○ **Envelope Status:** Completed
	    ○ **Date Sent:** <sent date>
	    ○ **Date Completed:** <completed date>
	    ○ **Last Updated:** <date of last update>
	    ○ **Documents:** <Link to signed document(s)>
	Recipient Status: <Recipients of the envelope and their status>		

AdobeSign Recipient Change	Notification sent when recipients are updated in a AdobeSign envelope. Contains the following: • **Subject:** AdobeSign Recipient Change on Agreement <Agreement ID> • **Body:** The AdobeSign recipients for Agreement <Agreement ID> have been changed since the last update received from AdobeSign. **Current recipients and status:** <Currently listed recipients of the envelope and their status>	Sent when recipients are updated by Agreements Staff executing the **Update Envelope** activity from the AdobeSign tab on the agreement workspace.	• Assigned Owner
AdobeSign Envelope Declined	Notification sent when a signer declines the AdobeSign envelope. Contains the following:	Sent when a signer declined signing the AdobeSign envelope they receive.	• Assigned Owner

	• **Subject:** AdobeSign Envelope Declined on Agreement <Agreement ID> • **Body:** The active AdobeSign Envelope on Agreement <Agreement ID> has been declined by a signer. **Final recipients and status:** <Recipients of the envelope and their status>		

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 must also be added to the appropriate Agreements office to gain access to agreements.	This role enables you to: • View all agreements assigned to your Agreements office • Create and submit 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 Manager 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.