Office of Sponsored Programs Grants Reference Guide

Table of Contents

Quick Links **5**

- **Reviewing Funding Proposals** 5
- **Submitting SF424 Forms** 5
- **Submit a Funding Proposal to a Sponsor** 5
- **Additional Proposal Activities** 5
- **Creating and Activating Awards** 6
- **Additional Award Activities** 6
- **Subawards** 7
- **Award Modifications** 7
- **Manage Ancillary Reviews** 8
- **Generate Reports** 8

Introduction **9**

- **Introduction to Grants** 9
- **Grants Workflow** 9

Navigation **11**

- **Dashboard** 11
- **Grants Funding Proposal Page** 13
- **Grants Awards Page** 14
- **Find Data by Filtering** 15
- **Look Up Workflow Status** 15
- **Funding Proposal Workspace** 16
- **Budget Workspace** 18
- **SF424 Workspace** 19
- **Award Workspace** 20
- **Help Center Overview** 22
- **Manage My Profile** 22

Creating and Submitting Funding Proposals, Budgets, and SF424s **24**

- **Funding Proposal Workflow** 24
- **Reviewing Funding Proposals** 27
  - **Review a Funding Proposal & Related Components** 27
  - **Request Changes or Additional Information** 28

Review Clarification Request Responses 30
Submit a Specialist Review 30
Submitting SF424 Forms 30
SF424 Workflow 30
Submit an SF424 via System-to-System 31
Check the Status of an SF424 32
Resubmit an SF424 33
Submit a Funding Proposal to a Sponsor 33
Submit to a Federal Sponsor 34
Submit to a Non-Federal Sponsor 34
Additional Proposal Activities 35
Manage Relationships 35
Manage Tags 35
Add Attachments to a Funding Proposal 36
Send an Email 36
Reinstate a Proposal 36
Updating the Proposal with the Sponsor Determination 37
Create an Agreement from a Funding Proposal 37
Creating and Activating Awards **38**
Award Workflow 38
Create an Award 39
Manage Financial Accounts 41
Manage Award Allocations 42
Reconcile an Award Budget 44
Send to Department for Budget Reconciliation 45
Send for Final Review 46
Complete a Final Review 47
Activate an Award 48
Pending Activation 48
Activate an Award with an Advance Account 49
Additional Award Activities 50
Upload Award Documents 50
Manage Relationships 50

Manage Deliverables 50
Add a Deliverable 51
Edit a Deliverable 52
Complete a Deliverable 53
Create an Agreement from an Award 53
Withdraw an Award or Award Modification 54
Close Out an Award 54
Subawards 55
Complete a Subaward 55
Upload Subaward Documents 56
Log Correspondence on a Subaward 56
Activate a Subaward 57
Manage Award Modifications that Affect Subawards 58
Requesting, Creating, and Submitting Award Modifications 59
Requesting an Award Modification 59
Award Modification Request Workflow 59
Review an Award Modification Request 60
Creating and Submitting Award Modifications 60
Award Modification Workflow 60
Create and Submit an Award Modification 61
Types of Award Modifications 62
Managing Ancillary Reviews 75
Add Ancillary Reviewers 75
Check the Progress of an Ancillary Review 76
Submit an Ancillary Review 77
Modify an Ancillary Review 78
Generating Reports 79
Find and Run Reports 79
Appendix 80
Activities 80

Quick Links

Reviewing Funding Proposals

Process	Description	Intended Audience
Review a Funding Proposal	Basic process for how to review a funding proposal, add comments, and edit the proposal when it has been submitted for Specialist Review.	Specialist Reviewer
Request Changes or Additional Information	Add, view, change, and resolve reviewer notes. Send a change request to the project owner.	Specialist Reviewer
Review Clarification Request Responses	Review the funding proposal after the research administrator (RA) has responded to the clarification requests you submitted.	Specialist Reviewer
Submit a Specialist Review	Submit a specialist review of a funding proposal.	Specialist Reviewer

Submitting SF424 Forms

Process	Description	Intended Audience
Submit an SF424 form to the sponsor	How to submit an SF424 form to Grants.gov	Grants Specialist
Check the status of an SF424	How to check the submission status and tracking numbers of the SF424 after it has been submitted	Grants Specialist
Resubmit an SF424	How to resubmit an SF424 if a PI or RA requests changes after it has already been submitted to the sponsor but before the deadline has passed.	Grants Specialist

Submit a Funding Proposal to a Sponsor

Process	Description	Intended Audience
Submit to a Federal Sponsor	Steps for how to submit a funding proposal to a federal sponsor	Specialist
Submit to a Non-Federal Sponsor	Steps for how to submit a funding proposal to a non-federal sponsor	Specialist

Additional Proposal Activities

Process	Description	Intended Audience
Manage Relationships	How to manage the relationship between a project and its related agreements.	Users with edit rights on a Grants project
Manage Tags	How to add a tag to a funding proposal, budget, award, or award modification. Tags can be added to projects so they will appear in a report later.	Users with edit rights on a Grants project
Send an Email	How to send an email to selected recipients directly from a funding proposal.	Users with edit rights on a Grants project
Update a Proposal with the Sponsor Determination	How to update the information in the funding proposal after receiving determination from a sponsor.	RAs and OSP
Create an Agreement from a Funding Proposal	How to create an agreement directly from a funding proposal workspace.	OSP

Creating and Activating Awards

Process	Description	Intended Audience
Create an Award	Steps for how to set up an award after receiving an official award notification from the sponsor.	Specialists
Create a New Financial Account	How to create a new financial account for an award from scratch or by copying an existing one. Also explains how to update an existing financial account and how to delete a financial account.	Specialists
Manage Award Allocations	How to complete a default award allocation, delete an allocation, and create a new allocation.	Specialists
Reconcile an Award Budget	Steps for how to reconcile an award budget.	OSP
Request RA to Reconcile an Award Budget	How to contact an RA to reconcile a budget through the ancillary review process.	OSP
Send for Final Review	How to submit an award for final review when it is complete.	Specialist
Complete a Final Review	How to complete a final review for an award that you have been assigned as the approver for.	Award Approver
Activate an Award	How to activate an award after the final review has been completed and no further changes are needed.	Award Approver
Activate an Award with an Advance Account	How to activate an award when OSP approved the advance account request to authorize spending before an official award notification was received or before the sponsor releases funds for a budget period.	Award Approver

Additional Award Activities

Process	Description	Intended Audience
Upload Award Documents	How to upload necessary documents to an award	OSP
Manage Relationships	How to manage the relationship between a project and related agreements.	Users with edit rights on a Grants project
Add a Deliverable	How to add a deliverable to a project. Deliverables are created to track sponsor and UAB requirements for the award.	OSP
Edit a Deliverable	How to modify a deliverable for an award.	OSP
Complete a Deliverable	How to complete a deliverable in the system.	OSP or RA
Create an Agreement from an Award	How to create a related agreement from the award workspace.	OSP
Withdraw an Award or Award Modification	How to withdraw an award or award modification. This may be necessary if a duplicate was created or if the PI did not carry out the project.	Specialist
Close Out an Award	How to close out an award. This is done when an active award's period of performance ends.	OSP

Subawards

Process	Description	Intended Audience
Create a Subaward	Steps for how to create a subaward. A subaward record is used to manage award funds designated for a subawardee.	Specialist
Complete a Subaward	Instructions for what to do when you create a subaward record in the system and return to complete it later.	Specialist
Upload Subaward Documents	How to upload documents to a subaward.	Specialist
Log Correspondence on a Subaward	How to log various types of correspondence on a subaward and view it in the subaward workspace.	Specialist
Activate a Subaward	How to activate a subaward once the subaward agreement is fully executed.	OSP
Manage Award Modifications that Affect Subawards	Some award modifications may affect subaward records such as a no-cost extension or rebudgets. This shows the steps to take to manage those award modifications.	OSP

Award Modifications

Process	Description	Intended Audience
Review an Award Modification Request	Instructions on how to review an award modification request and either request clarifications, approve, decline, or withdraw it.	OSP
Create and Submit an Award Modification	Explains general procedure for creating and submitting an award modification.	Specialist
Revision | Supplement Modification	How to submit an award modification when unanticipated costs arise within the project period of an approved award.	Specialist
No-Cost Extension (NCE) Modification	How to submit an award modification to add time to a previously approved project period for up to 12 months without additional sponsor funds.	Specialist
Re-Budget Modification	How to submit an award modification when you need to transfer funds between budget or expense categories without changing the awarded and authorized totals.	Specialist
Continuation Modification	How to submit an award modification when the sponsor has released funds or is expected to release funds for a subsequent budget period within a previously approved project period.	Specialist
Carryover Modification	How to submit an award modification when unobligated funds remain at the end of a budget period, and you want to carry them over to the next budget period to cover allowable costs.	Specialist
Budget Allocation Correction Modification	How to submit an award modification when you want to update allocation details for the current budget period of an active award.	Specialist
Early Termination Modification	How to submit an award modification to close out an award anytime prior to the planned end of the period of performance.	Specialist

Demographic Changes Only Modification	How to modify non-financial changes to an award for: a financial account change, personnel change, sponsor change, or other changes.	Specialist

Manage Ancillary Reviews

Process	Description	Intended Audience
Add Ancillary Reviewers	How to add an ancillary reviewer to a project. These people can submit their reviews at any point in the project workflow.	Users with edit rights on a grants project
Check the Progress of an Ancillary Review	How to open an ancillary review to view the details of the reviewer's response.	Users with edit rights on a grants project
Submit an Ancillary Review	How to submit an ancillary review if you have been assigned as an ancillary reviewer.	Ancillary Reviewer
Modify an Ancillary Review	How to modify an ancillary review that is in progress.	Specialist

Generate Reports

Process	Description	Intended Audience
Find and Run Reports	Steps for how to find and run a report.	OSP

Introduction

Introduction to Grants

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

Easy to Use

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

Find Status and Key Information Quickly

In MyUABResearch, 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 dashboard. When viewing an item's detail, the state is prominently displayed on the workspace screen along with a graphical representation of where the item is in the overall workflow. From the workspace, you can swiftly identify contacts, reviewers, and all related information for that item in one place.

Manage and Track Work Efficiently

From an item's workspace, the Research Administrator (RA) 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, Office of Sponsored Programs (OSP) or the RA can create relationships between funding proposals or awards and any agreements associated with them and easily navigate back and forth between them. The RA can record key information, notes, email correspondence, follow-up tasks, and award deliverables for a complete history of activities performed. The RA, principal investigator (PI), and any reviewers will receive email notifications at key points in the workflow to inform the appropriate person of next steps.

Grants Workflow

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

Funding Proposals

The lifecycle of a project starts with an RA creating a funding proposal, including the budgets and SF424, if applicable. Once the funding proposal is complete, the RA submits the funding proposal into the workflow to begin the review process. The department approver(s) review and approve the proposal first, followed by OSP. When reviews are completed and the proposal is approved, the proposal is submitted to the sponsor either by the department or OSP.

For proposals involving clinical trials, once the proposal is approved by the department, the RA will create a Clinical Trial Agreement (CTA) in Grants and submit it to start the agreement workflow. During that workflow, OSP will manage the review, negotiation, and signing with the contracting party.

Awards

For new awards requiring negotiated contracts before award setup, the RA 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, RAs can create and submit them to go through the agreement workflow.

If a proposal is awarded and all terms agreed upon, or the research team requests an advance account, OSP will create an award in the system, and it will go through a setup and data quality review process. If the award includes subrecipients, the RA creates a Subaward Agreement in the Agreements module for each subrecipient. When submitted into routing, OSP will manage the review, negotiation, and signing.

Award Modifications

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

If an approved award includes multiple years, and the sponsor requires a report to issue the next increment of funding, the RA 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, OSP 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; OSP will automatically create the award modification to add the next year of funding in these cases.

Project Types

Grants Module		Agreements Module	
Funding Proposal	**Awards**	Clinical Trial Agreement (CTA)	Material Transfer Agreement (MTA)
Funding Proposal (FP)	Award (AWD)	Sponsored Research Agreement (SRA)	Data Use Agreement (DUA)
Budgets	Award Modification Request (AMR)	Unfunded Agreement (UFA)	Confidential Disclosure Agreement (CDA)
SF424	Award Modification (AM)	Outgoing Subaward Agreement (SUB)	

Navigation

Dashboard

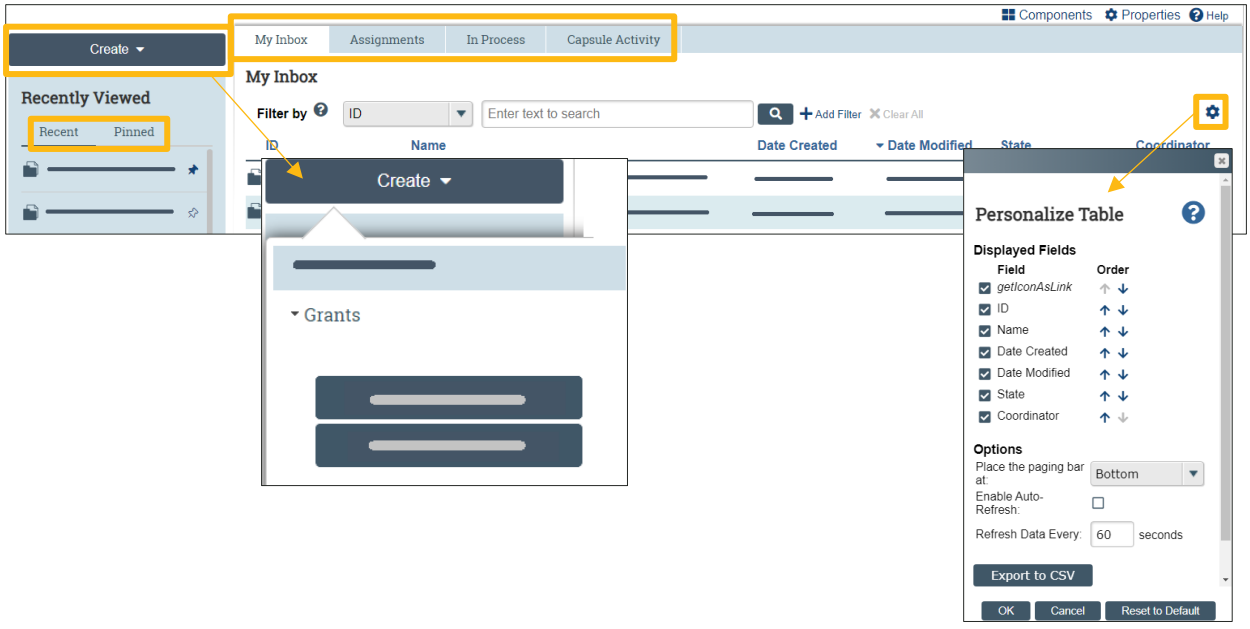
When first logging into the system, users will be on the Grants dashboard, which is the starting point for finding items and performing many basic tasks. The dashboard is designed to help users manage their work and deadlines, so items are completed on time. Dashboards for RAs and OSP include at-a-glance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

The items below focus on the Grants Central Office Dashboard, which was designed for OSP staff to easily find information about items in process so they can take the necessary action in a timely manner. With this dashboard, OSP can quickly see what is upcoming, who is working on what items, and how many items are in various states of the workflow. From the Grants Dashboard, users will see:

- **My Inbox:** Items the user is working on or requires them to take action to move them forward in the workflow.
    - Each item has an ID, and the prefix tells you what the item is. For example, FP is funding proposal and AWD is award. My Inbox also includes agreements. For example, a DUA prefix means the record is a Data Use Agreement, and CTA is a Clinical Trial Agreement.
    - The state tells you where the item is in the workflow. For example, Draft or Pre-Submission means the item has not yet been submitted into workflow, and it can still be updated.
    - Many tables throughout the system allow users to filter the data and sort by the column headers to find what is needed.
    - The Help icon explains how to use the filter including a wildcard so you can find items containing certain numbers or characters. Note that for all searches in the system, the wildcard is only needed at the beginning of what is being searched for.
    - Data can be exported into a CSV file. Note that when fields are hidden, only the data that is displayed is exported to CSV.
    - Click the name of the item to enter its workspace to see more detail or perform an activity. Whenever there is a hyperlink for an item's ID or name, users can enter its workspace.
- **Assignments:** The **Assignments** tab applies to the RA and OSP dashboards only and includes items assigned to the user. It is a visual representation of individual assignments of all in process items so the respective team can manage and balance workloads. The charts show the number of items assigned to OSP members that were started and are in a draft state or require some action by the user. Users can click a pie slice in the chart to see more details about the items assigned to the user, as well as click the name or ID link to enter that item's workspace to view additional information or complete any necessary actions. Use the My Activities menu to perform certain actions quickly and easily without navigating to the item's workspace.
- **In Process:** The **In Process** tab shows users tiles with the number of items in various stages of their respective workflows. This tab shows funding proposals and post award items, such as awards, subawards, deliverables, award modification requests, and award modifications, that have not yet completed their workflows. View a tile's description by hovering over the tile. Click the tile to see the data behind the number listed. Users can filter the information and use the Actions menu to change search parameters and export the data to a CSV file.
    - The My Proposals and My Post Award sections list items assigned to the user.

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

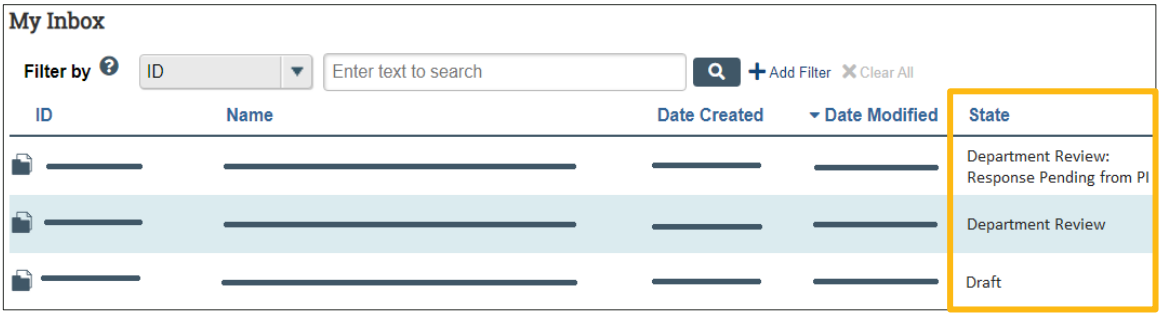
- **Create menu and buttons:** On the left side of the screen is the Create drop-down menu. This menu shows the creator buttons that are available to the user, such as the Create Funding Proposal button.
- **Recently Viewed:**
  - **Recent**: Lists the last several items the user viewed with the most recent ones at the top. Scroll through this list to find an item you worked on recently.
  - **Pinned:** Users can pin the items in the Recently Viewed section for quick and easy access. Once an item is pinned, the thumbtack icon will appear solid and the pinned item will appear on the **Pinned** tab, where it will remain until it is unpinned.
- **Personalize Table:** You can alter the tables displayed on the dashboard by using the Personalize Table gear icon.



To identify what action is needed

1. Review the state column of records in your inbox.

   The state gives a clue as to what to do next. For example, the “Specialist Review” state indicates the item is awaiting review by OSP.



To open a record awaiting your action

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

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

To view record history

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

To find a funding proposal not on the Dashboard

1. In the Top Navigator, click **Grants**.
2. In the Sub-Navigator, click **Funding Proposal**
3. To further narrow your search, you can:
   a. Sort the records in various ways by clicking the column headings.
4. Filter the records by name, state, or other attributes, using the filter tool at the top of the list.
5. Click the name of the desired funding proposal.

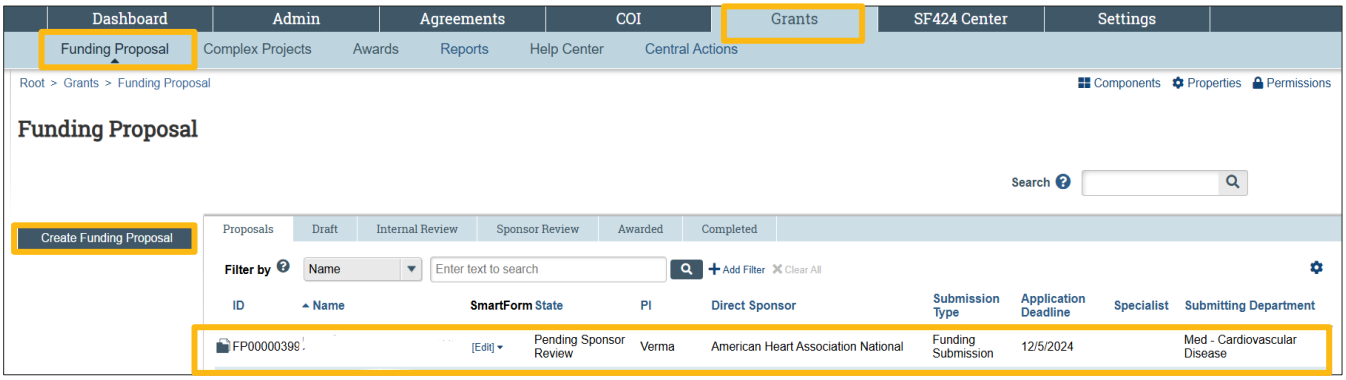
   The funding proposal workspace opens.

Grants Funding Proposal Page

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

- **Proposals** – View all funding proposals and their IDs, names, states, PIs, primary sponsors, submission types, application deadlines, assigned Specialists, and submitting departments.
- **Draft** – View funding proposals in a Draft state.
- **Internal Review** – View funding proposals currently in routing for internal approvals. Proposals listed here will be in Department Review, Department Review: Response Pending from PI, Specialist Review, Specialist Review: Pending Changes by PI, and Pending Submission to Sponsor states.

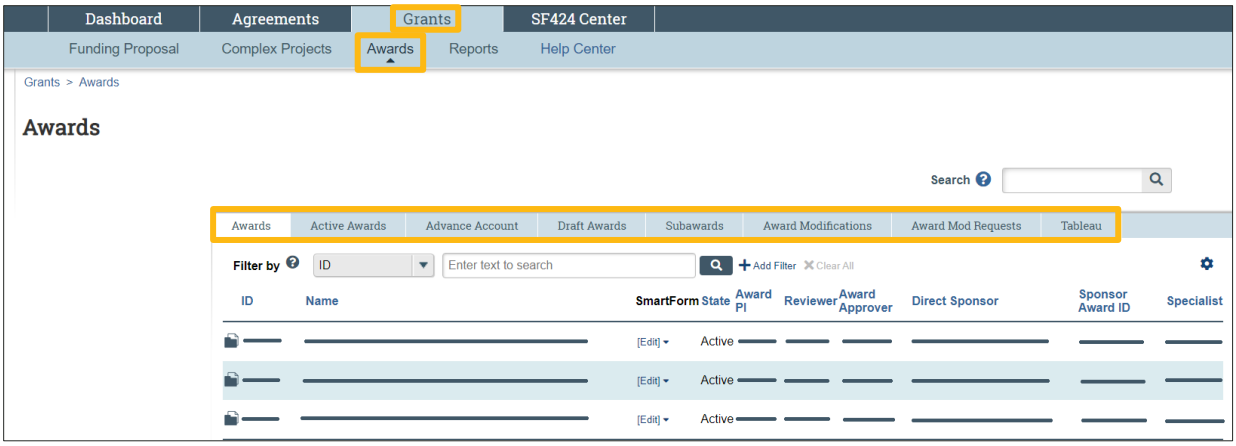
- **Sponsor Review** – View funding proposals currently under Sponsor Review. This includes funding proposals in Pending Sponsor Review, JIT Response Required, and Pending Sponsor Review Award Anticipated states.
- **Awarded** – View funding proposals that have been awarded. This includes funding proposals in Award Notification Received and Awarded states.
- **Completed** – View completed funding proposals in Not Submitted and Not Funded states.



Grants Awards Page

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

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



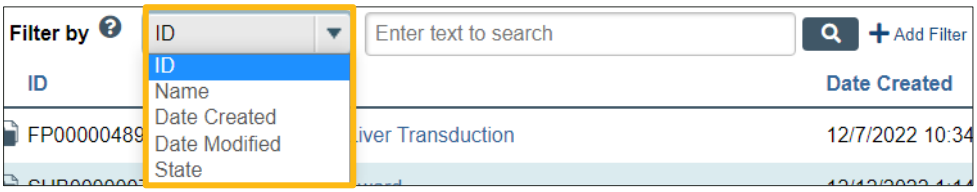
Find Data by Filtering

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

To filter data

In the Filter by bar:

1. Select the column to filter by.



2. Type the beginning characters for the records you want to find. You can also type a % symbol as a wildcard before the characters. Examples:
   - 71 shows all items beginning with 71.
   - %71 shows all items containing 71.

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

     - Comparison Operators: **!=**, **>**, **>=**, **<**, **<=**
       Example: Filter a date field with > 7/1/2020 to find all values after that date.
     - Boolean Operators: **-or** and **-and**
       Example: Filter a name column with Shawn -OR Shaun.

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

3. Click the search icon  to apply the filter.

Look Up Workflow Status

To find proposals in review

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

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

To find awards in review

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

Funding Proposal Workspace

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

Beneath the breadcrumb trail is the funding proposal's current state. The current state is also highlighted orange in the workflow diagram.

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

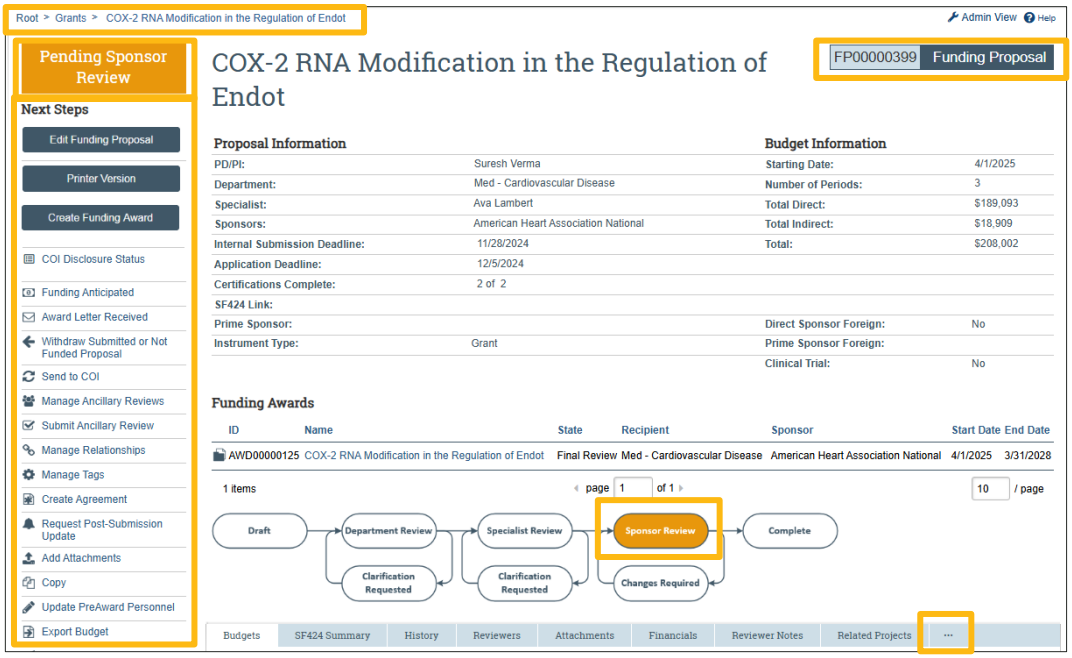
At the top of the workspace is the funding proposal title and a summary of the funding proposal and budget information. The PD/PI is the Program Director or Principal Investigator listed on the proposal pages, and the Specialist is the OSP member assigned to the proposal. You will also see at a quick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

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

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

- **Budgets:** Lists all the budgets associated with the funding proposal, including the sponsor and cost-share budgets. Click the budget name to open the budget's workspace to view or edit the budget pages. Only users with the Salary Access role can see and access the budgets listed on this tab.

- **SF424 Summary:** For federal opportunities that are being submitted system-to-system, if the SF424 has been created, a link to it will appear not only in the summary area, but on the **SF424 Summary** tab as well. Additional fields on this tab will update once the SF424 form is submitted to Grants.gov.
- **History:** Shows the activities that have been performed on the funding proposal, including who performed the activity and when. This tab also shows if a budget and SF424 were created. While they are separate "records," they are part of the funding proposal. When a funding proposal is submitted into workflow, the budget and SF424 are part of it. Click on a completed activity to see details about what occurred.
- **Reviewers:** Starts with the contacts listed on the funding proposal, including the PI, project personnel, and the research administrator (RA) (administrative contact). It then lists the department reviewers who need to approve the funding proposal, including its budget and SF424, for it to move forward in the workflow. Below Reviewers are any Ancillary Reviews added to the funding proposal and whether their review is required. The name of the person completing the review and whether they accepted the funding proposal is also listed. The Grants Administrative Editors area is a list of department members who can edit the proposal. The list may include department heads who want to see all proposals for their department.
- **Attachments:** Shows links to documents added to the funding proposal, including documents added using the Add Attachments activity. Users with the Salary Access role will see a Budget Attachments section that lists documents attached to any Budgets associated with the FP. Click the link to open a document on this tab.
- **Financials:** Shows the proposed budget by category for each period. By default, the sponsor budget totals from all budgets associated with a funding proposal are rolled up into the totals shown on the **Financials** tab. However, budget editors can exclude individual budgets, if desired. When a proposal is submitted to the sponsor, an additional section of financial summaries will be presented on this tab. These financial summaries will show the budget amounts at time of submission.
- **Reviewer Notes:** Shows the notes reviewers added to the specific pages of the funding proposal during their reviews. Click the link to jump directly to the specific funding proposal page to which the note applies.
- **Related Projects:** Shows all agreements and proposals linked to the funding proposal. Users can create relationships to funding proposals by using the Manage Relationships activity on the funding proposal workspace.
- **Change Log:** Shows the changes made to the funding proposal pages during the workflow. Click an activity to see details of what was changed.



Budget Workspace

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

Note: Only research administrators with the Salary Access role can access the budget workspace. Specialists can see the budget details as part of their permissions.

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

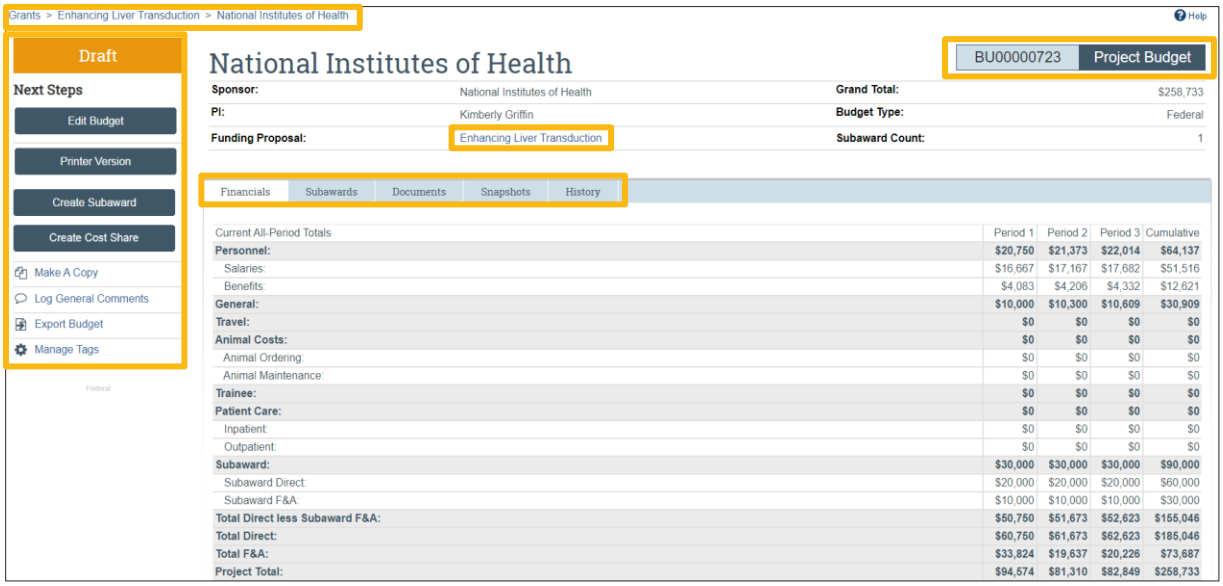
On the left are buttons which allow users to view or edit the budget pages and activities that can be performed based on the state of the budget and user permissions.

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

Below the summary area are the following tabs of budget information:

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

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



SF424 Workspace

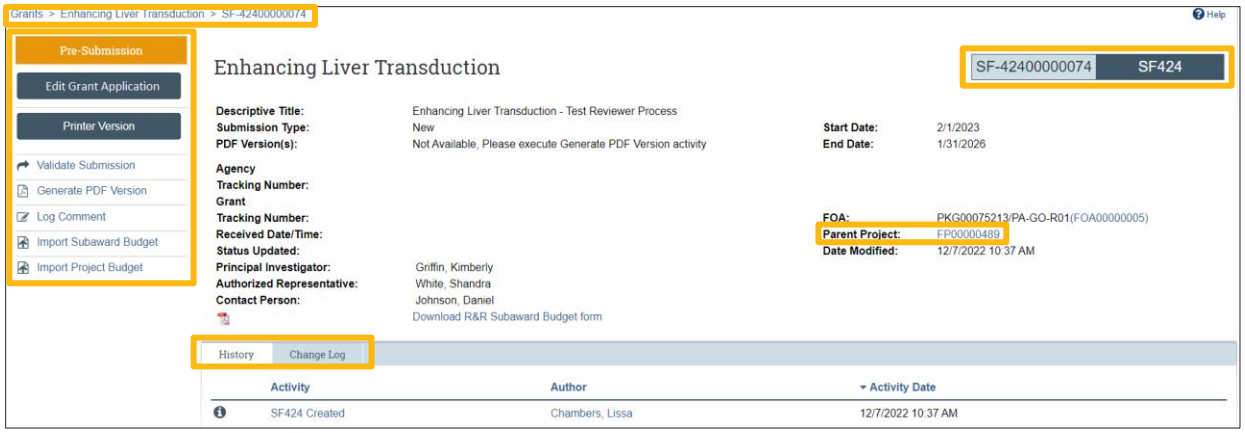
For federal system-to-system submissions, an SF424 will be created from and linked to the related funding proposal. An SF424 workspace is accessed from the funding proposal workspace it is linked to. From the funding proposal workspace, it can be accessed from the SF424 link in the summary area or from the **SF424 Summary** tab. Anytime an SF424 is opened, as indicated by “SF-424” in the ID, you will be in the SF424 workspace. The SF424 workspace displays key information about a particular SF424. The information and activities that appear on the workspace depend on the state the SF424 is in and your permissions in the system. There are two ways to navigate back to the funding proposal workspace, including the breadcrumb trail in the top left of the SF424 workspace or the funding proposal ID link labeled Parent Project in the SF424 summary area.

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

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

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

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



Award Workspace

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

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

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

At the top of the workspace is the award title and a summary of the award. You will notice some of the same fields here as those you can find on the funding proposal workspace. When a Specialist creates an award, the system automatically imports key pieces of data from the funding proposal into the award, such as the PD/PI, OSP member assigned as the Specialist, and the sponsor. You will also see the total project period commitment and the total award amount to date. On the right, you will see the project’s start and end dates, followed by the sponsor’s award number.

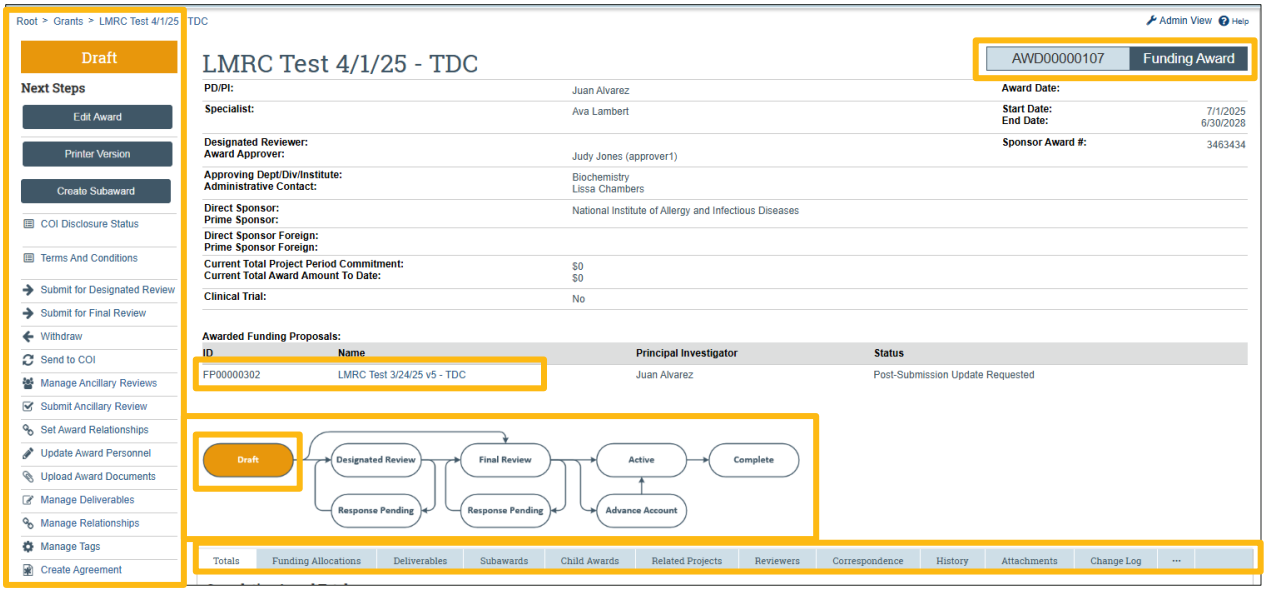
The Awarded Funding Proposals area lists the funding proposals related to this award. You will see the funding proposal ID, name, PI, and the status. Click the funding proposal Name link to open the funding proposal workspace.

The award Workflow Map is shown in the middle of the workspace. Review the Award Workflow section for more information.

Across the bottom of the award workspace you will see the following tabs of information about the award.(Note: If you do not see all the tabs on your screen, click the ellipsis to select additional tabs for viewing.)

- **Modifications:** Only appears after the award has been activated. You will see details for both modification requests, which are initiated by RAs, and modifications, which are made by OSP to update awards in the system, including the state and name. To navigate to an item, click the Name link. From the modification or modification request workspace, you can either use the breadcrumb trail to navigate back to the award or click the Parent Award link in the workspace summary area.

- **Totals:** Lists the direct, indirect, and total proposed and awarded costs for this award and its child awards, along with the grant total amounts which include the subaward totals. The Cumulative Subaward Totals area separates out the subaward costs. This is visible to anyone who can access the award.
- **Funding Allocations:** Lists each increment of funding awarded by the sponsor.
- **Deliverables:** Lists the deliverables, such as annual reports, required by the sponsor during the life of the award. This area is where you can track the status of deliverables and mark them as complete.
- **Subawards:** Where you'll find subaward information for this award, for example, the name of the subrecipient organization, risk level, effective, start and end dates, the state of the subaward and the cumulative amount. Additionally, the Subaward Monitoring Summary displays the monitoring information noted by the subaward team. Note that creating and executing individual agreements are done in the Agreements module and can be accessed via the **Related Projects** tab on the Award workspace, not directly from the subaward.
- **Child Awards:** Shows any child awards that were linked to the award using the **Set Award Relationships** activity.
- **Related Projects:** Shows all agreements linked to the award. You can navigate to the related agreement by clicking the link and then navigate back to the award using the **Related Projects** tab in the agreement workspace. When OSP creates agreements from the award workspace, the agreement will appear on the **Related Projects** tab. Additionally, you can link an agreement to this award using the **Manage Relationships** activity. Likewise, users can create relationships to awards from other modules.
- **Reviewers:** Starts with the contacts listed on the award. This includes the PI, project personnel, and the RA (administrative contact). It then lists the Award Approver that needs to approve the award for it to move forward in the workflow. Below Reviewers are any Ancillary Reviews added to the award and whether their review is required. You will also see if the person completed their review. The Grants Administrative Editors area shows the members that can edit the award.
- **Correspondence:** Shows any correspondence that has been logged for this award. This might include conversations that occurred about the award.
- **History:** Shows the activities that have been performed on the award, including who performed the activity and when. Click on a completed activity to see details about what occurred.
- **Attachments:** Shows links to documents added to the award, including documents added using the **Upload Award Documents** activity. Click the Name link to open a document.
- **Change Log:** Shows the changes made to the award pages during the workflow. Click an activity to see details of what was changed.
- **Reviewer Notes:** Shows the notes reviewers added to the specific pages of the award during their reviews. Click the link to jump directly to the specific award page to which the note applies.
- **Personnel Summary:** Shows the personnel listed on the award and their committed effort per period but not specific salary information.



Help Center Overview

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

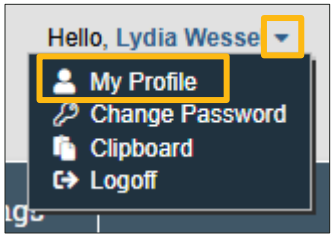
1. In the Top Navigator, click **Grants**.
2. In the Sub-Navigator, click **Help Center**.
3. Click the **Guides** tab to access written resource guides. Click on the file name of the specific resource you wish to open.
4. Click the **Videos** tab to access video resources. Click on the file name of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

Manage My Profile

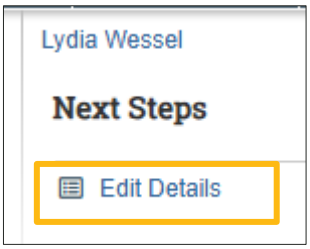
The **Modify Person Profile** activity allows all users to update select data on their profile, including address, email, and phone number. All users have access to the **Modify Person Profile** activity for their own profile only. Users with the Salary Access role or the Specialist Finance/Grants role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

Update Your Own Profile

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



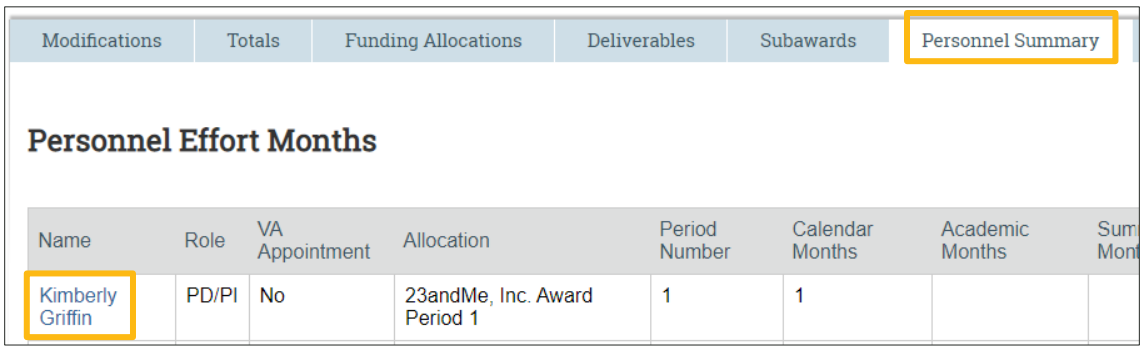
3. Click **Edit Details** on the left to edit the information.



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

Update Another Users Profile

1. From the funding proposal or award workspace, click the **Personnel Summary** tab.
2. Click on the name of the user to go to their person profile.



3. Click **Edit Details** on the left to edit the information.
4. Update the necessary information in the Person Information slide-in window.
5. Click **OK**.

Creating and Submitting Funding Proposals, Budgets, and SF424s

This section covers review and submission activities pertaining to funding proposals.

Funding Proposal Workflow

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

When the proposal team completes the funding proposal and budget, the PI reviews their funding proposal and certifies that it is complete and accurate, and then the research administrator (RA) submits the funding proposal into the *Department Review* state to be reviewed by the appropriate department reviewer(s). During *Department Review*, the funding proposal and budget SmartForms are locked and cannot be edited by the PI or RA. If department reviewers require clarification or changes to the funding proposal or budget, they can send the proposal back to the RA for editing. If the funding proposal includes SF424 forms, the SF424 Research Plan attachments remain editable during *Department Review* so the research plan can be updated. There may be multiple levels of department approval, which occur sequentially. After one department reviewer approves the funding proposal, it moves to the inbox of the next department reviewer for review.

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

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

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

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

Funding Proposal Workflow Map



Funding Proposal State Transitions

Current State	During This State…	To Move to the Next State…	Next State
	Research administrator (RA) creates an FP	RA saves FP	Draft
Draft *(Draft)*	RA completes funding proposal and budget SmartForms. PI certifies FP.	Submit For Department Review Withdraw Proposal	Department Review Not Submitted
Department Review *(Department Review)*	Department reviewer reviews FP, can leave notes and return FP for clarification/changes, or approve FP. RA can update the research plan attachments.	Request Changes Approve	Department Review: Response Pending from PI Specialist Review
Department Review: Response Pending from PI *(Clarification Requested)*	RA can edit the FP, budgets, and SF424to make the appropriate changes, and resubmits it for department re-review.	Submit Changes To Department Reviewer	Department Review
Specialist Review *(Specialist Review)*	OSP Specialist reviews the FP, can leave reviewer notes, and can either return it for clarification/changes or approve it.	Specialist Requests Changes Final Review	Specialist Review: Pending Changes by PI Pending Submission to Sponsor
Specialist Review: Pending Changes by PI *(Clarification Requested)*	RA can edit the FP, budgets, and SF424 to make the appropriate changes, and resubmits it for department and/or Specialist re-review.	Submit For Department Review Submit Changes to Specialist	Department Review Specialist Review

Current State	During This State…	To Move to the Next State…	Next State
Pending Submission to Sponsor *(Specialist Review)*	FP can be returned to Specialist review or submitted to the sponsor	Submit to Federal Sponsor Submit to Non-Grants.gov Sponsor Submit to Sponsor via Proposal Team activities Return to Specialist Review	Pending Sponsor Review Specialist Review
Pending Sponsor Review *(Sponsor Review)*	The FP can be updated to reflect the appropriate grants status or withdrawn from sponsor review. The JIT process can be initiated, or an Advance Account can be requested.	Send Grants Status Update JIT Changes Required Funding Anticipated Award Letter Received	Proposal Status Confirmation JIT Response Required Pending Sponsor Review Award Anticipated Award Notification Received
JIT Response Required *(Changes Required)*	The FP becomes editable for the RA to make the requested sponsor updates. RA submits the JIT Request for OSP review.	Submit JIT response	Pending Sponsor Review Award Anticipated
Pending Sponsor Review Award Anticipated *(Sponsor Review)*	The FP can be updated to reflect an award letter has been received from the sponsor.	Award Letter Received	Award Notification Received
Proposal Status Confirmation *(Sponsor Review)*	The FP can be updated to reflect that funding is anticipated or an award letter has been received and can be returned to the *Pending Sponsor Review* state. The JIT process can also be initiated.	Return to Pending Sponsor Review Funding Anticipated Award Letter Received	Pending Sponsor Review Pending Sponsor Review Award Anticipated Award Notification Received
Not Funded *(Complete)*	The FP was not funded by the sponsor. A resubmission proposal can be created.	Create Resubmission Reinstate Proposal *(OSP only)*	Draft Pending Sponsor Review
Award Notification Received *(Complete)*	Award notification has been received. An award and/or an agreement can be created from the FP	Create Funding Award Create Agreement	

Current State	During This State…	To Move to the Next State…	Next State
Awarded *(Complete)*	The FP has been awarded by the sponsor. An award can be created from the FP. Renewal and revision proposals can be created.	Create Renewal Create Funding Award Create Revision Create Agreement	

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

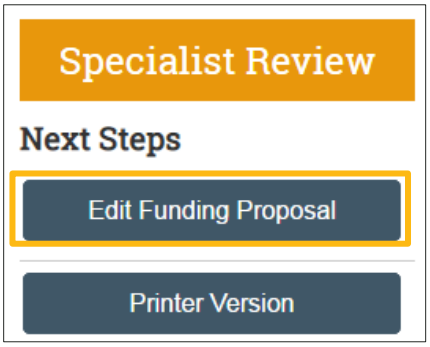
Reviewing Funding Proposals

Review a Funding Proposal & Related Components

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

The funding proposal initially goes through a department review process. When it is approved by all department reviewers (and only after the PI certifies it), it transitions to the *Specialist Review* state where it routes to the assigned Specialist for review. Specialist Review is performed by OSP. OSP reviewers can add comments and edit the funding proposal. This topic shows the basic procedure for a Specialist Review.

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

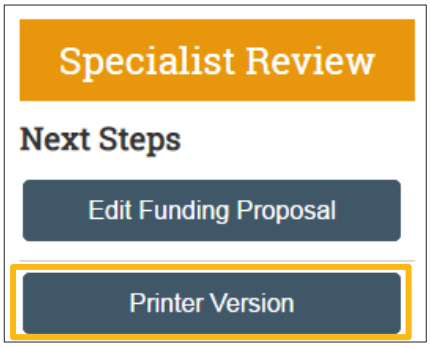


3. Review the data in the funding proposal. Click **Continue** to review each page in sequential order or use the Left Navigator to jump to specific sections.
    - To see what changed between this and a previous version, click **Compare** on the Left Navigator and select the version to compare against.
    - If you find problems, you can add reviewer notes for the PI. Review the Request Changes or Additional Information section for more information.
5. When finished reviewing, click **Save** and **Exit** to return to the funding proposal workspace.
6. On the *Attachments* tab, ensure additional supporting documentation is present if applicable.

7. Ancillary reviews initiated by the department can be found on the *Reviewers* tab, including information about the review type and if it has been completed.
8. Review the data in the primary sponsor budget and any other associated budgets. Click **Continue** to review each page in sequential order or use the Left Navigator to jump to specific sections.
9. If you found problems in the proposal, you can request changes from the PI. Review the Request Changes or Additional Information section for more information.
10. If you are satisfied with the proposal, submit the final review. Review the Submit a Specialist Review section for more information.

To print proposal pages

1. On the funding proposal workspace, click **Printer Version**.



2. Click **Print** at the top of the preview.
3. In the Print dialog box, select the desired printer, and click **Print**.

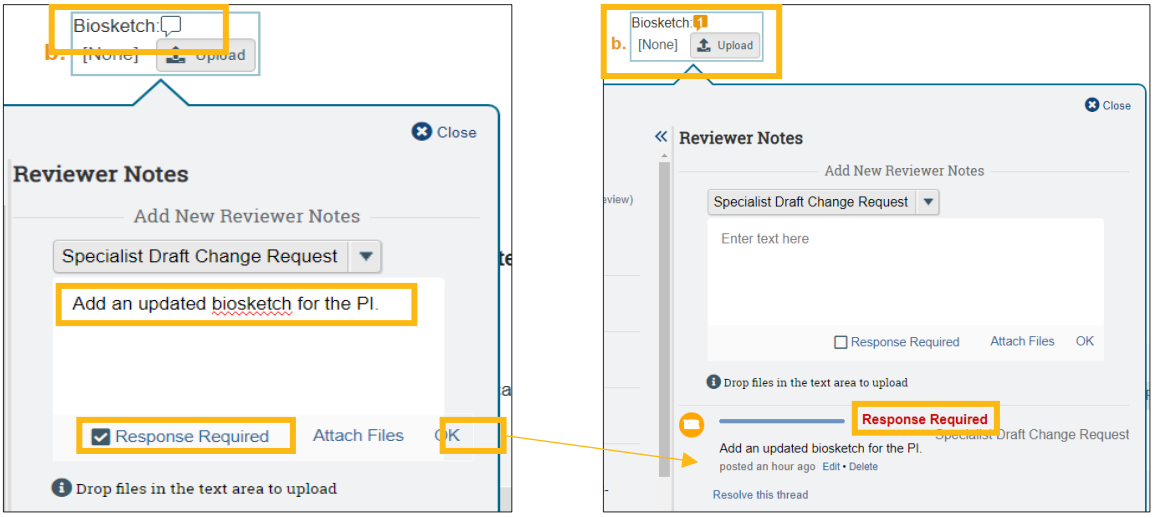
Request Changes or Additional Information

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

This topic illustrates the procedure with a funding proposal in *Specialist Review*, although the procedure is essentially the same for all project types and review cycles. For information on reviewing a funding proposal, review the Review a Funding Proposal section.

To add reviewer notes to the funding proposal

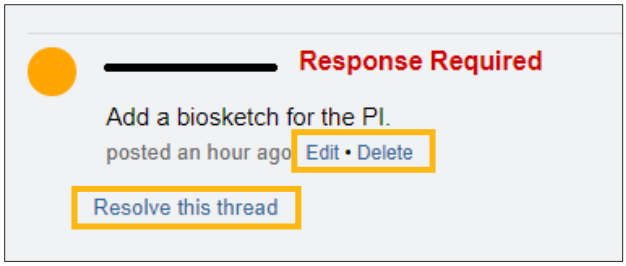
1. On the funding proposal workspace, click **Edit Funding Proposal** and review the proposal pages.
2. Make any needed changes and click **Save**.
3. If you find issues the PI must address:
    a. Click the reviewer note icon for the items in question and enter instructions.
    b. To require the project owner to respond to this note before the workflow can complete, select **Response Required**.
    c. Attach supporting documents, if appropriate.
    d. Click **OK** to save your entries, and then click **Close**. The note icon turns orange and shows the number of notes on that item.
    e. When done adding reviewer notes, click **Save** and **Exit**.



To view, change, or resolve a reviewer note

1. To view a note on a section or field, click its orange icon. The bottom of the reviewer note form lists all current notes for that item.
2. To make changes in a note, click **Edit**.
3. To remove a note, click **Delete**.
4. When the project owner has adequately addressed a note, you can document this by clicking **Resolve this thread**.

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



To send a change request to the project owner

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

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

Review Clarification Request Responses

Once the RA responds to the clarification requests froma Specialist reviewer, they resubmit the funding proposal to the Specialist and/or department for re-review.

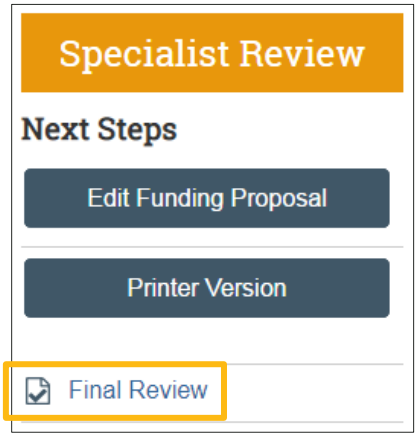
1. Open the funding proposal by clicking the link in the email notification or from your inbox.
2. On the funding proposal workspace, click **Edit Funding Proposal**.
3. Navigate to the items that indicate a clarification is needed. Review the clarifications made by the RA and read their reply.
4. If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

Submit a Specialist Review

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

To submit a specialist review

1. From the funding proposal workspace, click **Final Review**. This will lock the proposal and will not allow additional edits to be made.



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

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

Submitting SF424 Forms

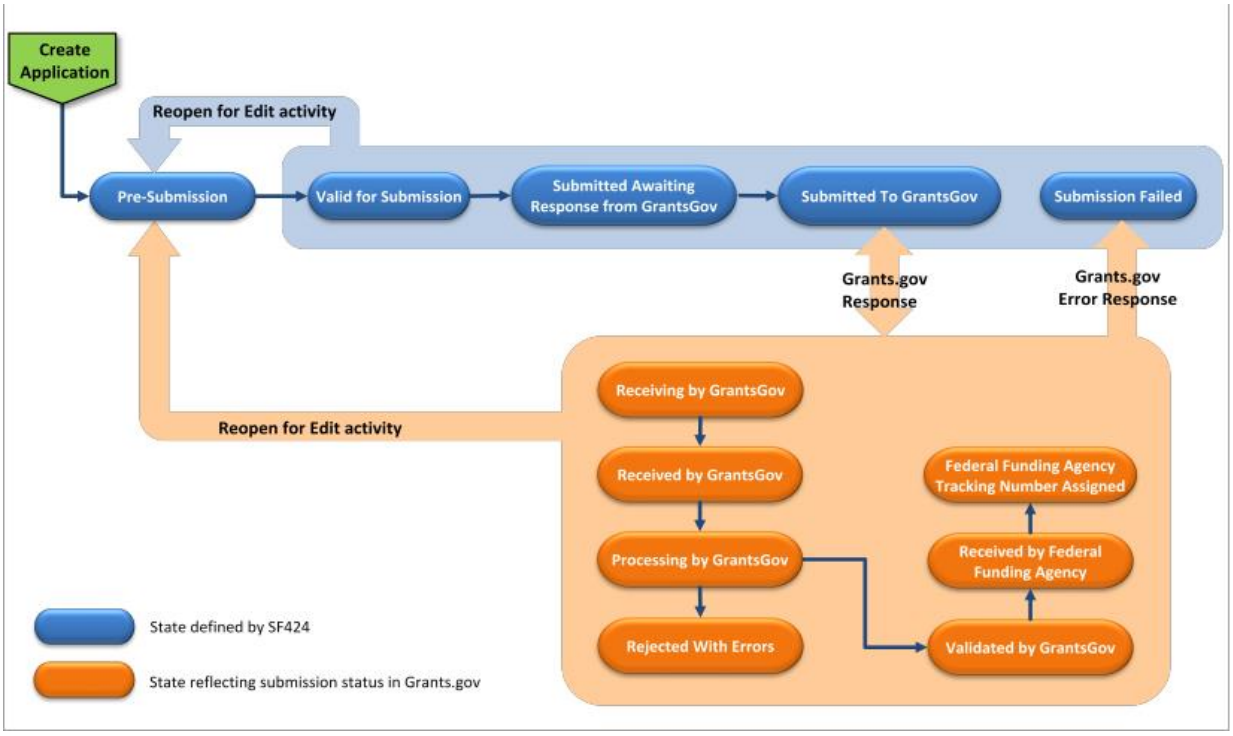
SF424 Workflow

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

RAs will create the SF424. Once it is created, the SF424 will be in a pre-submission state. After the RA validates the application, it moves to the Valid for Submission state. The OSP team will submit the

proposal. Grants.gov will process the application and send automatic updates back to MyUABResearch regarding the processing status. The SF424 states are displayed below.

SF424 Workflow Diagram



Submit an SF424 via System-to-System

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

To open an SF424 Form

There is more than one way to access SF424 forms:

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

You are taken to the SF424 workspace.

To submit an SF424 form to the sponsor

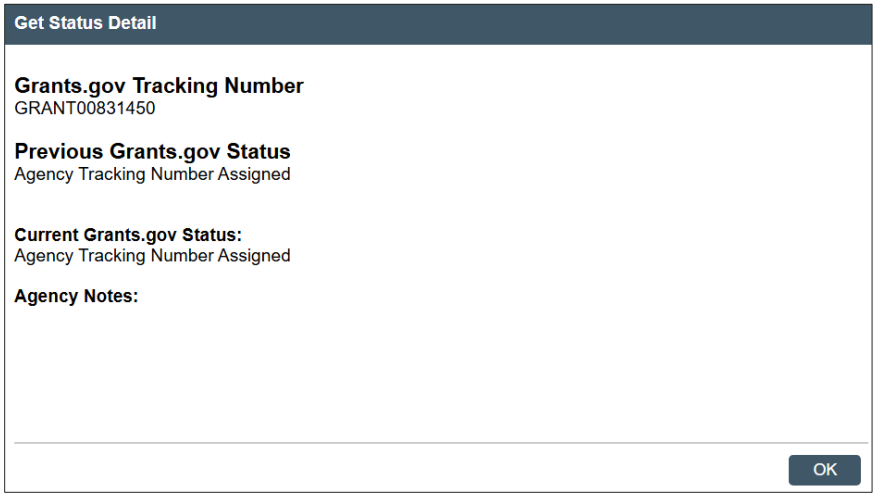
1. Open the SF424 from the funding proposal workspace. Click the SF424 link in the summary area of the funding proposal workspace.
2. From the SF424 workspace, click **Submission Pre-Check**.
3. When the pre-check is completed, note the results under Grants.gov Validation Results, and click **OK**.
4.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

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

Check the Status of an SF424

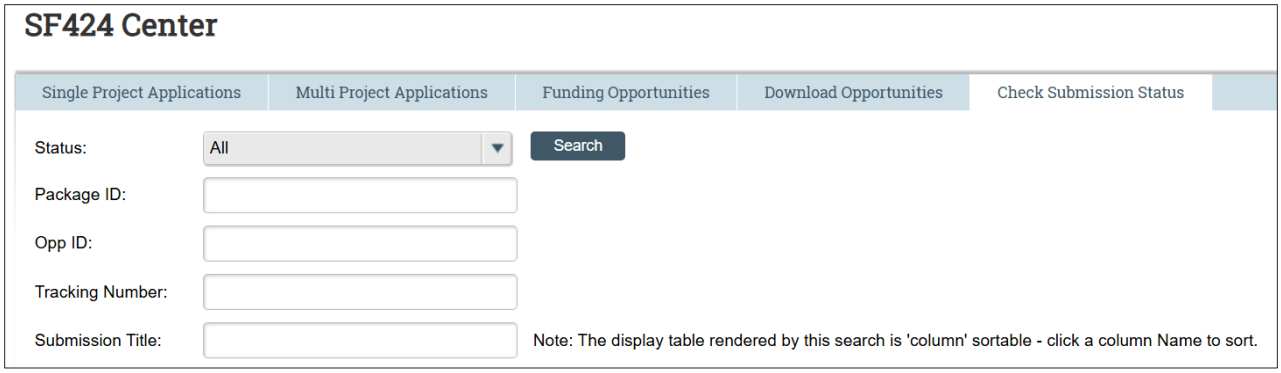
Once the SF424 is submitted, you can check the submission status and tracking numbers of the proposal in the SF424 workspace.

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



Or

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



Resubmit an SF424

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

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

To reopen an SF424 application

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

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

To resubmit an SF424 application

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

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

Submit a Funding Proposal to a Sponsor

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

Note: After OSP assigns the Coordinator as the Specialist, the funding proposal will appear in their inbox for proposal submission. These steps should be executed the same day in order to accurately capture the Proposal Submission Date.

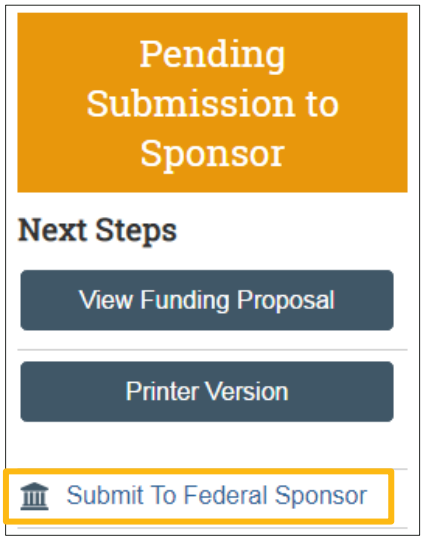
Submit to a Federal Sponsor

Federal submissions can be submitted via system-to-system or via the sponsor's eRA system.

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

To submit to a federal sponsor

1. From the funding proposal workspace, click **Submit To Federal Sponsor**.
2. On the slide-in window, click **OK**.



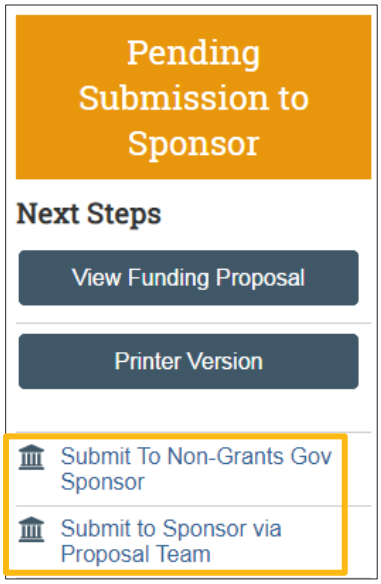
The funding proposal state changes to *Pending Sponsor Review*.

Submit to a Non-Federal Sponsor

If the sponsor is not federal,

1. From the funding proposal workspace, select the appropriate submission activity:
    a. Click **Submit to Non-Grants Gov Sponsor** if OSP will make the submission.
    b. Click **Submit to Sponsor via Proposal Team** if the PI or RA will make the submission.
2. On the slide-in window, attach a copy of the Sponsor submission.

3. Click the checkbox to confirm the included document has been read and signed.
4. Click **OK**.



The funding proposal state changes to *Pending Sponsor Review*.

Additional Proposal Activities

Manage Relationships

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

To manage relationships

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

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

Manage Tags

Sometimes users want to tag a project in a special way so it will appear in a report later. Tags can be added to any funding proposal, budget, award, or award modification. Standard reports are provided to

list any funding proposal or award projects that contain tags. Tags can be used to specify if a funding proposal is a preliminary proposal or if it is a Letter of Intent.

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

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

To add tags

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

To remove tags

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

Add Attachments to a Funding Proposal

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

Use the **Add Attachments** activity to upload documents to the funding proposal at any point in the funding proposal workflow for documents that are related to the proposal submission if needed.

Send an Email

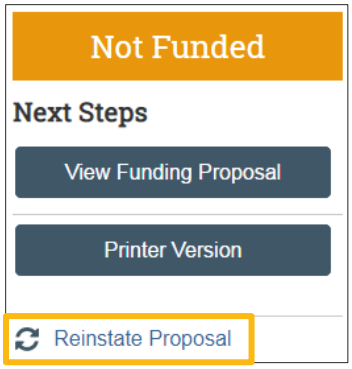
Users can send emails to selected recipients directly from the funding proposal.

To send an email

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

Reinstate a Proposal

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



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

Updating the Proposal with the Sponsor Determination

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

To respond to pre-official award notification

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

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

To respond to official award notification

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

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

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

Create an Agreement from a Funding Proposal

OSP can create and access related agreements directly from a funding proposal workspace. This activity is an important step in establishing relationships between funding proposals and agreements.

To create an Agreement from a Funding Proposal

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

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

Creating and Activating Awards

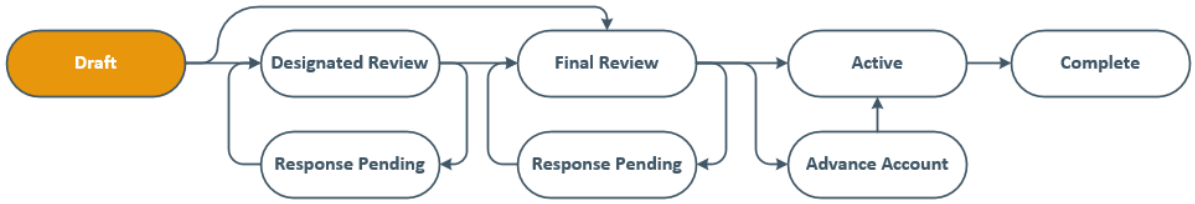
This section covers creating, reviewing, and managing awards.

Award Workflow

An OSP Specialist creates awards when UAB receives an award notification from the sponsor. The OSP Specialist enters all the necessary information in the award, sends it to the RA for budget reconciliation, if necessary, and initiates a Final Review, which sends the award to the assigned Award Approver in Financial Accounting. The assigned Award Approver performs the final review, and either sends the award back to the OSP Specialist for changes or activates the award.

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

Award Workflow Map



Award State Transitions

Current State	During This State…	To Move to the Next State…	Next State
	Award is created	Create and save award	Draft
Draft *(Draft)*	OSP edits the award	Submit for Final Review	Final Review
Final Review *(Final Review)*	Financial Accounting Award Approver reviews the award and can request changes or activates the award	Request Changes Activate	Final Review – Response Pending Pending Activation
Final Review – Response Pending *(Response Pending)*	Assigned OSP Specialist makes appropriate changes and submits them to OSP Award Approver	Submit Changes	Final Review
Pending Activation *(Complete)*	The system connects with and sends award information to the Award system.	The Award system creates an award and sends information back to the system to update the status.	Active Advance Account

Current State	During This State…	To Move to the Next State…	Next State
Advance Account *(Advance Account)*	At-risk spending is authorized.	OSP submits an NGA Revised Award Modification to indicate advance account budget allocation is now authorized by the sponsor	Active
Active *(Active)*	Award can be viewed. Award Modification Requests can be submitted, and Award Modifications can be created.	Complete Approval of an Early Termination Award Mod	Completed Transferred Out Terminated

Create an Award

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

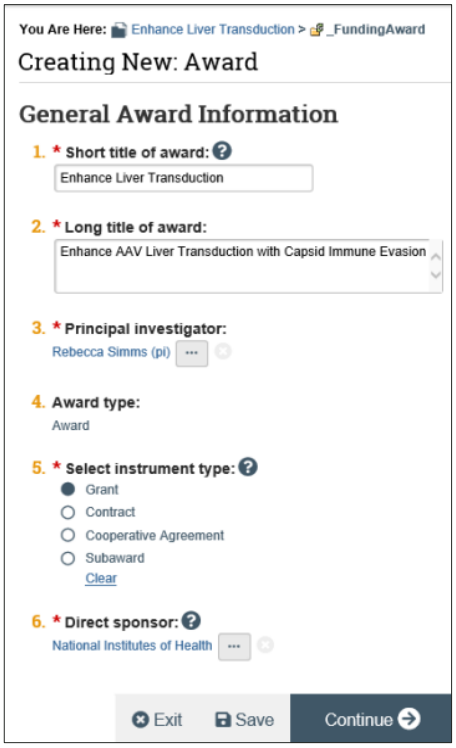
Notes:

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

To create an award

1. From your inbox or the Grants Funding Proposal page, click the name of the proposal for which award notification has been received.
2. From the funding proposal workspace, click **Award Letter Received**.
3. Fill out the resulting form and attach the sponsor award letter or notice to the *Direct Sponsor Award Documents* section. Click **OK**.

   The proposal transitions to the *Award Notification Received* state and sends the PI and RA an email notification.
4. From the funding proposal workspace, click **Create Funding Award**.
5. Complete each page of the award and click **Continue**.
   - On the *General Award Information* page, upload the official award documents. The award letter or notification attached during the **Award Letter Received** activity automatically populates.



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

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

   - Click the pencil icon to update the personnel's role or financial conflict of interest (FCOI) Investigator status.
   - Click the remove icon to delete a person from the list.
   - Click **Add** to add new UAB personnel to the award.

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

   Notes:

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

8. On the *Terms and Conditions* page, select the terms and conditions that apply to this sponsor and this award. Click **Continue**.

9. On the *UAB Additional Award Information* page, select the Pre-Award Date, indicate if your project involves any of the high growth research areas listed, select if the award is R&D, and enter the NSF HERD R&D Code and the HERD R&D Discipline.
10. On the *Deliverables* page, click **Add** to define award deliverables. Deliverables are activities or work assignments that must be completed to comply with the award's terms and conditions. See the Manage Deliverables section for more information.
11. On the *Compliance Review* page, the default selections replicate those found on the *Compliance Review* page of the linked funding proposal. Update the selections, if necessary, and identify any compliance restrictions.
12. On the final page of the award, follow the instructions. Validate the award and resolve any errors. Click **Finish**.

You are returned to the award workspace.

Manage Financial Accounts

Financial accounts are defined in the Grants system to capture information.

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

The first time you save a newly created award, the system automatically sets up one default financial account, which you can then edit as needed. This topic shows how to create a new financial account from scratch or by copying an existing one, how to update an existing account, and how to delete an account.

To create a new financial account

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

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

   Note: Once the award is activated, changing this selection does not change the indirect calculations for allocations referencing this financial account.
8. Select if the award is active.
9. Select the Project Purpose from the drop-down list.
10. Indicate whether it is a cost-share project.
11. Select the A21 Code.
12. Select the GASB33 from the drop-down list.
13. Select the GASB34/35 from the drop-down list.
14. Select the source.
15. Select the billing indicator, billing responsibility, and billing cycle.

16. Select the terms.
17. Enter the first billing offset days.
18. Select whether the Billing Distribution and Revenue Distribution Rules are Cost or Event.
19. Enter the indirect cost schedule.
20. Select the allowed cost schedule.
21. Indicate whether it is a clinical trial or not.
22. Select the amount type.
23. Select the boundary code.
24. Select the award type.
25. Answer any other necessary questions.
26. When done setting up this financial account, click **OK**, or **OK and Add Another**.

To create a new financial account from an existing one

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

To update an existing financial account

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

   You can update financial accounts in an award until the award enters the *Active* state. After that, you must create a Financial Account Change modification to update the account.
2. Update the information in the *Edit Financial Account* form.
3. Click **OK**

To delete a financial account

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

You can delete a financial account only if:

- The account is not referenced by allocations in the award or any of its modifications. Otherwise, you must first remove or change that reference in those allocations.
- The award has not entered the *Active* state. Otherwise, you must create a Financial Account Change modification to delete the account.

Manage Award Allocations

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

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

You can:

- Complete the default allocations.

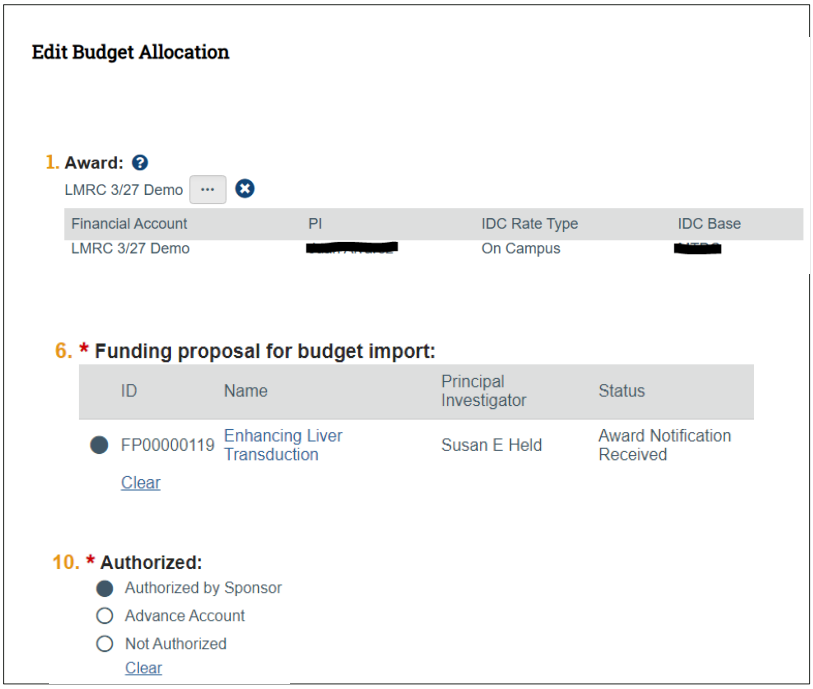
- Delete the default allocations or any other allocations you may have created.
- Create new allocations from scratch.
- Create new allocations by copying existing ones and modifying the information as needed.

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

To complete the default award allocations

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

   The *Edit Budget Allocation* form appears.



4. Select the appropriate financial account for this allocation.

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

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

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

7. Type the direct and indirect amounts awarded for this budget allocation. The total awarded amount shown on the *Budget Reconciliation* page and the workspace is the sum of all authorized allocations.
8. Type this allocation's indirect rate. This rate is used to calculate indirect costs on the *Budget Reconciliation* page.
9. Enter any other required information.
10. When done, click **OK**. The *Budget Allocations* page reflects your changes.
11. Repeat the steps for each default allocation to complete. The procedure is the same for updating any additional allocations you have created.

To delete an allocation

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

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

To create a new allocation

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

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

To create a new allocation from an existing one

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

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

Reconcile an Award Budget

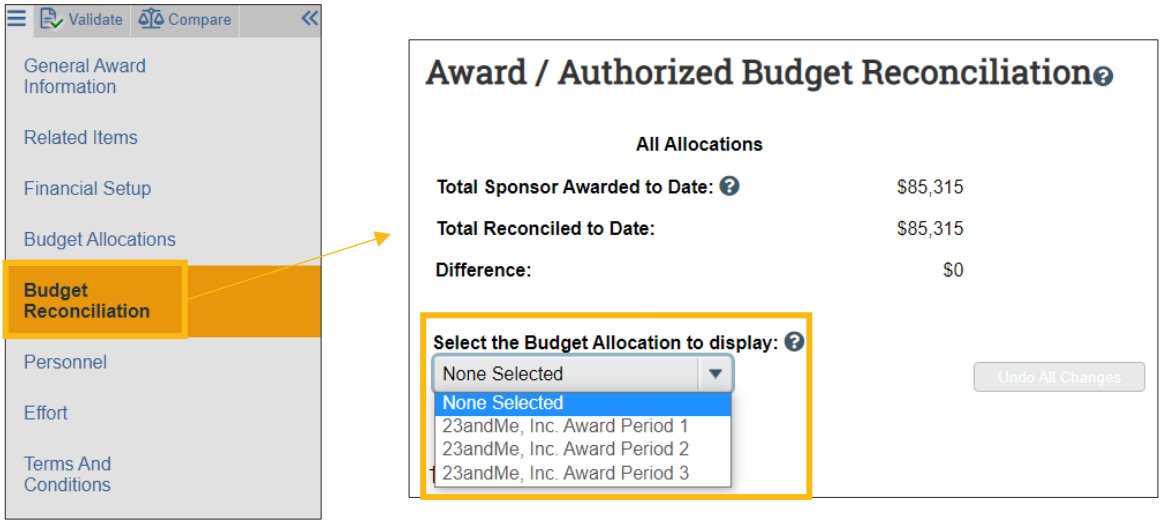
OSP can complete the budget reconciliation or contact the RA to complete it via Ancillary Review. Review the Send to Department for Budget Reconciliation section for more information.

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

To reconcile the award budget

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

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



4. If adjustments to the budget need to be made, you must manually add the authorized amounts.

Manual Entry

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

Budget Categories		Baseline	Rollup Adjustments	Adjustments	Active Allocation Total
Salary	SALARY	$40,000	$0	$0	$40,000
Fringe Benefits	FRINGE	$15,000	$0	$0	$15,000
Consultants	CONSULT	$5,000	$0	$0	$5,000
Equipment	EQUIP	$8,000	$0	$0	$8,000
Supplies	SUPPLIES	$15,000	$0	$0	$15,000
Travel	TRAVEL	$10,000	$0	$0	$10,000
Patient Care	PATIENT	$0	$0	$0	$0
Subawards (excluded from base)	SUBOVER	$0	$0	$0	$0
Subawards (included in base)	SUBUNDER	$0	$0	$0	$0
Tuition	TUITION	$0	$0	$0	$0
Other Expenses (with indirects)	OTHERIDC	$0	$0	$0	$0
Other Expenses (without indirects)	OTHERNO	$0	$0	$0	$0
Indirect Adjustment	IDCADJ	$0	$0	$0	$0
Indirect Costs/F&A	IDC	$45,105	$0	$0	$45,105
	Total	$138,105	$0	$0	$138,105

b. Like the Import option, the F&A will automatically calculate based on the F&A cost base and rate entered during award setup.

c. The budget is reconciled when the Difference is $0.

5. When you've reconciled the budget (by either option), click **Save** and either exit the SmartForm or continue to another page.

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

Send to Department for Budget Reconciliation

OSP may need to contact an RA to reconcile a budget if an award is complex or if it has a change in the total amount allocated to subawards. OSP notifies the RA through the Ancillary Review process.

Note: Advance Accounts are set up with $0. RAs will not be asked to reconcile the budget during this stage.

To request the research administrator (RA) reconcile an award budget

1. From the award workspace, click **Manage Ancillary Reviews**.
2. On the *Manage Ancillary Reviews* slide-in window, click **Add**.
3. Select the appropriate RA from the person list to complete the budget reconciliation. Begin typing the name of the person you want to add or click the ellipsis on the right to select from the list.
4. Under *Review Type*, select **Other** from the drop-down menu.
5. Under *Response Required*, select **Yes**.
6. Under *Comments,* enter the reason for the requested review. Enter any necessary supporting documentation.
7. Click **OK**.

The RA receives an email notification, and the award appears in their inbox. The award will be in a *Draft* state when sent to the RA.

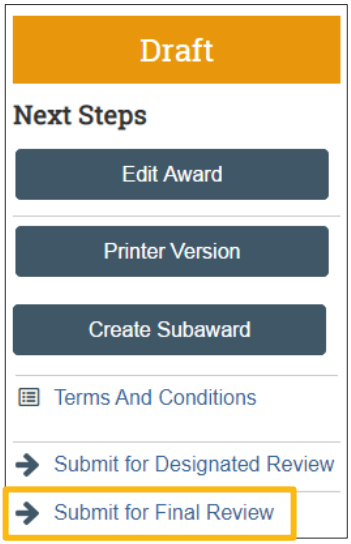
Once RA completes the reconciliation and submits the Ancillary Review, the **Reviewers** tab will reflect the new information. The award no longer appears in the RA's inbox. The assigned OSP Specialist receives an email notification that the Ancillary Review was completed, and award setup will resume.

Send for Final Review

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

To submit for final review

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



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

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

Complete a Final Review

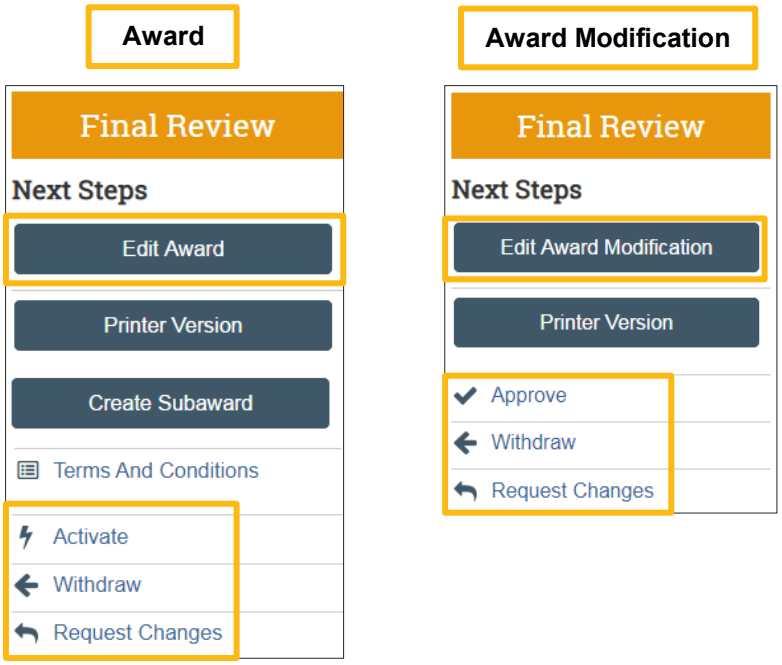
When an award or an award modification enters the *Final Review* state, as the assigned approver, you receive an e-mail notification, and the project appears in your inbox. You must review the project and do one or more of the following:

- Make corrections
- Request changes
- Withdraw the project
- Activate the award (or approve the award modification)

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

To complete a final review

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



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

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

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

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

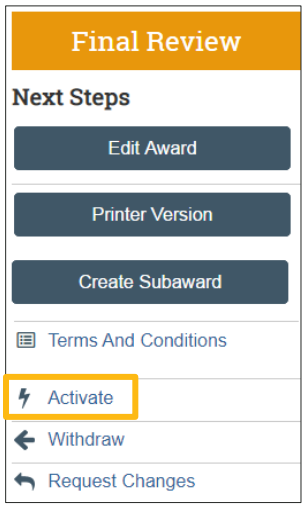
10. If you determine the project is acceptable and needs no further changes, from the workspace click **Activate** for an award, or **Approve** for an award modification. Review the Activate an Award section for more information.

11. Complete the resulting form if applicable, then click **OK**.

Activate an Award

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

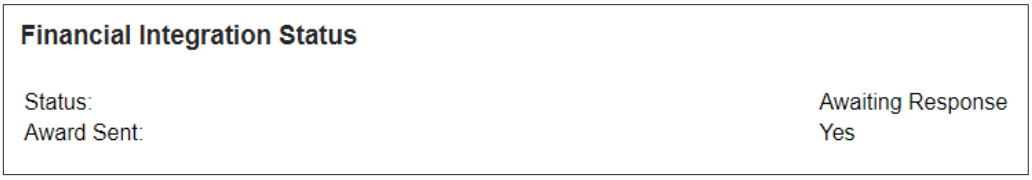
1. On the award workspace, click **Activate**.
2. On the resulting form, click **OK**.



The award transitions to the *Pending Activation* state. Review the Pending Activation section for more information.

Pending Activation

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



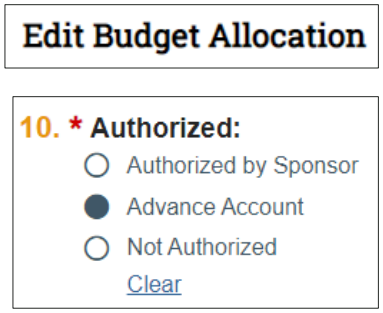
Activate an Award with an Advance Account

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

To establish an advance account

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

   Review the Manage Award Allocations section for more information.
4. On the resulting form, select **Advance Account**.



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

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

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

Additional Award Activities

Upload Award Documents

Only OSP will upload award documents.

1. On the award workspace, click **Edit Award**.
2. On the *General Award Information* page, upload award documents to the **Official Award Documents** section (Question 19).
3. Other award documents can be uploaded to the **Other Award Documents** section (Question 20) on the *General Award Information* page.
4. Click **Save** and **Exit** to return to the award workspace.

Manage Relationships

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

To manage relationships

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

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

Manage Deliverables

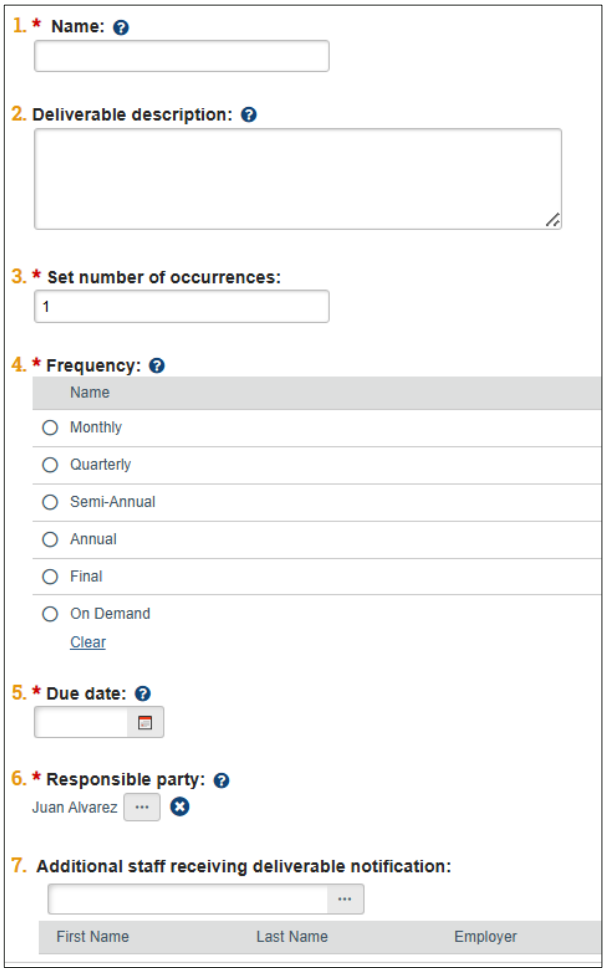
Deliverables can be created in the system by department research administrators (RAs) in award setup on the *Deliverables* page or by using the **Manage Deliverables** activity. It provides a way to track sponsor and UAB requirements for the award, such as deadlines, special reports, and progress reports. RAs can define the deliverables in the system during initial award setup but provides them to the sponsor outside the system.

RA can manage deliverables from the award throughout its lifecycle, regardless of modifications that may be created for it.

Add a Deliverable

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

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



4. Enter a descriptive name for the deliverable.

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

5. Set the number of occurrences.

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

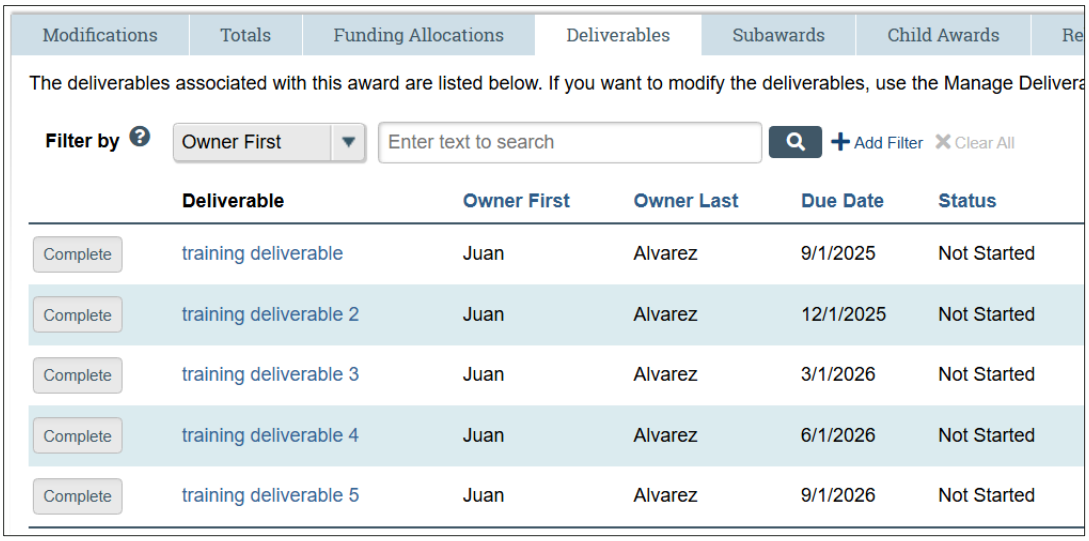
6. Select the frequency in which the deliverable must be produced.

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

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

   If there will be multiple occurrences of the deliverable, specify the date the first occurrence is due. The system calculates the due dates for the other occurrences based on this date and the frequency.
8. Reassign the Responsible Party, if needed, by clicking the ellipsis.
9. Complete any optional fields as needed.
10. Once you have completed the form, click **OK**.
11. Click a deliverable name to re-open it for further editing, if necessary, or click the **Delete** button to remove it.
12. When satisfied with the deliverables defined for the award, click **Save** or **Continue**.

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



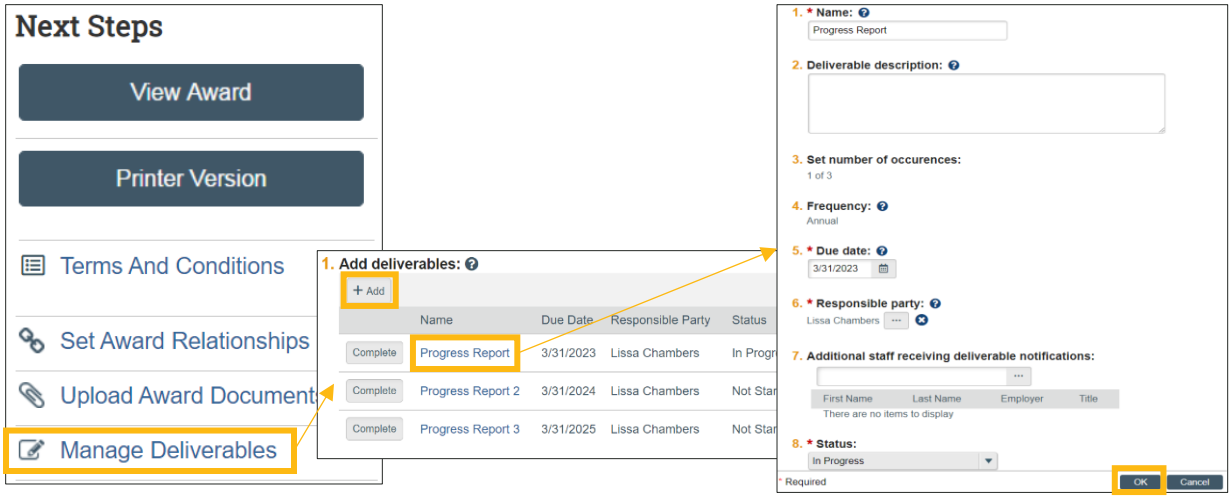
When a deliverable has been produced, the next step is to mark it as *Complete*. Review the Complete Deliverables section for more information.

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

Edit a Deliverable

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

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

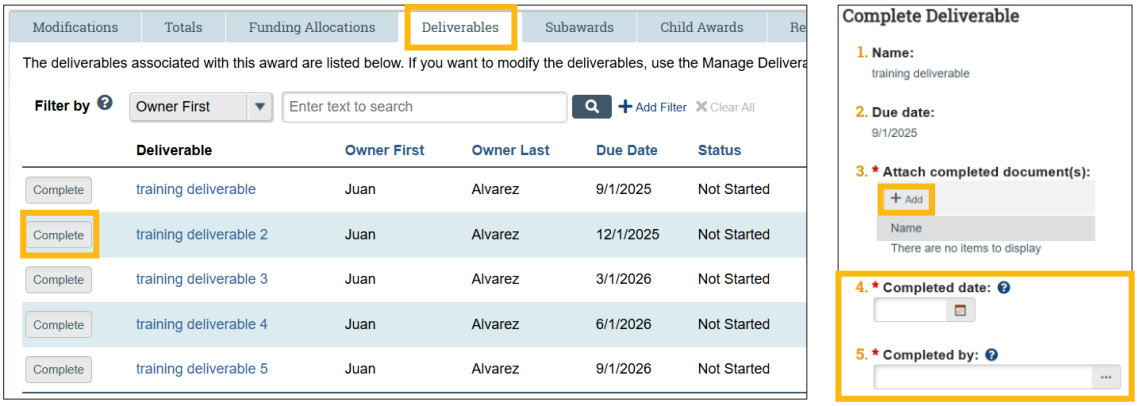


Note: The system will send reminder emails to responsible parties 90, 60, and 30 days prior to the deliverable due date if the deliverable is outstanding.

Complete a Deliverable

When a deliverable is complete, the RA, if assigned as the Responsible Party of the deliverable, can complete deliverables in the system.

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



3. Drag and drop the deliverable documents into the **Attach completed document(s)** field on the *Edit Deliverable* form or click **Add** and choose the file from your local drive.
4. Fill out the rest of the *Edit Deliverable* form and click **OK**.

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

Create an Agreement from an Award

OSP can create and access related agreements directly from an award workspace. This activity is an important step in establishing relationships between awards and agreements.

To create an Agreement from a Funding Proposal

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

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

Withdraw an Award or Award Modification

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

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

To withdraw an award or award modification

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

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

Close Out an Award

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

To close out an award

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

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

Subawards

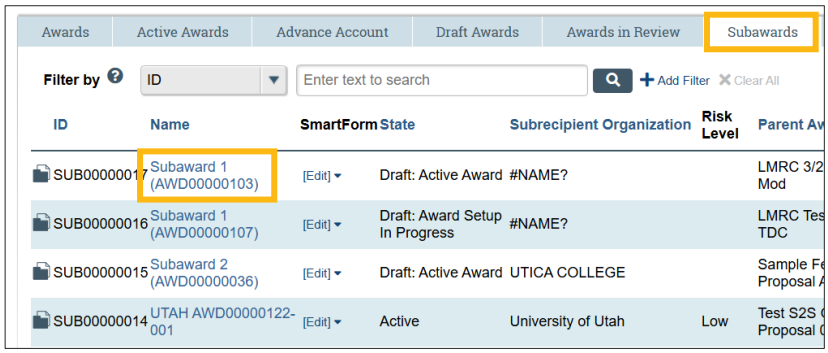
Subaward State Transitions

Current State	During This State…	To Move to the Next State…	Next State
	Initiate a subaward	Save the subaward	Draft: Award Setup In Progress
Draft: Award Setup In Progress	OSP edits subaward	Award Activated Withdraw Subaward	Draft: Active Award Withdrawn Subaward
Draft: Active Award	OSP edits subaward	Activate Withdraw Subaward	Active Withdrawn Subaward
Active	Subawards can be viewed. Users with Contract Specialist role can initiate updates	Award Changed Triggered Update Subaward	Subaward Review / Update Required
Subaward Review / Update Required	OSP makes necessary updates to subaward	Subaward Review Update Complete	Active

Complete a Subaward

Sometimes you will create a record in the system and return to complete it later. Return to the subaward to continue making updates.

1. From the award workspace, click the **Subawards** tab.
2. Click the name of the subaward you wish to edit.



3. From the subaward workspace, click **Edit Subaward**.

   Note: As you set up the subaward, bear in mind:

   - Subawards are typically set up for a single year.
   - The subaward's start date should not precede the parent award's start date.

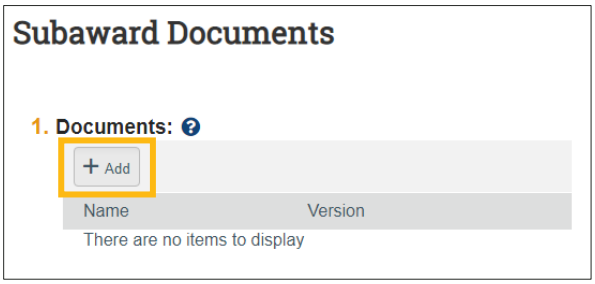
4. On the *Subaward Personnel* page, add any additional subrecipient personnel.
5. On the *Subaward Terms and Conditions* page, select any check boxes to replicate the selections that were made in the parent award. Check or clear the boxes as needed to specify any changes to

the terms and conditions. List any special terms and conditions in the *Special Terms and Conditions* section to replicate those that were made in the parent award.

6. On the *Subaward Documents* page, attach any documents associated with the subaward, such as a Statement or Scope of Work. Review the Upload Subaward Documents section for more information.
7. On the *Subaward Deliverables* page, add any subaward deliverables that must be tracked. The deliverables will appear on the **Deliverables** tab of the subaward workspace.
8. On the final page, click **Finish**.

Upload Subaward Documents

Similar to funding proposals and awards, you can upload documents that pertain to a subaward. Add documents that are associated with the subaward, such as a Statement of Work, to the *Documents* field on the *Subaward Documents* page of the subaward SmartForm. Click **Add** to upload files from your local drive.



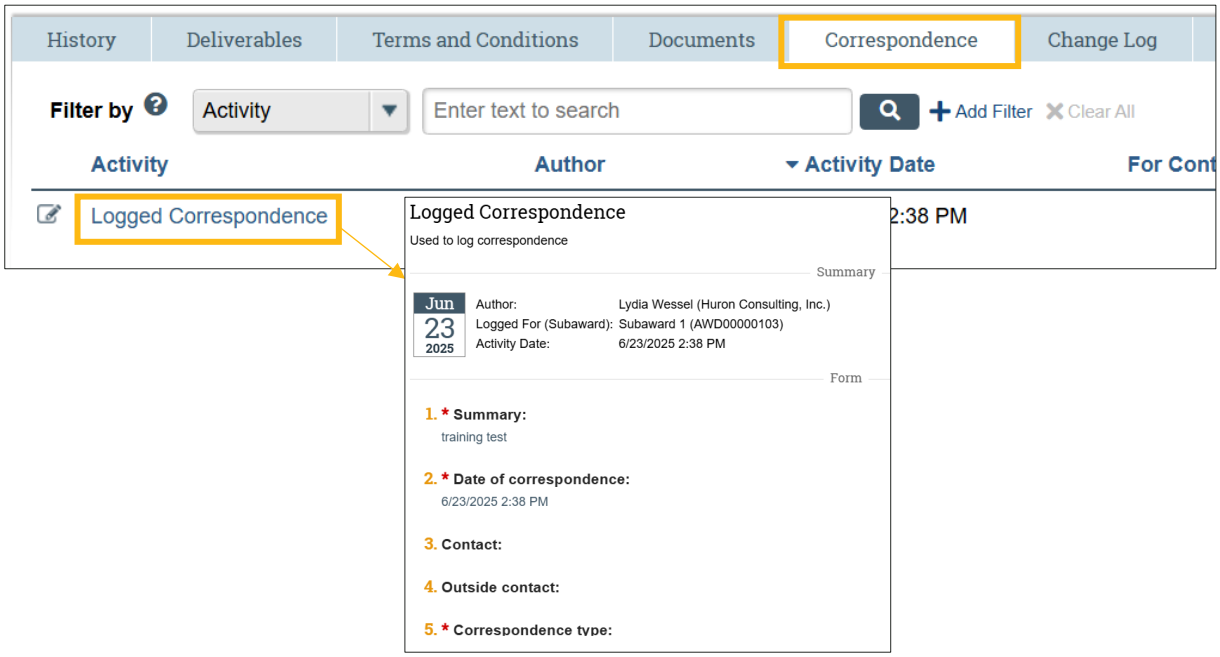
You can also add documents to a subaward using the **Upload Documents** activity on the subaward workspace.

Log Correspondence on a Subaward

OSP can log various forms of correspondence on a subaward.

1. On the subaward workspace, click **Log Correspondence**.
2. Complete the *Log Correspondence* slide-in window. Include:
    a. A summary of the correspondence
    b. The date of the correspondence
    c. The contact or outside contact
    d. The correspondence type, such as email, online meeting, and onsite visit
    e. Notes
    f. Attachments
3. Click **OK**.

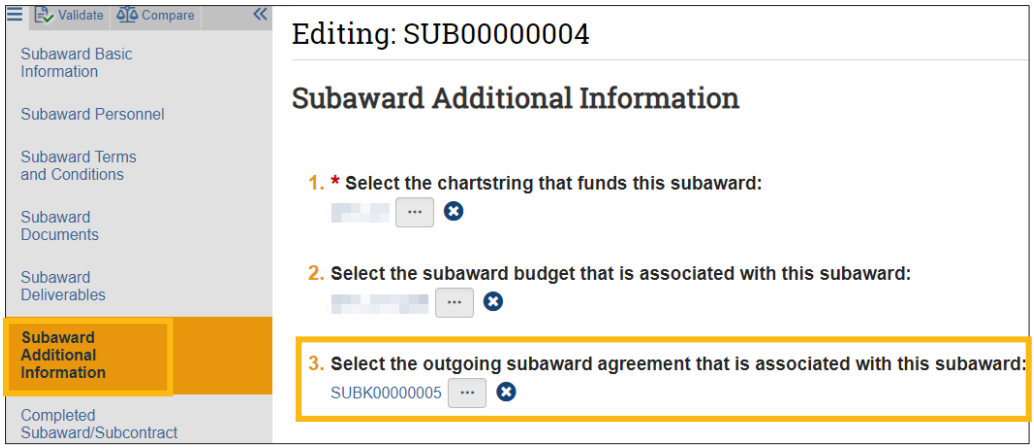
The correspondence will populate in the **Correspondence** tab of the subaward workspace. Click an activity to open the logged correspondence to view the details.



Activate a Subaward

Once the subaward agreement is fully executed, OSP activates the subaward record.

1. From the agreement workspace, click the **Related Projects** tab and click on the award to go to the award workspace.
2. From the award workspace, click on the **Subawards** tab.
3. Click on the subaward name to go to the subaward workspace.
4. From the subaward workspace, click **Edit Subaward** to open the subaward SmartForm.
5. Using the Left Navigation panel, click on the *Subaward Additional Information* page.
6. Under question 3, click the ellipsis and select the outgoing subaward agreement that was created.



7. On the *Subaward Additional Information* page, verify the correct agreement has been linked.
8. Click **OK** to link the outgoing subaward agreement to the subaward record.
9. Click **Save** and **Exit** to return to the subaward workspace.

10. From the subaward workspace, click **Activate** to activate the subaward.

The subaward record can only be activated after the parent award is in an *Active* or *Advance Account* state. Once activated, the subaward record will be in an *Active* state.

Manage Award Modifications that Affect Subawards

Some award modifications may affect subaward records, including no-cost extensions, rebudgets, terms and conditions changes, the inclusion of a new subaward on an active award, and subaward personnel changes on active subawards. The RA will submit the appropriate award modification request to initiate the process. If the award modification needed is due to a continuation, no award modification request is needed. OSP will start the process automatically.

To manage award modifications that affect subawards

1. Once an award modification request is approved, the OSP Awards Management will create an award modification. On the award workspace, click **Create Award Modification**.

   Note: If the award modification needed is due to a continuation, no award modification request is needed. OSP will start the process automatically.

2. On the initial page of award modification, select **Yes** to *Will this modification affect any Subaward*?
3. Complete the pages of the award modification. On the last page of the modification, follow the instructions, and then click **Save** and **Finish**.
4. On the award modification workspace, click **Submit for Final Review**.
5. Once the Award Approver reviews and approves the award modification, it transitions to an *Approved* state.

   Note: This state transition, paired with the selection of **Yes** on the initial award modification page as described in Step 2, automatically executes the **Award Change Triggered** activity, which moves all *Active* subawards to the *Subaward Review/Update Required* state.

6. The subawards reappear in the *Active Awards with Draft Subawards (SUB)* report.
7. OSP will see the subawards in the *Subaward Review/Update Required* state on the report, and then they will create, route, and sign an amendment to the subaward agreement.
8. Once the amendment to the subaward agreement is executed and activated in Agreements, OSP enters the subaward record to make the necessary updates and marks it as complete.
   a. Enter the subaward workspace that requires updates.
   b. Click **Edit Subaward**.
   c. Make the appropriate changes to the subaward SmartForm pages.
   d. On the last page, click **Save** and **Finish**.
   e. On the subaward workspace, click **Subaward Review Update Complete**.

The subaward returns to an *Active* state.

Requesting, Creating, and Submitting Award Modifications

This section covers requesting, creation, review, and management of various types of award modifications.

Requesting an Award Modification

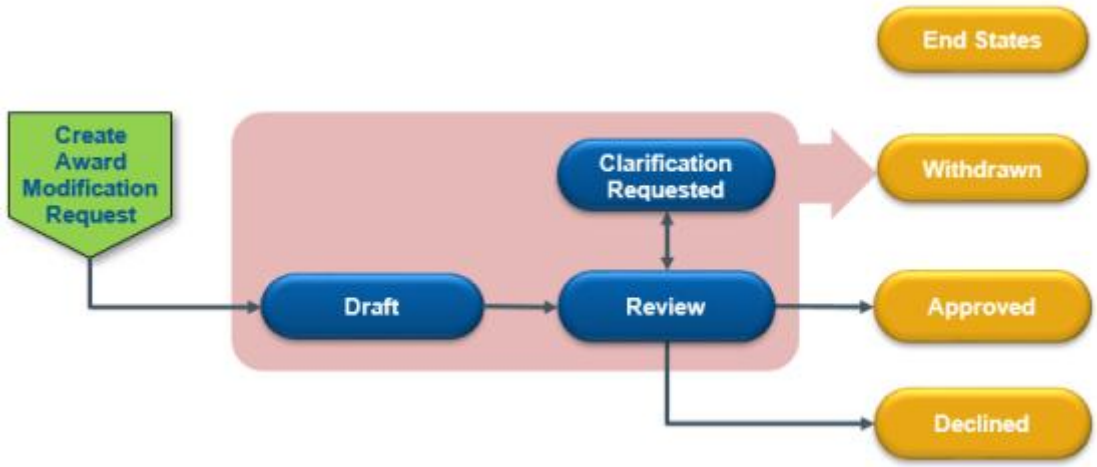
Award Modification Request Workflow

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

The RA creates, edits, and submits the Award Modification Request to OSP for review. OSP can return the request to the RA for additional edits, or they can approve or decline the request. RAs can withdraw the request in the system if it is no longer needed. OSP will indicate if the request was sent to the sponsor if it needs sponsor approval. After the request is approved, OSP will move forward with creating the appropriate award modification.

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

Award Modification Request Workflow Map



Award Modification Request State Transitions

Current State	During This State…	To Move to the Next State…	Next State
	Award Mod Request is created	Create and save Award Mod Request	Draft
Draft	Award Mod Request can be edited by RA	Submit to Specialist Withdraw	Review Withdrawn

Current State	During This State…	To Move to the Next State…	Next State
Review	OSP reviews the Award Mod Request and can approve, decline, or request changes. The RA can withdraw it.	Approve Decline Request Changes Withdraw	Approved Declined Clarification Requested Withdrawn
Clarification Requested	RA makes the necessary edits to the Award Mod Request	Submit Clarifications Withdraw	Review Withdrawn

Review an Award Modification Request

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

To review an award modification request

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

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

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

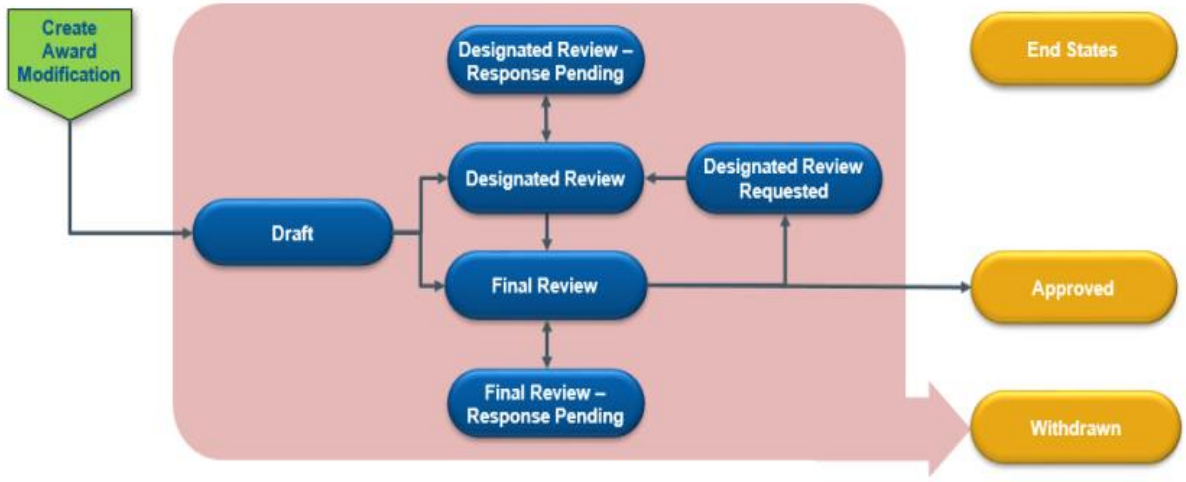
     The award modification request enters the *Approved* state. The AMS will then initiate and complete the award modification. Review the Creating and Submitting Award Modifications section for more information.

Creating and Submitting Award Modifications

Award Modification Workflow

An OSP Specialist creates an award modification when an RA submits an award modification request to change an active award and/or a sponsor sends OSP an authorization for a change. The system supports a wide variety of modification types, such as supplements, re-budgets, and demographic changes. The award modification goes through the same review cycle as an award, as described in the Award Workflow section. When the Award Approver performing the final review approves the modification, the system

updates the award with the specified changes. Award modification requests have their own review cycle, as described in the Award Modification Request Workflow section.



Award Modification State Transitions

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

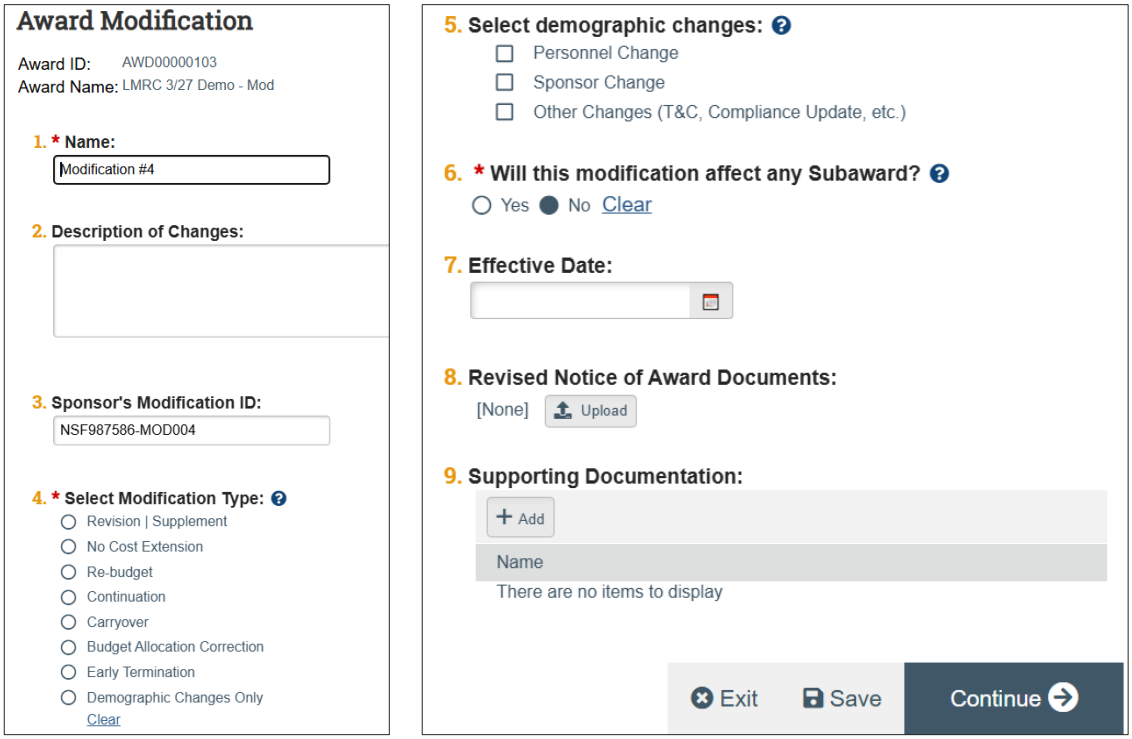
Current State	During This State…	To Move to the Next State…	Next State
	Award Mod is created	Create and save Award Mod	Draft
Draft	Award Mod can be edited by OSP Specialist	Submit for Final Review Withdraw	Final Review Withdrawn
Final Review	OSP Award Approver reviews the Award Mod and can approve, request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

Create and Submit an Award Modification

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

To create an award modification

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



4. Select the modification type.

   Note: Only modification types *not already in process* are shown. You must complete one modification before starting another. The system will not let you select the same type of modification while others are in process.

5. Select a demographic change, if needed.

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

6. Select whether the modification will affect any subawards. If you select **Yes**, when the modification gets approved, all subawards transition to the *Subaward Review/Update Required* state and must be approved by a member of OSP with the Contract Specialist role before they can be activated.
7. Enter any optional information needed.
8. When you've completed this page, click **Continue**.
9. Continue through the other modification pages, specifying the needed changes to the award.

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

10. When satisfied with the modification, click **Finish** on the last page.
11. Submit the modification for review by clicking **Submit for Final Review** on the award modification workspace.

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

Types of Award Modifications

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

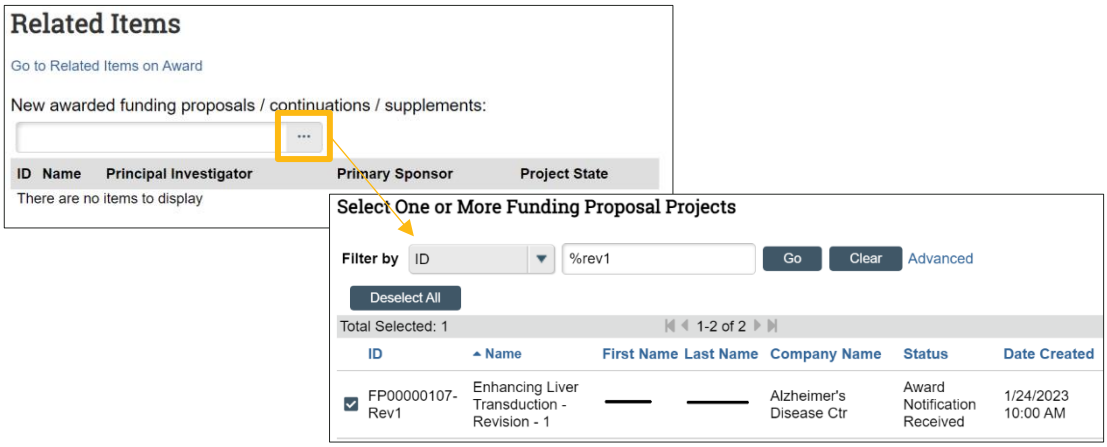
Revision | Supplement

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

To add supplemental funding

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

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



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

      This will allow you to import that proposal's budget figures as a baseline during budget reconciliation.
   e. Type or select the Start date and End date to specify the supplement period.
   f. Select the appropriate authorization status. To be able to reconcile the budget, select **Authorized** or **Advance Account**.
   g. Select whether your institution will cost share the amount of this allocation.

      Note: Selecting **Yes** here adds a column for entering cost share amounts on the *Budget Reconciliation* page.
   h. Type the direct and indirect amounts, and the indirect rate for this allocation.

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

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

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

No-Cost Extension (NCE)

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

To set up a no-cost extension

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

   Note: For the [Add] link to be available, the allocation's authorization selection in the parent award must be **Authorized by Sponsor**.
6. On the *Add Funding Action* form, enter a meaningful name for the extension.
7. Note the current end date for the last allocation and specify the new end date.
8. Update any of the other information in the form as needed.
9. When done, click **OK**.
10. On the *Budget Allocations* page, click **Continue**.
11. On the *Award Date Changes* page, enter the new award end date, and click **Continue**.
12. Complete the remaining pages of the modification.

    Note: Since demographic changes were selected when the award modification was created, additional pages will be added to make changes to financial accounts (including updated activity dates), personnel, and effort.
13. On the last page, follow the instructions, and then click **Finish**.
14. On the award modification workspace, click **Submit for Final Review**.

Re-Budget

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

To re-budget an authorized allocation

1. Create a modification from the award for which rebudgeting is needed.

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



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

   Note: Because a re-budget merely transfers funds between budget categories, the authorized direct and indirect amounts cannot be edited.
7. When done, click **OK**.

   The *Budget Allocation* page displays a new entry for the re-budget allocation under Edit updated allocations. To make changes, click the **Update** button next to it.
8. Complete the budget reconciliation updates or contact the RA to reconcile the budget via Ancillary Review if necessary. Review the Send to Department for Reconciliation or Reconcile an Award Budget sections for more information.
9. Complete any other pages in the modification.
10. On the last page, follow the instructions, and then click **Finish**.
11. On the award modification workspace, click **Submit for Final Review**.

Continuation

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

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

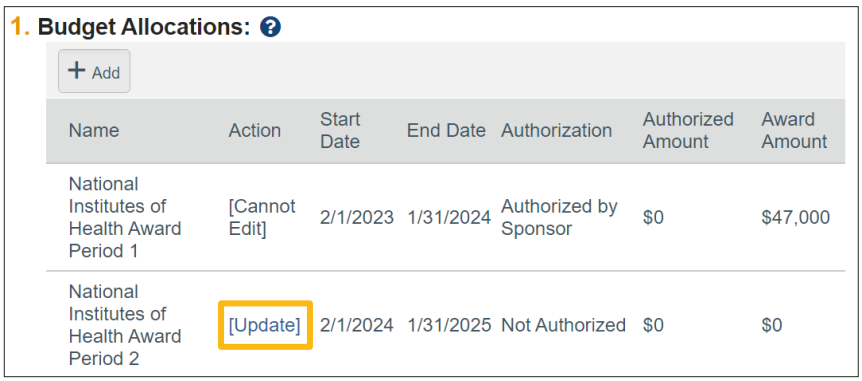
To add continuation funding

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

   Notes:

   - If there are any subawards on the award, select **Yes** to *Will this modification affect any Subaward?*
   - If effort needs to be added, changed, or reviewed, select the demographic change type **Personnel Change** when creating the award modification.
   - If the award end date or financial account/project activity end date need to be updated, select the demographic change type **Financial Account Change**.

3. Click **Continue** and complete the other modification pages.
4. On the *Budget Allocations* page, click **Update** for the next budget period allocation. For Continuation modifications, only unauthorized allocations are available to update.



5. Complete the *Add Funding Action* form:
   a. Select the appropriate financial account.
   b. Update the direct sponsor award ID.
   c. Select **Authorized by Sponsor** or **Advance Account** as appropriate.
   d. Indicate whether there will be cost sharing for this allocation.
   e. Type incremental direct and indirect amounts for this allocation as needed (positive or negative) to bring the authorized totals to the released or anticipated amounts.
   f. Type a new indirect rate, if applicable.
   g. When finished, click **OK**.
6. Complete the budget reconciliation updates or contact the RA to reconcile the budget via Ancillary Review if necessary. Review the Send to Department for Reconciliation or Reconcile an Award Budget sections for more information.
7. Complete any other modification pages.
8. On the last page of the modification, follow the instructions, and then click **Finish**.
9. On the award modification workspace, click **Submit for Final Review**.

Carryover

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

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

Modification 1: Continuation

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

To authorize spending for the next budget period

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

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

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

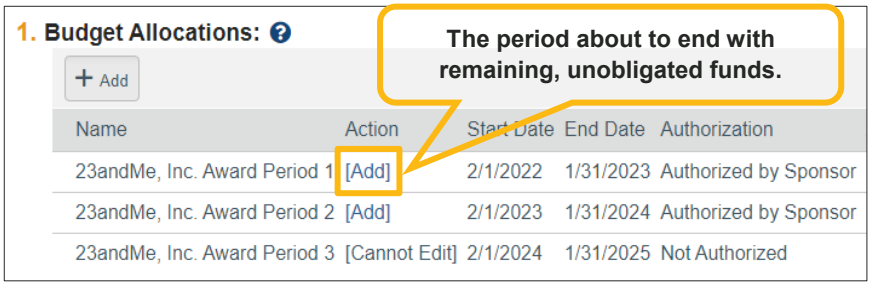
If the award has *restricted* carryover, continue with the Modification 2 and 3 steps below.

Modification 2: Carryover (Pre-authorization)

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

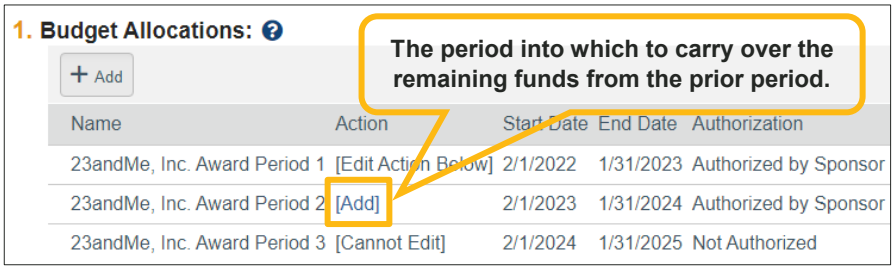
To carry over unobligated funds to the next budget period

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

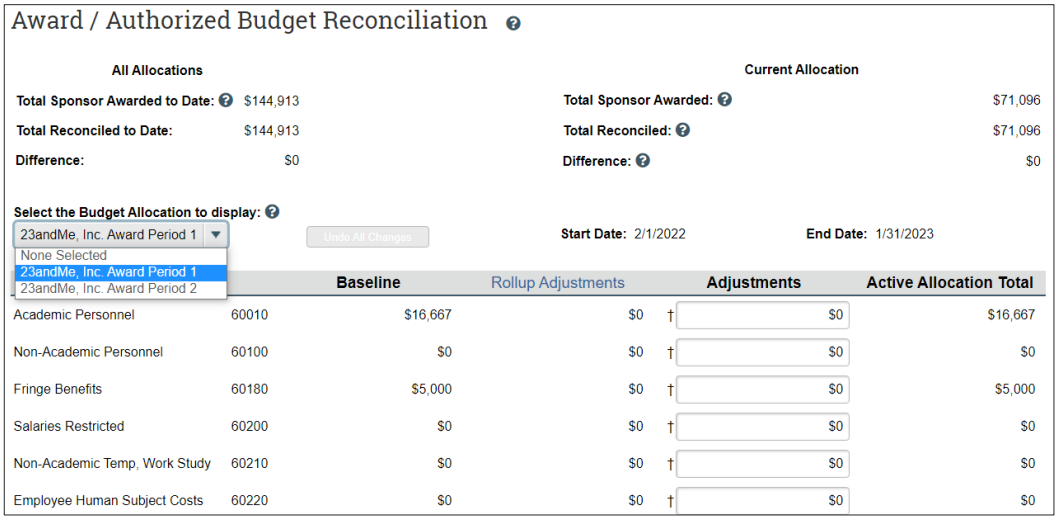


3. On the *Funding Action* form for this allocation, click **OK** without entering any data. Do not change the sponsor awarded amounts.

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



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

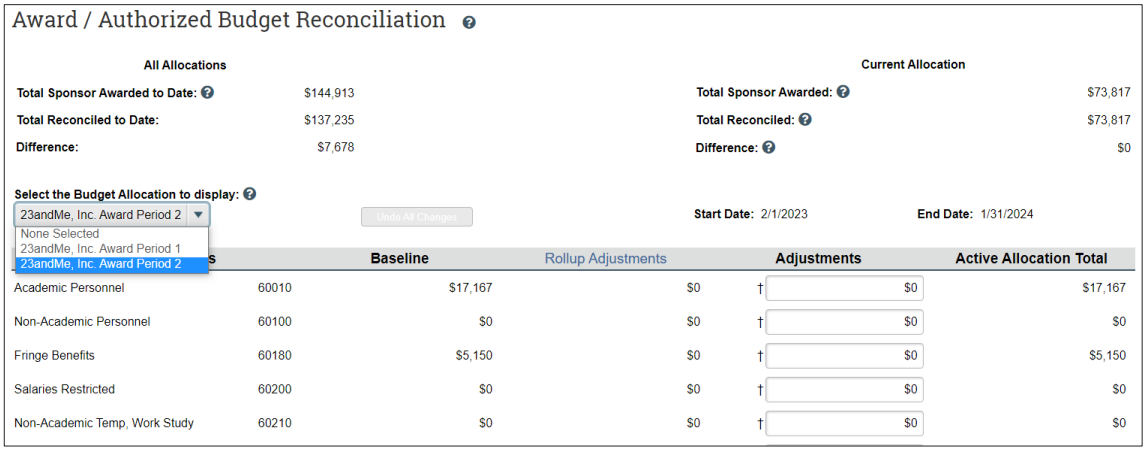


- Reduce the total budget for this period by the carryover amount. Enter negative adjustments to budget categories until the Total Reconciled figure is less than the Total Sponsor Awarded figure by the carryover amount. This will be reflected as a positive Difference value in the header.

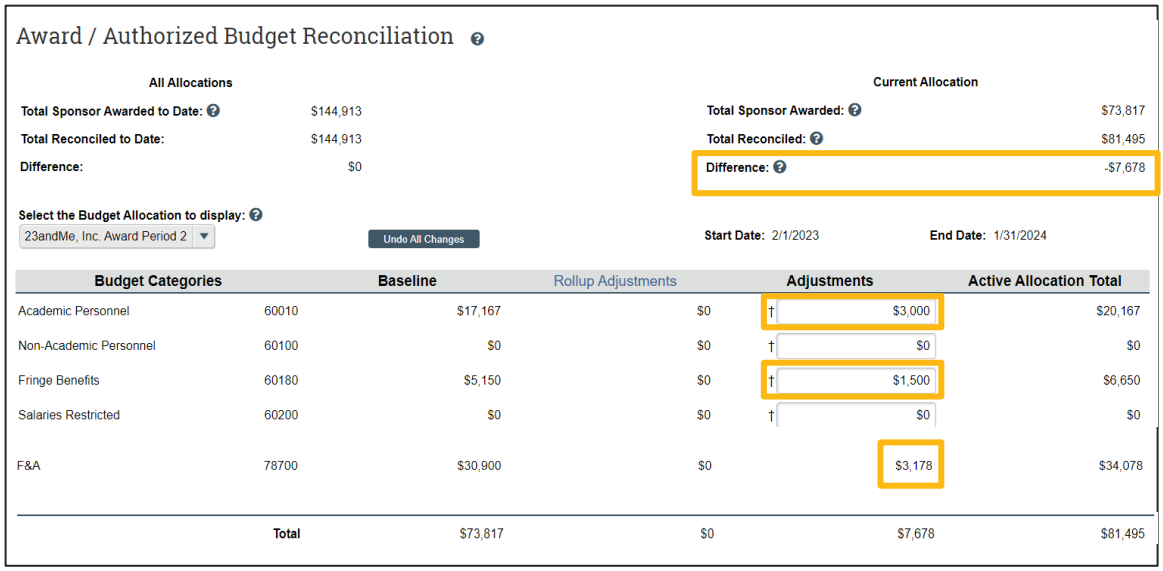


Note: Your manually entered adjustments may not appear to add up to the Total Reconciled amount, but this is because the system automatically calculates and adds indirect costs for eligible categories.

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



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



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

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

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

Modification 3: Re-Budget (Post-authorization)

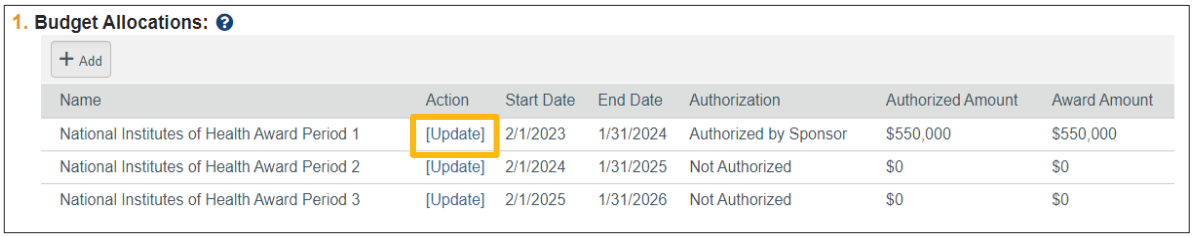
Initiate a **Re-Budget** modification type to move carryover funds in the newly authorized period from the restricted expense categories into the appropriate ones based on what was approved by the sponsor. Review the Re-Budget section for more information.

Budget Allocation Correction

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

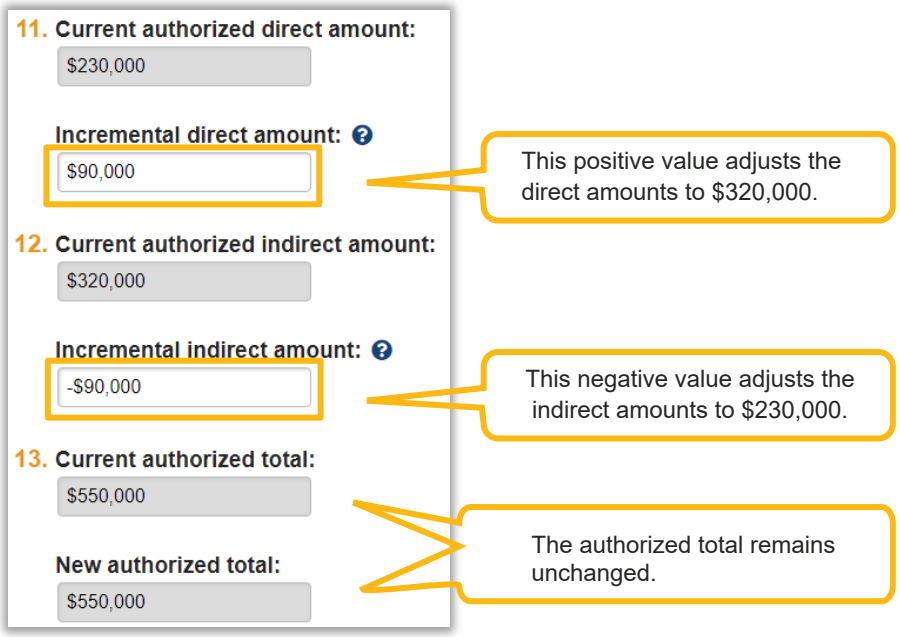
To update a current budget allocation:

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



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

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



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

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

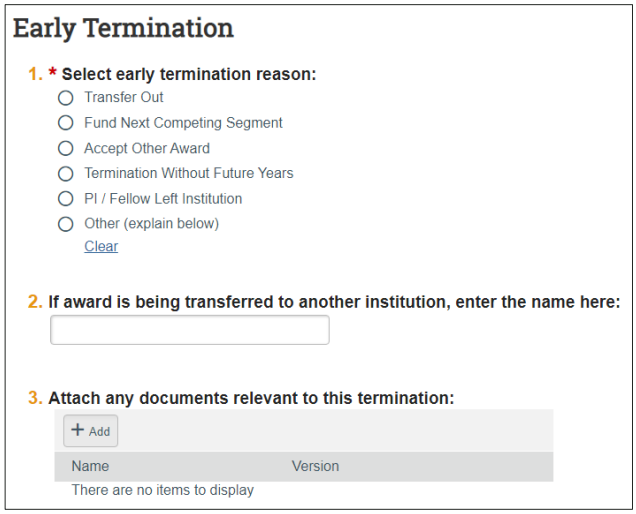
Early Termination

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

Before an Early Termination modification is submitted, the other components of the award, such as financial account/project activity end dates, allocation end dates and amounts, and effort, must be updated.

To terminate an award early

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



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

Demographic Changes Only

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

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

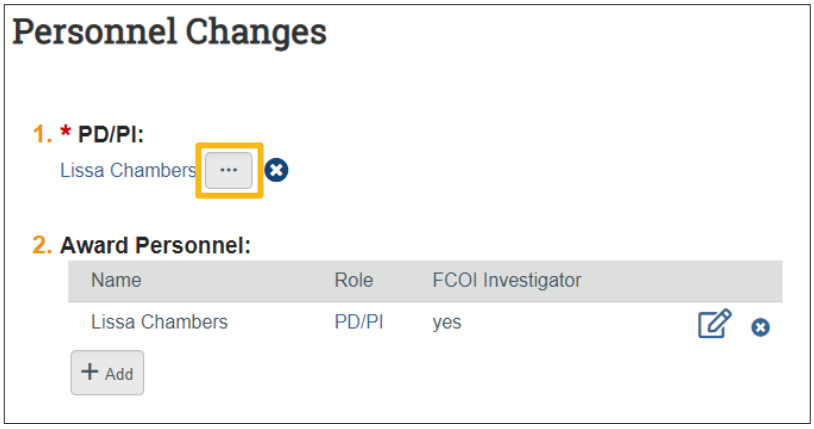
  Note: Financial account changes are often included with other modification types in order to change the project or activity end dates.

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

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

To update personnel

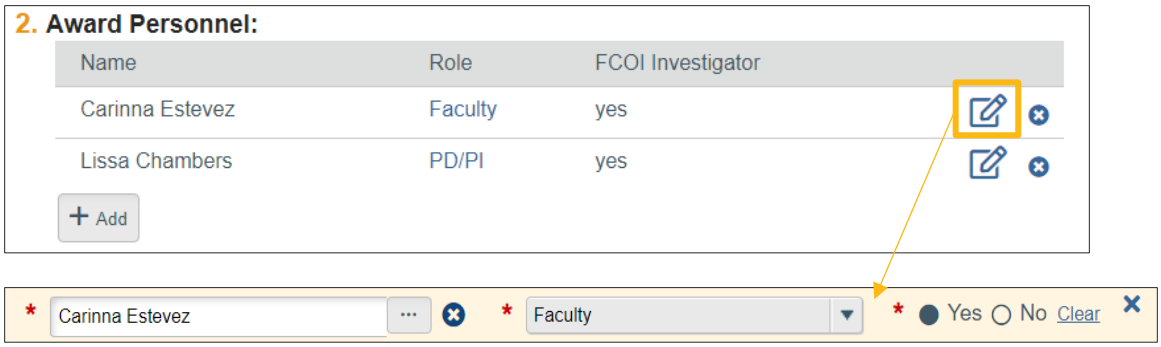
1. Create a modification from the award in which personnel information must be updated.
2. On the first page of the modification, select the modification type, **Demographic Changes Only**.
3. Under *Select demographic changes*, select **Personnel Change**.
4. Complete the rest of the page as needed,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



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

   Note: To update the Administrative Contact, use the **Manage Access** activity on the parent award.

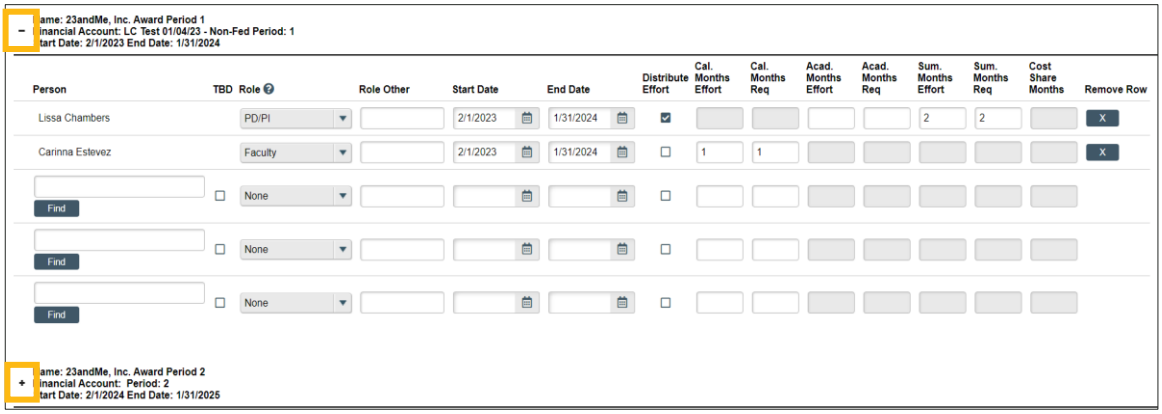
6. To update other award personnel:
   a. Click the **Edit** icon at the right of the person's entry.



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

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

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



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

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

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

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

Managing Ancillary Reviews

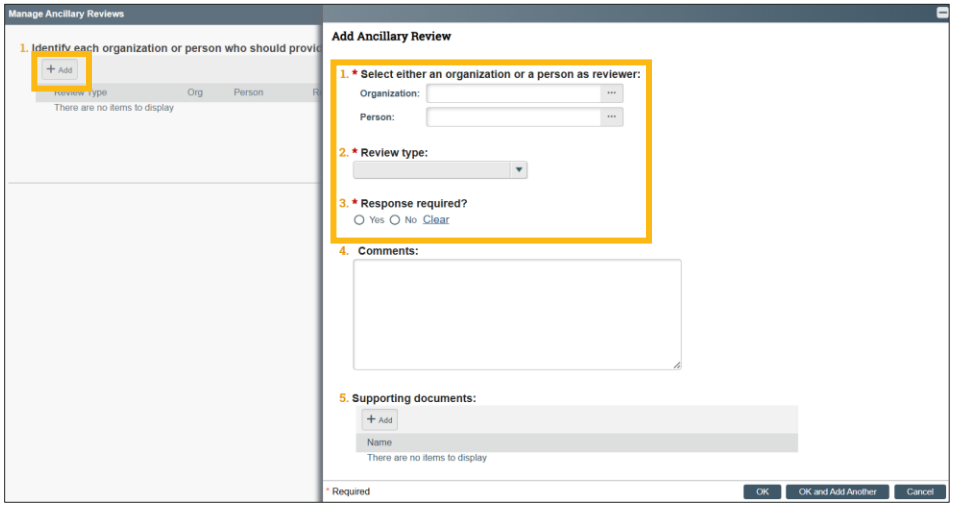
Ancillary reviews are optional reviews that you can choose to include on a per-project basis. Reviewers can be any specific person or organization in the system. Ancillary reviews take place concurrently with the normal review workflows and can be added to funding proposals, awards, award modifications, and agreements. In certain circumstances, such as institutional cost sharing, PI eligibility, and requesting an F&A waiver, an ancillary review must be included.

Add Ancillary Reviewers

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

To add ancillary reviewers

1. From your inbox or one of the tabs on the appropriate Grants page, click the name of the project for which to assign an ancillary reviewer.
2. In the project workspace, click **Manage Ancillary Reviews**.
3. In the *Manage Ancillary Reviews* form, click **Add**. A *Manage Ancillary Reviews* slide-in window appears.
4. On the *Add Ancillary Review* form, select an organization or person to complete the review. Begin typing the name of the organization or person you want to add as a reviewer. Alternatively, you can click the ellipses on the right to select an organization or person from the list.



5. Click the **Review Type** drop-down arrow and select the appropriate Ancillary Review Type.
6. Select **Yes** or **No** to indicate whether a response is required for this ancillary review. In Grants, any workflow blocks resulting from a **Yes** response to this question will depend on whether you're adding an ancillary review to a funding proposal, award, or award modification:
    - *Funding Proposals* – All required ancillary reviews on a funding proposal must be completed prior to submission to a sponsor. If ancillary reviews that are marked as required are outstanding, the workflow will stop at the *Pending Submission to Sponsor* state, and the funding proposal cannot be submitted for sponsor review.
    - *Awards* and *Award Modifications* – All required ancillary reviews must be completed, or the workflow will stop at the *Draft* state, and it cannot move forward for final review.

7. Add comments or supporting documents for the reviewer as necessary. Some ancillary review types have specific required documentation that needs to be provided, so make sure you're informed on any related requirements based on the review type selected.
8. Click **OK** or **OK and Add Another** to add multiple ancillary reviews. For example, if there are multiple departments committing cost share, you will need to add an ancillary review for each department.
9. When finished adding reviewers, click **OK** on the *Manage Ancillary Reviewers* form to save your changes and close the slide-in window.
10. The added ancillary reviews will appear in the table on the **Manage Ancillary Review** activity window. Click **OK** to save and return to the project workspace.

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

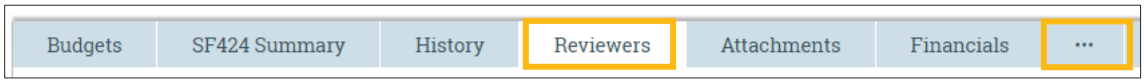
Check the Progress of an Ancillary Review

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

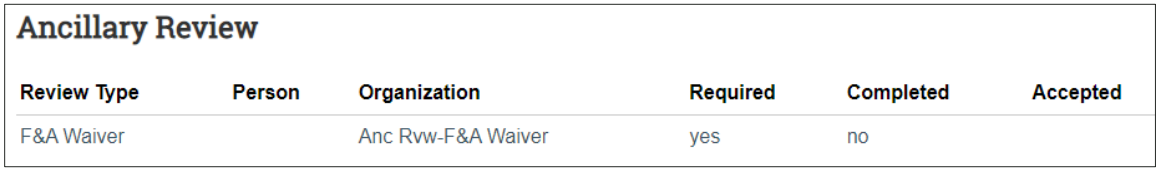
To check the progress of an ancillary review

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

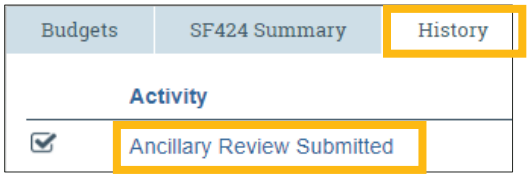
   Note: If the **Reviewers** tab does not display, click the ellipsis to show additional tabs.



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



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



Submit an Ancillary Review

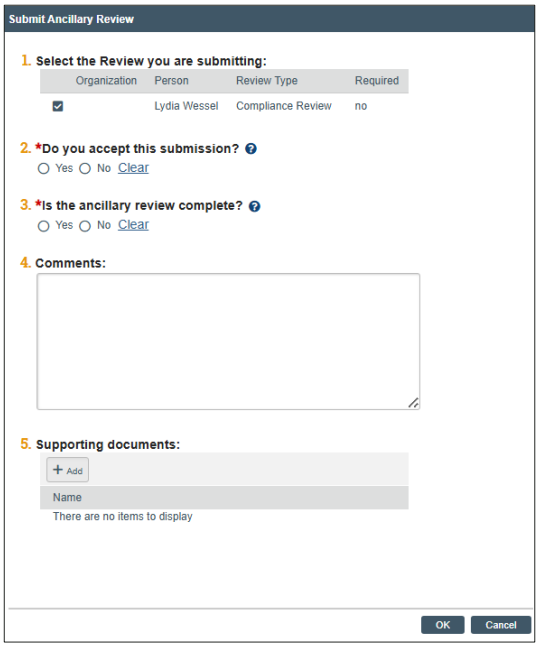
When ancillary reviews are added, the assigned ancillary reviewers will receive an email notification with a link that will take them to the related item's workspace. The project appears in your inbox, and the **Submit Ancillary Review** activity becomes available in the project workspace.

Note: Any workflow blocks resulting from a required ancillary review will depend on whether you're adding an ancillary review to a funding proposal, award, or award modification:

- *Funding Proposals* – All required ancillary reviews on a funding proposal must be completed prior to submission to a sponsor. If ancillary reviews that are marked as required are outstanding, the workflow will stop at the *Pending Submission to Sponsor* state, and the funding proposal cannot be submitted for sponsor review.
- *Awards* and *Award Modifications* – All required ancillary reviews must be completed, or the workflow will stop at the *Draft* state, and it cannot move forward for final review.

To submit an ancillary review

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



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

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

- To save your other responses but continue the review later, click **No**. The **Submit Ancillary Review** activity will continue to appear on the workspace.
- **Example:** If you did not accept the submission and you have finished your review, then select **Yes** to indicate your review is complete but you did not approve.

  If you have not finished your review and require additional information to complete it, select **No** and add comments to identify what is needed for you to complete the ancillary review.

6. Add any comments and supporting documents if necessary.
7. When satisfied with your selections, click **OK**.

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

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

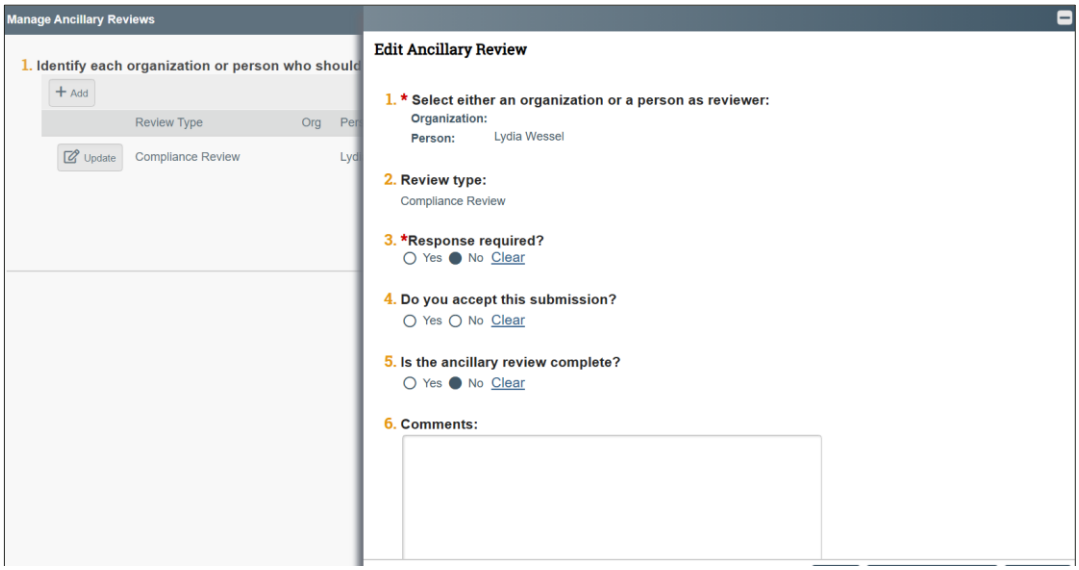
Modify an Ancillary Review

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

To modify an ancillary review

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

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



Generating Reports

Find and Run Reports

To find and run a report:

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

Click Actions in the top right corner to change parameters or export the report to a CSV file.

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

Appendix

Activities

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

The column headers display the following information:

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

Funding Proposal Activities

Activity Name	Completed Name	Valid States	Who can execute?
Add Attachments	Added Attachments	All states	• Specialist Finance/Grant • Study Staff
Add Comment	Comments Added	All states	• Department Administrator • Specialist Finance/Grant • Study Staff
Add Private Comment for PI	Private Comment to PI Added	Department Review	• Department Reviewer/Chair
Approve	Approved by Department	Department Review	• Department Reviewer/Chair
Assign Specialist	Ownership Assigned	All states	• Specialist Finance/Grant
Award Letter Received	Award Letter Received	Pending Sponsor Review Pending Sponsor Review Award Anticipated Proposal Status Confirmation	• Specialist Finance/Grant
Certify	Certified	Award Notification Received Department Review Department Review: Response Pending from PI Draft	• PI • Assigned Specialist

Activity Name	Completed Name	Valid States	Who can execute?
		Pending Sponsor Review Pending Sponsor Review Award Anticipated Pending Submission to Sponsor Specialist Review Specialist Review: Pending Changes by PI OSP Status Confirmation	
Copy	Copied	All states	• Specialist Finance/Grant • Study Staff
Create Additional Budget	Budget Created	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	• Study Staff
Create Agreement	Agreement Requested	All states	• Department Reviewer/Chair • PI • Specialist Finance/Grant • Study Staff
Create Resubmission	Resubmission Created	Not Funded	• Specialist Finance/Grant • Study Staff with edit rights
Create Revision	Revision Created	Awarded	• Specialist Finance/Grant • Study Staff
Create-Update SF424	SF424 Created or Updated	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	• Specialist Finance/Grant • Study Staff with edit rights
Final Review	Final Review	Specialist Review	• Specialist Finance/Grant
Funding Anticipated	Funding Anticipated	Proposal Status Confirmation Spending Sponsor Review	• Specialist Finance/Grant
Manage Access	Updated Access	All states	• Administrative Contact • PI • Specialist Finance/Grant • Study Staff

Activity Name	Completed Name	Valid States	Who can execute?
Manage Ancillary Reviews	Ancillary Reviews Updated	Department Review Department Review: Response Pending from PI Draft Pending Sponsor Review Pending Submission to Sponsor Specialist Review Specialist Review: Pending Changes by PI	• Registered users with edit rights • Specialist Finance/Grant
Manage Relationships	Relationships Managed	All states	• Department Reviewer/Chair • PI • Specialist Finance/Grant • Study Staff
Manage Tags	Tags Managed	All states	• Registered users with read rights
Reinstate Proposal	Reinstate Proposal	Not Funded	• Specialist Finance/Grant
Reply to Advance Account Request	Reply To Advance Account Request	Approved Award Notification Received Awarded Pending Sponsor Review Pending Sponsor Review Award Anticipated	• Assigned Specialist
Request Advance Account	Requested Advance Account	Approved Award Notification Received Awarded Pending Sponsor Review Pending Sponsor Review Award Anticipated	• Administrative Contact • Registered users with edit rights
Request Changes	Changes Requested By Department	Department Review	• Department Review/Chair • Specialist Finance/Grant
Return to Pending Sponsor Review	Return to Pending Sponsor Review	Proposal Status Confirmation	• Specialist Finance/Grant
Return To Specialist Review	Return To Specialist Review	Pending Submission to Sponsor	• Specialist Finance/Grant

Activity Name	Completed Name	Valid States	Who can execute?
Send Email	Email Sent	All states	• Registered Users
Send Grants Status Update	Send Grants Status Update	Pending Sponsor Review	• Administrative Contact • Contract Specialist • PI
Specialist Requests Changes	Changes Requested By Specialist	Specialist Review	• Specialist Finance/Grant
Submit Ancillary Review	Ancillary Review Submitted	All states	• Registered users selected to complete the ancillary review
Submit Changes To Department Reviewer	Submit Changes To Department Reviewer	Department Review: Response Pending from PI	• Study Staff
Submit Changes To Specialist	Submit Changes To Specialist	Specialist Review: Pending Changes by PI	• Study Staff
Submit for Department Review	Submitted for Department Review	Draft Specialist Review: Pending Changes by PI	• Study Staff
Submit To Federal Sponsor	Submitted To Federal Sponsor	Pending Submission to Sponsor	• Specialist Finance/Grant
Submit To Non-Grants Gov Sponsor	Submitted to Non-grants.gov Sponsor	Pending Submission to Sponsor	• Specialist Finance/Grant
Submit to Sponsor via Proposal Team	Submit to Sponsor via Proposal Team	Pending Submission to Sponsor	• Specialist Finance/Grant
Update Research Plan	Research Plan Updated	Department Review Pending Submission to Sponsor Specialist Review	• Study Staff with edit rights
Update SF424 Research Plan	Update SF424 Research Plan	Department Review Department Review: Response Pending from PI Specialist Review	• Study Staff
Withdraw Proposal	Proposal Withdrawn	Department Review: Response Pending from PI Draft Specialist Review: Pending Changes by PI	• Assigned Specialist • PI • Study Staff with edit rights
Withdraw Submitted or Not Funded Proposal	Withdraw Submitted or Not Funded Proposal	Pending Sponsor Review	• Specialist Finance/Grant

Activity Name	Completed Name	Valid States	Who can execute?
		Pending Sponsor Review Award Anticipated Proposal Status Confirmation	

Budget Activities

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

SF424 Activities

Activity Name	Completed Name	Valid States	Who can execute?
Assign Editors and Readers	Editors and Readers Assigned	All states	• SF424 Administrator • SF424 Grants Specialist • SF424 Owner
Assign Submitters	Submitters Assigned	All states	• SF424 Administrator • SF424 Grants Specialist
Bypass Validations	Validations Bypassed	Pre-Submission	• SF424 Administrator • SF424 Grants Specialist
Generate PDF Version	Generated PDF Version	Download Preparation Federal Funding Agency Tracking Number Assigned Final Internal Processing at GrantsGov Pre-Submission Processing by GrantsGov Queued by GrantsGov Received By Federal Funding Agency Received by GrantsGov Receiving by GrantsGov Rejected With Errors Submission Failed	• SF424 Administrator • SF424 Editors and Owner • SF424 Grants Specialist • SF424 Submitters

Activity Name	Completed Name	Valid States	Who can execute?
		Submitted Awaiting Response from GrantsGov Submitted To GrantsGov Valid for Submission Validated by GrantsGov	
Get Status Detail	Application Status Detail Retrieved	Download Preparation Federal Funding Agency Tracking Number Assigned Internal Processing at GrantsGov Processing by GrantsGov Queued by GrantsGov Received By Federal Funding Agency Received by GrantsGov Receiving by GrantsGov Submitted To GrantsGov Validated by GrantsGov	• SF424 Administrator • SF424 Editors and Owner • SF424 Grants Specialist • SF424 Submitters
Log Comment	Log Comment to SF424	All states	• Registered Users
Validate Submission	Submission Validated	Pre-Submission	• SF424 Administrator • SF424 Grants Specialist • SF424 Editors and Owner • SF424 Status Maintainers

Award Activities

Activity Name	Completed Name	Valid States	Who can execute?
Activate	Activate	Final Review	• Award Approver
Assign Award Approver	Award Approver Assigned	All states	• Award Approver • Specialist Finance/Grant
Assign Specialist	Specialist Assigned	All states	• Award Approver • Specialist Finance/Grant
Complete	Complete	Active	• Award Approver • Assigned Specialist
Create Agreement	Agreement Requested	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit rights

Activity Name	Completed Name	Valid States	Who can execute?
Log Comment	Log Comment	All states	• Registered User
Log Correspondence	Logged Correspondence	All states	• Award Approver • Specialist Finance/Grant
Log Private Comment	Log Private Comment	Active Advance Account Draft Final Review Final Review – Response Pending Pending Activation	• Award Approver • Specialist Finance/Grant • Registered Users
Manage Access	Updated Access	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit rights
Manage Ancillary Reviews	Manage Ancillary Review	Advance Account Draft Final Review Final Review – Response Pending	• Award Approver • Specialist Finance/Grant • Registered user with edit rights
Manage Deliverables	Deliverables Managed	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit rights
Manage Relationships	Relationships Managed	Active Advance Account Draft Final Review Final Review – Response Pending Pending Activation	• Award Approver • Specialist Finance/Grants • Registered users with edit rights
Manage Tags	Tags Managed	All states	• Registered users with read rights
Request Changes	Changes Requested	Final Review	• Award Approver
Resume Export to External System	Export to External System Resumed	Pending Activation	• Award Approver
Send Award Notice	Sent Award Notice	Active Advance Account	• Specialist Finance/Grant
Send Email	Email Sent	All states	• Registered users
Submit Ancillary Review	Submit Ancillary Review	All states	• Registered users selected to complete the ancillary review

Activity Name	Completed Name	Valid States	Who can execute?
Submit Changes	Changes Submitted	Final Review – Response Pending	• Assigned Specialist
Submit for Final Review	Submitted for Final Review	Draft	• Assigned Specialist
Update Award Personnel	Updated Award Personnel	Active Advance Account Draft Final Review Final Review – Response Pending Pending Activation	• Specialist Finance/Grant
Update Non UAB FCOI Investigators	Updated Non UAB FCOI Investigators	All states	• Specialist Finance/Grant
Upload Award Documents	Uploaded Award Documents	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit access
Withdraw	Withdrawn	Draft Final Review Final Review – Response Pending	• Award Approver • Specialist Finance/Grant

Award Modification Request Activities

Activity Name	Completed Name	Valid States	Who can execute?
Approve	Approved	Review	• Specialist Finance/Grant
Assign Specialist	Specialist Assigned	All states	• Award Approver • Specialist Finance/Grant
Assign Submitter	Submitter Assigned	All states	• Award Approver • Specialist Finance/Grant • Registered Users
Copy	Copied	All states	• Registered Users
Decline	Declined	Review	• Specialist Finance/Grant
Log Comment	Comment Logged	All states	• Registered Users
Received Sponsor Response	Received Sponsor Response	All states	• Specialist Finance/Grant
Request Clarifications	Clarifications Requested	Review	• Specialist Finance/Grant
Send for Sponsor Approval	Send for Sponsor Approval	All states	• Specialist Finance/Grant

Activity Name	Completed Name	Valid States	Who can execute?
Submit Clarifications	Clarifications Submitted	Clarifications Requested	• Registered Users
Submit to Specialist	Request Submitted to Specialist	Draft	• Registered Users
Withdraw	Withdrawn	Draft Review Clarification Requested	• Registered Users

Award Modification Activities

Activity Name	Completed Name	Valid States	Who can execute?
Approve	Approved	Final Review	• Award Approver
Assign Award Approver	Award Approver Assigned	All states	• Award Approver • Specialist Finance/Grant
Assign Specialist	Specialist Assigned	All states	• Award Approver • Specialist Finance/Grant
Log Comment	Comment Logged	All states	• Registered Users
Log Correspondence	Logged Correspondence	All states	• Award Approver • Specialist Finance/Grant
Log Private Comment	Private Comment Logged	All states	• Registered Users
Manage Ancillary Reviews	Ancillary Reviewers Updated	Draft Final Review Final Review – Response Pending	• Award Approver • Specialist Finance/Grant • Registered Users with edit rights
Manage Tags	Tags Managed	All states	• Registered Users with read rights
Received Sponsor Response	Received Sponsor Response	All states	• Specialist Finance/Grant
Request Changes	Changes Requested	Final Review	• Award Approver
Resume Export to External System	Export Resumes	Pending Approval	• Award Approver
Send Email	Email Sent	All states	• Registered Users
Send for Sponsor Approval	Sent for Sponsor Approval	All states except Withdraw and Approved	• Specialist Finance/Grant

Activity Name	Completed Name	Valid States	Who can execute?
Submit Ancillary Review	Ancillary Review Submitted	All states	• Registered users selected to submit an ancillary review
Submit Changes	Changes Submitted	Final Review – Response Pending	• Specialist Finance/Grant
Submit for Final Review	Submitted for Final Review	Draft	• Assigned Specialist
Withdraw	Withdrawn	Draft Final Review Final Review – Response Pending	• Award Approver • Specialist Finance/Grant

Subaward Activities

Activity Name	Completed Name	Valid States	Who can execute?
Activate	Activated	Draft: Active Award	• Contract Specialist
Log Comment	Log Comment	All states	• Contract Specialist
Log Private Comment	Log Private Comment	All states	• Contract Specialist
Log Correspondence	Logged Correspondence	All states	• Contract Specialist
Perform Risk Assessment	Performed Risk Assessment	All	• Contract Specialist • Specialist Finance/Grant
Subaward Review Update Complete	Subaward Review Update Completed	Subaward Review / Update Required	• Contract Specialist
Update Subaward	Updated Subaward	Active	• Contract Specialist
Upload Documents	Documents Uploaded	All states	• Contract Specialist
Withdraw Subaward	Subaward Withdrawn	Draft: Active Award Draft: Award Setup In Process	• Contract Specialist