Research Community Grants Reference Guide

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Quick Links

Navigation

Process	Description	Intended Audience
Open a Record Awaiting Your Action	How to open a record that you need to perform an action on	All
View Record History	How to view the history of what actions have been performed on a record	All
Find a Funding Proposal	How to find a funding proposal that is not on the Dashboard	All
Grants Funding Proposals Page	How to navigate the grants funding proposals page	All
Grants Awards Page	How to navigate the grants awards page	All
Find Data by Filtering	How to filter data	All
Look Up Workflow Status	How to find proposals and awards in review	All
Funding Proposal Workspace	How to navigate the funding proposal workspace	All
Budget Workspace	How to navigate the budget workspace	All
SF424 Workspace	How to navigate the SF424 workspace	All
Award Workspace	How to navigate the award workspace	All
Help Center Overview	How to navigate the help center	All
Manage My Profile	How to update your own profile and another user's profile	All

Creating and Submitting Funding Proposals

Process	Description	Intended Audience
Create a Funding Proposal	Create a funding proposal using the Grants solution	PI or delegated member of the funding proposal team
Add Attachments to a Funding Proposal	How to upload documents to a funding proposal	PI or delegated member of the funding proposal team
Manage Relationships	Manage the relationship between the project and related agreements	PI or delegated member of the funding proposal team
Manage Tags	Users can tag a project so that it will appear in a report. For funding proposals, tags can be used to specify whether it is a preliminary proposal or a Letter of Intent.	PI or delegated member of the funding proposal team

Creating and Completing Budgets

Process	Description	Intended Audience
Complete a Budget	Complete a budget for a proposal. Do this after you have created a funding proposal and selected a sponsor.	Users with the Salary Access Role
Create an Additional Budget	Create an additional budget. This may be needed if the funding proposal involves multiple departments or divisions, multiple PIs, or estimate budgets.	Users with the Salary Access Role
Create a Modular Budget	NIH uses a modular budget format for some applications. Modular budgets may not be accepted in certain cases, so follow sponsor instructions and funding opportunity guidelines.	Users with the Salary Access Role
Create a Subaward Budget	This may be needed if an external collaborator will be contracted to perform work as part of a larger sponsor project.	Users with the Salary Access Role
Import a Subaward Budget	How to import a subaward budget in the subaward budget smartform. This is the preferred way to import a subaward budget.	Users with the Salary Access Role
Create a Cost-Share Budget	If a funding proposal's primary sponsor budget has project effort exceeds salary requested, the budget workspace alerts you to create a cost-share budget to show how the additional funds will be provided.	Users with the Salary Access Role
Add a Cost Share Ancillary Review	Funding proposals that require institutional commitments (such as cash or fellowships) require an additional step. These cost share commitments will be finalized via Ancillary Review.	Users with the Salary Access Role

Creating and Updating SF424 Forms

Process	Description	Intended Audience
Create an SF424 Form	How to create an SF424 form. This will be done after the funding proposal and budget(s) are complete, but before they are submitted for review.	Research Admins
Update an SF424 Form	How to update an SF424 form after it has been created.	Research Admins
Generate a PDF	How to generate a PDF version of the SF424 forms and attachments to send to the PI for review.	Research Admins

Reviewing and Certifying Funding Proposals

Process	Description	Intended Audience
Review a Funding Proposal	How to review a funding proposal. This is done when the funding proposal is complete and ready for department review.	PI or Research Admin
Certify a Funding Proposal	How to certify a funding proposal. This is done when the funding proposal is complete and ready for department review.	PI or Research Admin
Check Certification Status	How to check if a funding proposal has been certified.	Research Admin
Submit a Funding Proposal for Review	How to submit a funding proposal for review. This is done once the funding proposal and it's related components are completed.	Research Admin
Review a Funding Proposal	Steps for how a department reviewer will review a funding proposal.	Department Reviewer
Request Changes or Additional Information	How to request clarifications or changes during the review of a funding proposal. Includes how to add reviewer notes to the funding proposal and how to send a clarification request to the project owner.	Department Reviewer
Respond to a Clarification Request	How to respond to the clarifications requested by the department reviewer.	Research Admin
Review of Clarification Request Responses	How to re-review the funding proposal after the RA has responded to the request for clarification.	Department or Specialist Reviewer

Submit a Department Review	How to submit the funding proposal for the next step in the workflow after it has been reviewed.	Department Reviewer

Additional Proposal Activities

Process	Description	Intended Audience
Send an Email	How to send an email directly from the funding proposal workspace.	Research Admins
Add a Comment	How to add a comment to the funding proposal	Research Admins
Manage Access	How to provide or remove access for personnel who don't automatically have access to specific funding proposals.	Research Admins
Copy a Proposal	How to copy a funding proposal instead of initiating and completing a funding proposal from scratch.	Research Admins
Withdraw a Proposal	How to withdraw a proposal if the proposal team decides not to move forward with submitting it for review.	Research Admins
Locate Submitted Proposals	How to locate a submitted proposal since submitted proposals will no longer appear in an RA's inbox.	Research Admins
Request an Advance Account	How to request an advance account. RA's must request an advance account to be set up by OSP.	Research Admins
Notify OSP of Grant's Status	How to inform OSP of an update to the grant's status.	Research Admins
Update the Funding Proposal with Sponsor Determination	How to update the information in the funding proposal when UAB received a determination from a sponsor.	Research Admins
Create an Agreement from a Funding Proposal	How to create an agreement from the funding proposal workspace. This allows the agreement to be linked to the funding proposal.	Research Admins

Award Activities

Process	Description	Intended Audience
Reconcile an Award Budget	How to reconcile a budget if an award is significantly cut by the sponsor from the amount proposed, if the award is complex and requires multiple financial accounts/chart strings, or if the award has changes to subaward total dollars.	Research Admins
Manage Deliverables	Use the manage deliverables function to add, edit, or complete deliverables.	Research Admins

Create an Agreement from an Award	How to create an agreement from the award workspace. This allows the agreement to be linked to the award.	Research Admins

Subawards

Process	Description	Intended Audience
Initiating a Subaward	How to initiate a subaward and subaward agreement for a new award and from an award modification	Research Admins

Requesting Award Modifications

Process	Description	Intended Audience
Request an Award Modification	How to create an award modification request and submit it for review.	Research Admins
Complete Department Edits for an Award Modification	How to complete department edits for an award when OSP requests an award modification.	Research Admins

Follow-On Submissions

Process	Description	Intended Audience
Create a Continuation Proposal from an Active Award	How to create a continuation proposal. A continuation is a type of follow-on submission in the system used primarily for submitting progress reports for review and approval and to request funding of an active award for the upcoming budget year.	Research Admins
Create a Renewal Proposal from an Awarded Funding Proposal	How to create a renewal proposal. A renewal proposal is a type of funding proposal used as a competitive application for a new project with a scope based on or related to a current expiring award.	Study Staff or any user with a role that can edit funding proposals
Create a Revision to an Awarded Funding Proposal	How to create a revision to an awarded funding proposal. A revision proposal is a type of funding proposal used to request additional funding for an active award.	Study Staff or any user with a role that can edit funding proposals
Create a Resubmission Proposal from a Not Funded Proposal	How to create a resubmission proposal. A resubmission proposal is a type of funding proposal used when a sponsor previously reviewed and declined to fund an application, but the investigator	Study Staff or any user with a role that can edit funding proposals

	has modified and is resubmitting it for consideration.	

Managing Ancillary Reviews

Process	Description	Intended Audience
Add Ancillary Reviewers	How to add ancillary reviewers. Ancillary reviews are optional reviews that can be included on a per-project basis. Reviewers can be any specific person or organization in the system.	Any user with edit rights on a project
Check the Progress of an Ancillary Review	How to check the progress of ancillary reviews that have been assigned to a project.	Any user with read or edit rights on a project
Submit an Ancillary Review	How to submit an ancillary review for a project that you have been assigned as an ancillary reviewer for.	Ancillary Reviewers

Generating Grants Reports

Process	Description	Intended Audience
Find and Run Reports	How to find and run a report on a grant.	All

Introduction

Introduction to the Grants module in MyUABResearch

MyUABResearch enables UAB 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. MyUABResearch 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

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

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 Grants 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, members of the 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, PI, and any reviewers will receive email notifications at key points in the workflow to inform the appropriate person of next steps.

Workflow Overview

The 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 starts with a research administrator (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 approvers 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 in the Agreements module 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, RA will create and submit an agreement for review by OSP, 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 in the Agreements module.

If a proposal is awarded and all terms agreed upon, or the research team requests an advance account that is approved, OSP will create an award in the Grants module, and it will go through a setup and data quality review process. If the award includes subrecipients, when the department is ready to initiate the subaward, the RA creates a Subaward Agreement in the Agreements module for each subrecipient and then submits it into the agreement workflow for OSP to 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 Grants module. 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 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.

Grants Project Types

Funding Proposal	Awards
Funding Proposal (FP)	Award (AWD)
Budgets	Award Modification Request (AMR)
SF424	Award Modification (AM)

Navigation

Dashboard

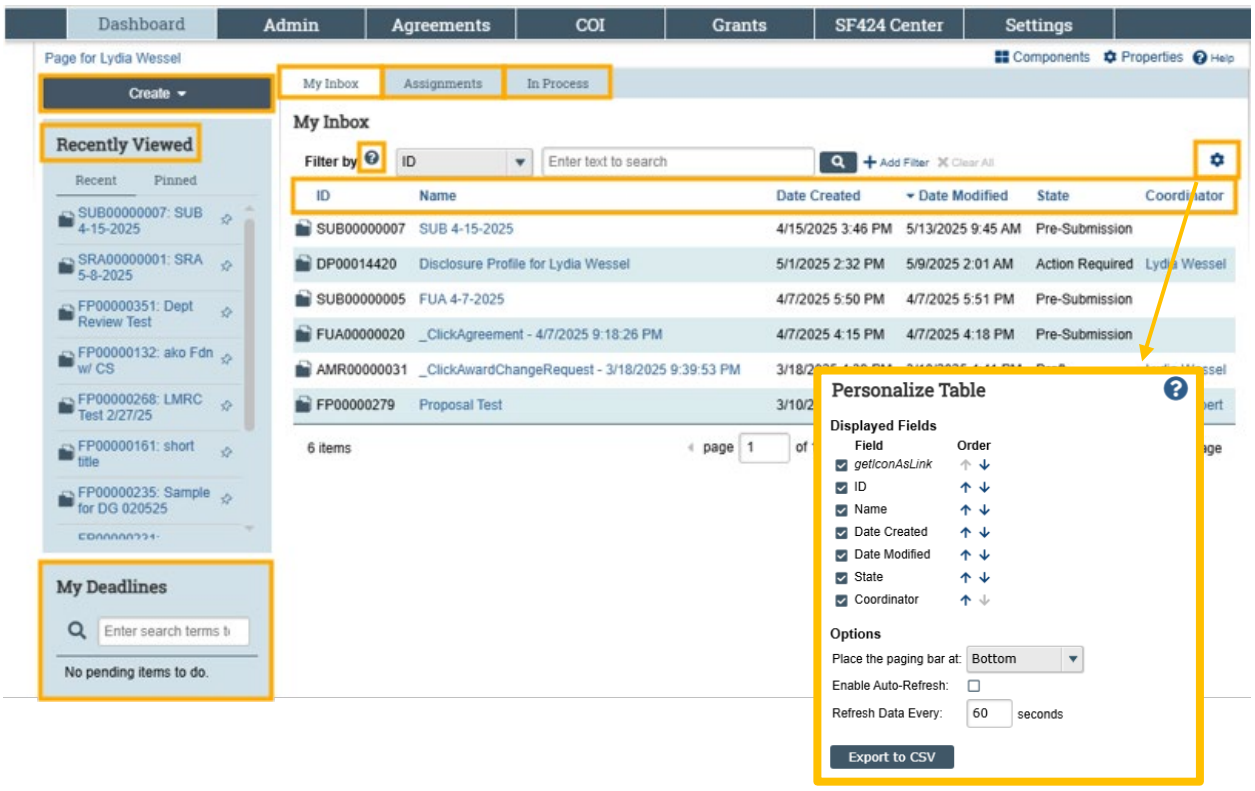
When first logging in, users will be on the Grants dashboard, which is the starting point for finding items and performing many basic tasks. The dashboard is designed to help users manage their work and deadlines, so items are completed on time. There are two sets of dashboards, one set for Grants and another for Agreements. Depending on the user's role, whether you are a principal investigator (PI), a department research administrator (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 Department Administrator Dashboard, which was designed to provide RAs quick and easy access to relevant and frequented information in an organized, central location. From the dashboard, RAs will find information about their submissions, identify critical and time-sensitive items requiring action, and resume tasks already started. From the Grants Dashboard, users will see:

1. **My Inbox:** Items the user is working on or requires their action to move them forward in the workflow. Users will only see those items if they have permission to view them, which is determined by whether they are assigned to it or are the primary contact or PI, or they have read or write access to it.
    - 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, DUA 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 the workflow, and it can still be updated.
    - Many tables 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.

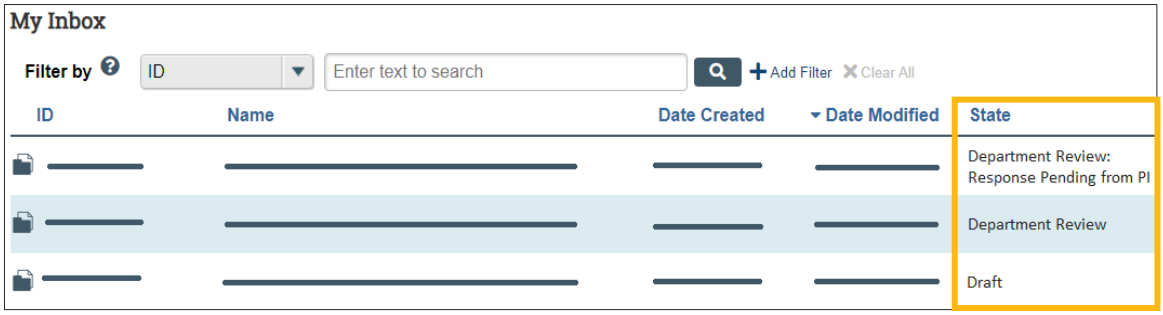
2. **Assignments:** The **Assignments** tab applies to the RA and OSP dashboards only and includes items assigned to the user. It is a visual representation of individual assignments in the user's department so their team can manage and balance workloads. The charts show the number of items assigned to department members that were started and are in a *Draft* state or require some action by the user. Users can click a pie slice in the chart to see more 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. If you open the additional detail in a separate window, the data can be analyzed alongside the chart. From the slide-in, the user can filter the list and export the data to a CSV file using the Export to CSV button. The charts only show items from the departments the user is an administrator for.

3. **In Process:** The **In Process** tab shows users tiles with the number of items in various stages of their respective workflows. This tab shows funding proposals and post award items, such as awards, subawards, deliverables, award modification requests, and award modifications that have not yet completed their workflows. This tab includes an area of items on which the user is the primary contact, followed by items in the user's department that are in process. For example, the user will see tiles for funding proposals due today, one of which includes only proposals on which the user is the Primary Contact and another that includes all proposals in the user's department. View a tile's description by hovering over the tile. Click the tile to see the data behind the number listed. Users can filter the information and use the Actions menu to change search parameters and export the data to a CSV file.
    - The My Proposals and My Post Award Items sections list in-process items on which the user is assigned as the Administrative Contact.
    - All Proposals and All Post Award Items show process items in the user's department.
    - In the Post Award items area, users will see tiles for award modification requests and subawards that are in process and award and subaward department deliverables that are due in the next 90 days or are overdue.
4. **Create menu and buttons:** On the left side of the screen is the Create drop-down menu. This menu shows the creator buttons that are available to the user, such as the Create Funding Proposal button. The menu will not show if you do not have access to any buttons.
5. **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.
6. **Personalize Table:** You can alter the tables displayed on the dashboard by using the Personalize Table gear icon.
7. **My Deadlines**: Pending tasks will appear under the My Deadlines section.



To identify what action is needed, review the State column of records in your inbox.

The state gives a clue as to what to do next. For example, “Department Review: Response Pending from PI” means the department reviewer is waiting for the PI/RA to respond to review comments they made on a funding proposal. PI/RAs can open it, make any needed changes, and then resubmit it to the department reviewer.



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.

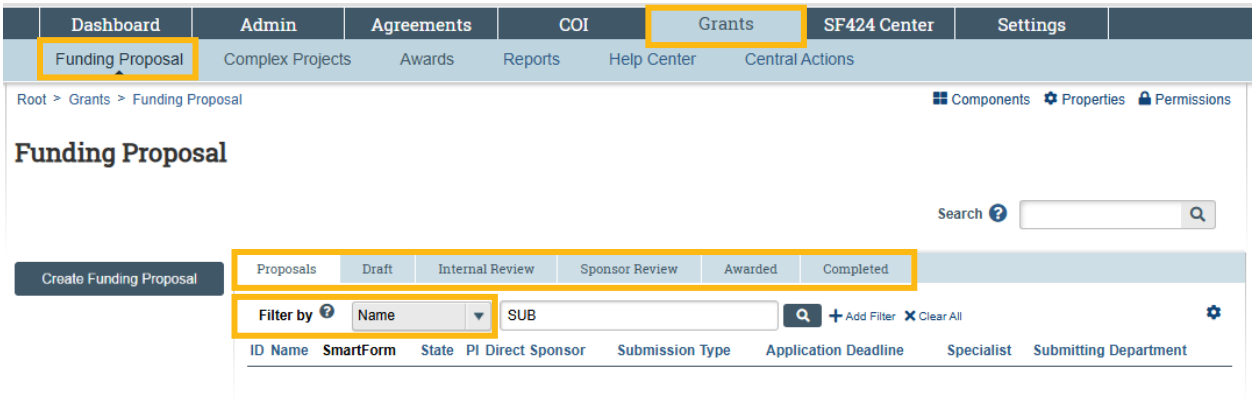
To view record history

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

To find a funding proposal not on the Dashboard

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

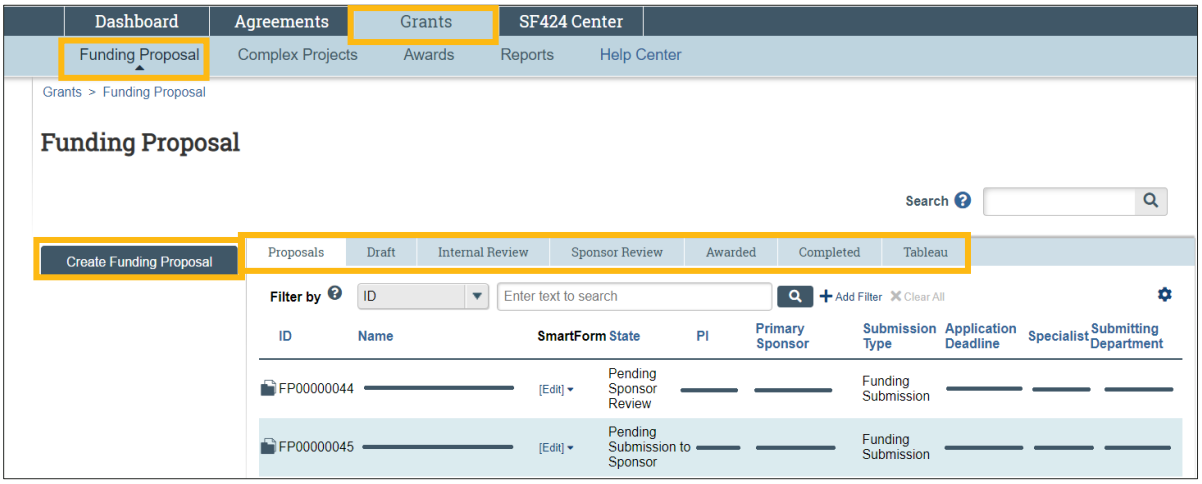
   The funding proposal workspace opens.



Grants Funding Proposals Page

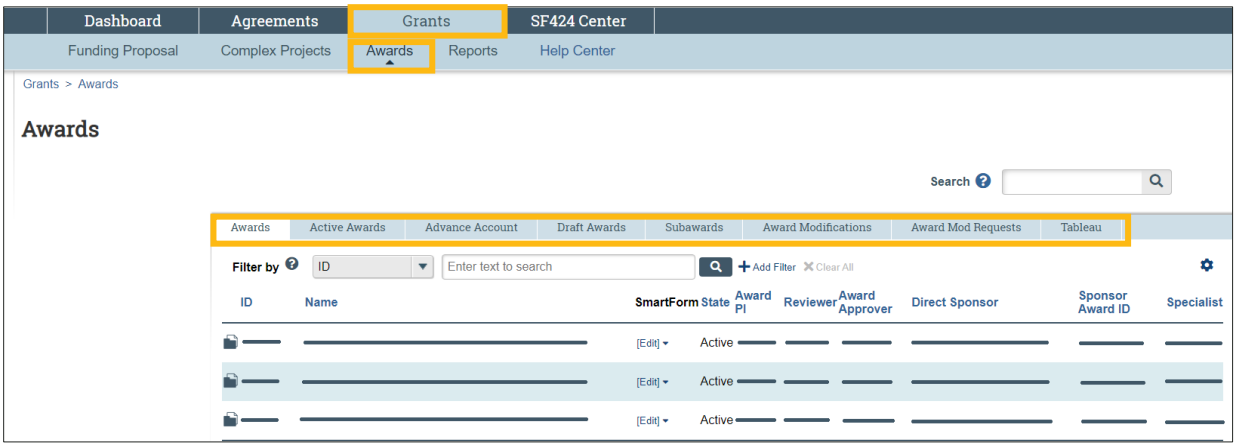
The Grants Funding Proposal page can be accessed by selecting **Grants** in the Top-Navigator and **Funding Proposal** in the Sub-Navigator. Funding proposal records that are not in the Dashboard can be accessed on this page. Users can create funding proposals from this page, alter tables displayed by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

- **Proposals** – View all funding proposals and their IDs, names, states, PIs, 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. Click **Edit** in the smartform column to jump directly to a specific award smartform.
  - **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.

   OBJ

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 more complex filtering options, click the Help icon to learn more.

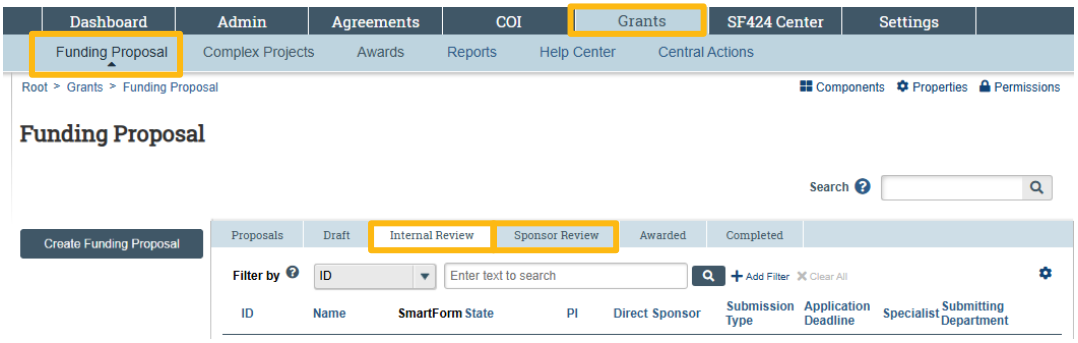
   To combine multiple filter criteria, click **Add Filter**.

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

Look Up Workflow Status

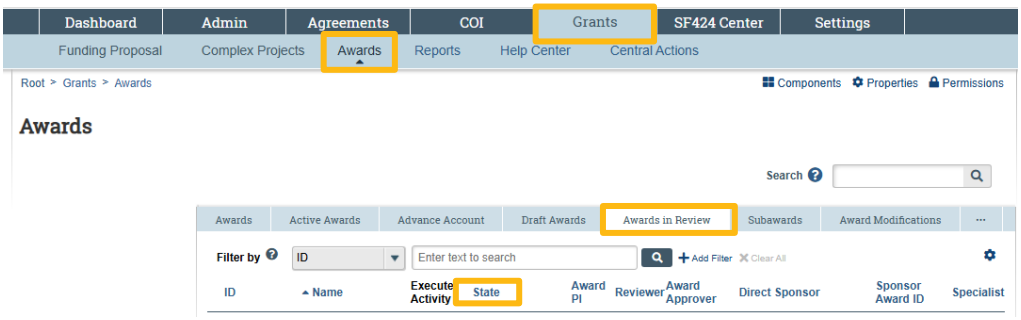
To find proposals in review:

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



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.



Funding Proposal Workspace

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

Beneath the breadcrumb trail is the funding proposal’s current state. For example, in the funding proposal workspace image, the funding proposal is in the *Department Review* 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.

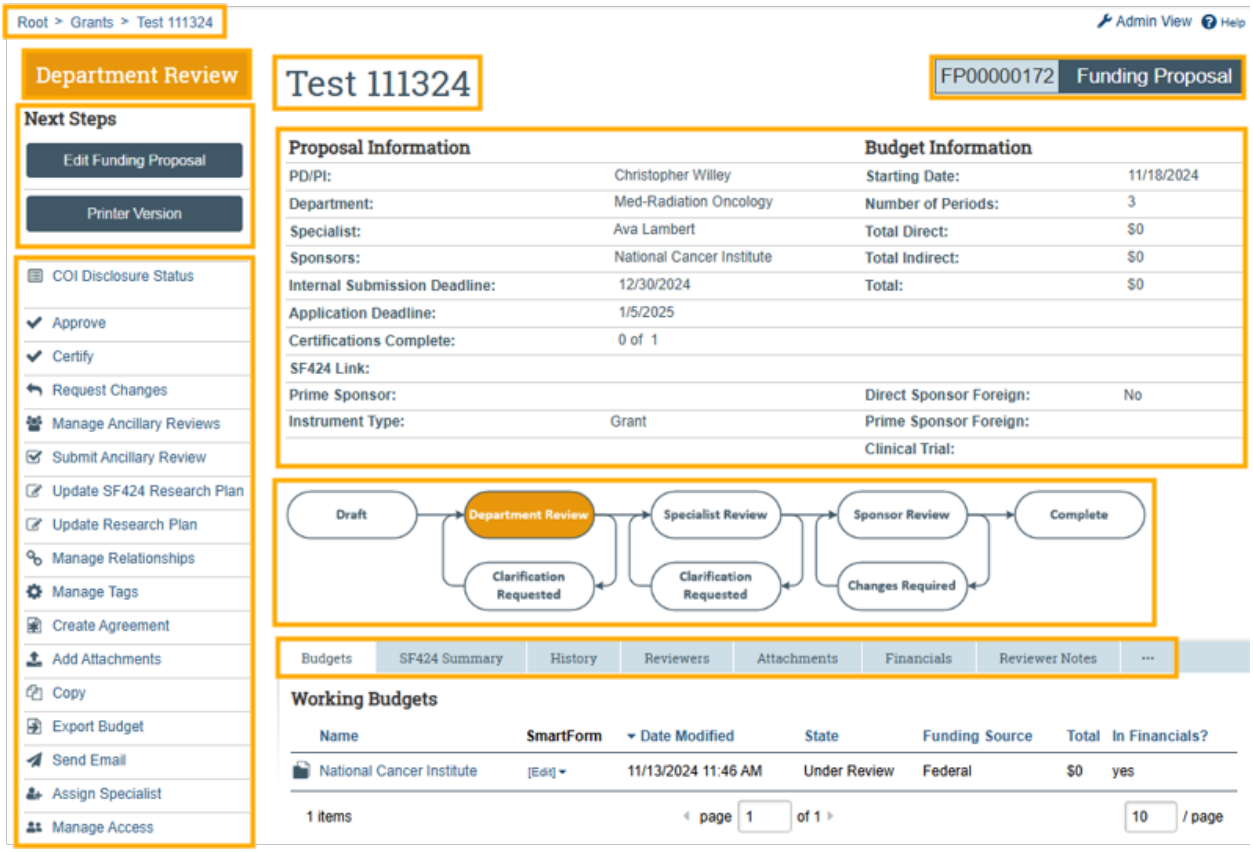
At the top of the workspace is the funding proposal title and a summary of the funding proposal and budget information. The PD/PI is the Program Director or Principal Investigator listed on the proposal pages, and the Specialist is the OSP member assigned to the proposal. You will also see at a quick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

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

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

- **Budgets:** Lists all the budgets associated with the funding proposal, including the sponsor and cost share budgets. Only users with the Salary Access role can see and access the information listed on this tab. Click the budget name to open the budget’s workspace to view or edit the budget pages.
- **SF424 Summary:** For federal opportunities that are being submitted system-to-system, if the SF424 has been created, a link to it will appear not only in the summary area, but on the **SF424 Summary** tab as well. Additional fields on this tab will update once the SF424 form is submitted to Grants.gov.
- **History:** Shows the activities that have been performed on the funding proposal, including who performed the activity and when. This tab also shows if a budget and SF424 were created. While they are separate “records,” they are part of the funding proposal. When a funding proposal is sent into workflow, the budget and SF424 are part of it. Click on a completed activity to see details about what occurred.

- **Reviewers:** Starts with the contacts listed on the funding proposal, including the PI, project personnel, and the 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 you will see any Ancillary Reviews added to the funding proposal and whether their review is required. The name of the person completing the review and whether they accepted the funding proposal is listed. The Grants Administrative Editors area is a list of department members 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 any documents attached in the Budget smartform. Click the link to open a document on this tab.
- **Financials:** Shows the proposed budget by category for each period. By default, the sponsor budget totals from all budgets associated with a funding proposal are rolled up into the totals shown on the **Financials** tab. However, budget editors can exclude individual budgets, if desired. When a proposal is submitted to the sponsor, an additional section of financial summaries will be presented on this tab. These financial summaries will show the budget amounts at time of submission.
- **Reviewer Notes:** Shows the notes reviewers added to the specific pages of the funding proposal during their reviews. Click the link to jump directly to the specific funding proposal page to which the note applies.
- **Change Log:** Shows the changes made to the funding proposal pages during the workflow. Click an activity to see details of what was changed.
- **Personnel Summary:** Shows the personnel listed on the budgets and their level of effort per period but not specific salary information.


Root > Grants > Test 111324
Admin View
Help
Department Review
Test 111324
FP00000172
Funding Proposal
Next Steps
Edit Funding Proposal
Printer Version
COI Disclosure Status
Approve
Certify
Request Changes
Manage Ancillary Reviews
Submit Ancillary Review
Update SF424 Research Plan
Update Research Plan
Manage Relationships
Manage Tags
Create Agreement
Add Attachments
Copy
Export Budget
Send Email
Assign Specialist
Manage Access
Proposal Information
PD/PI: Christopher Willey
Department: Med-Radiation Oncology
Specialist: Ava Lambert
Sponsors: National Cancer Institute
Internal Submission Deadline: 12/30/2024
Application Deadline: 1/5/2025
Certifications Complete: 0 of 1
SF424 Link:
Prime Sponsor:
Instrument Type: Grant
Budget Information
Starting Date: 11/18/2024
Number of Periods: 3
Total Direct: $0
Total Indirect: $0
Total: $0
Direct Sponsor Foreign: No
Prime Sponsor Foreign:
Clinical Trial:
Draft
Department Review
Specialist Review
Sponsor Review
Complete
Clarification Requested
Clarification Requested
Changes Required
Budgets
SF424 Summary
History
Reviewers
Attachments
Financials
Reviewer Notes
Working Budgets
Name
SmartForm
Date Modified
State
Funding Source
Total
In Financials?
National Cancer Institute
[Edit]
11/13/2024 11:46 AM
Under Review
Federal
$0
yes
1 items
page 1 of 1
10 / page

Budget Workspace

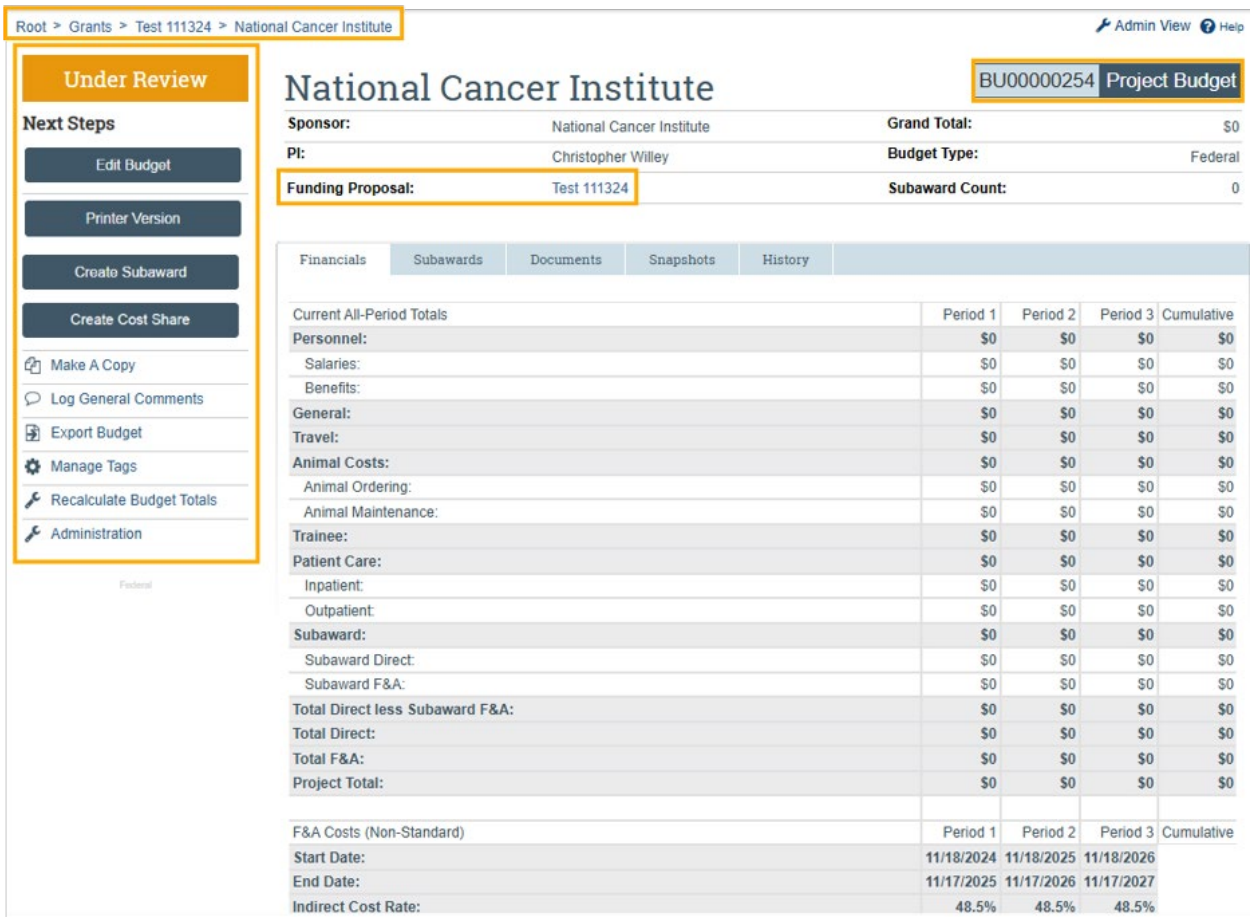
A budget workspace is accessed from the funding proposal workspace on the **Budgets** tab. Click the name of the budget to open it. Anytime a budget is opened, as indicated by “BU” in the ID, you will be in the budget workspace. Workspaces display key information about a particular budget. The information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

Note: Only administrators with the Salary Access role can access the budget workspace. If you are a research administrator (RA) who needs salary access permissions, you will need to complete the myUABResearch Salary Access Role Training in the UAB Campus LMS (brief e-learning course) in order to access the budget workspace.

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

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

The budget ID and the text “Project Budget” is located at the top right and indicates that 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, you will see 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

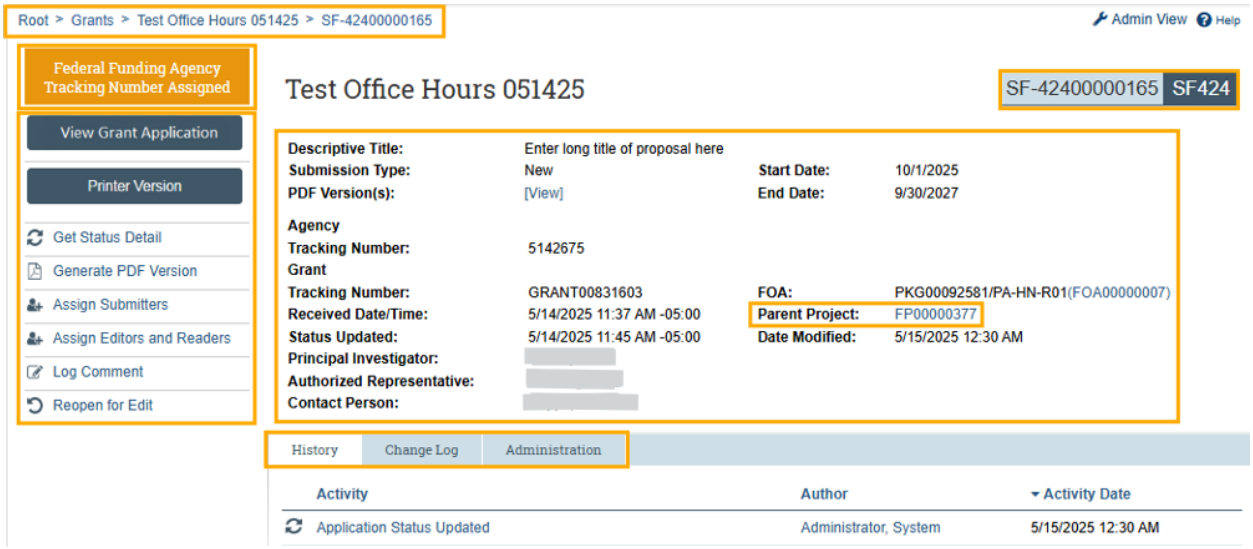
For federal system submissions, an SF424 will be created from and linked to the related funding proposal. An SF424 workspace is accessed from the funding proposal workspace it is linked to. From the funding proposal workspace, it can be accessed from the SF424 link in the summary area or from the SF424 Summary tab. Anytime an SF424 is opened, as indicated by “SF” in the ID, you will be in the SF424 workspace. The SF424 workspace displays key information about a particular SF424. The information and activities that appear on the workspace depends on the state the SF424 is in and your permissions. 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

Any time 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. The top left of the workspace is the breadcrumb trail. As you navigate to different areas from the award workspace, you will always be able to use it 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 subawards and award modifications. Similar to the funding proposal, you may or may not be able to edit the award pages.

At the top of the workspace is the award title and a summary of the award. In the award summary, you see the award ID, the text “Funding Award,” 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.

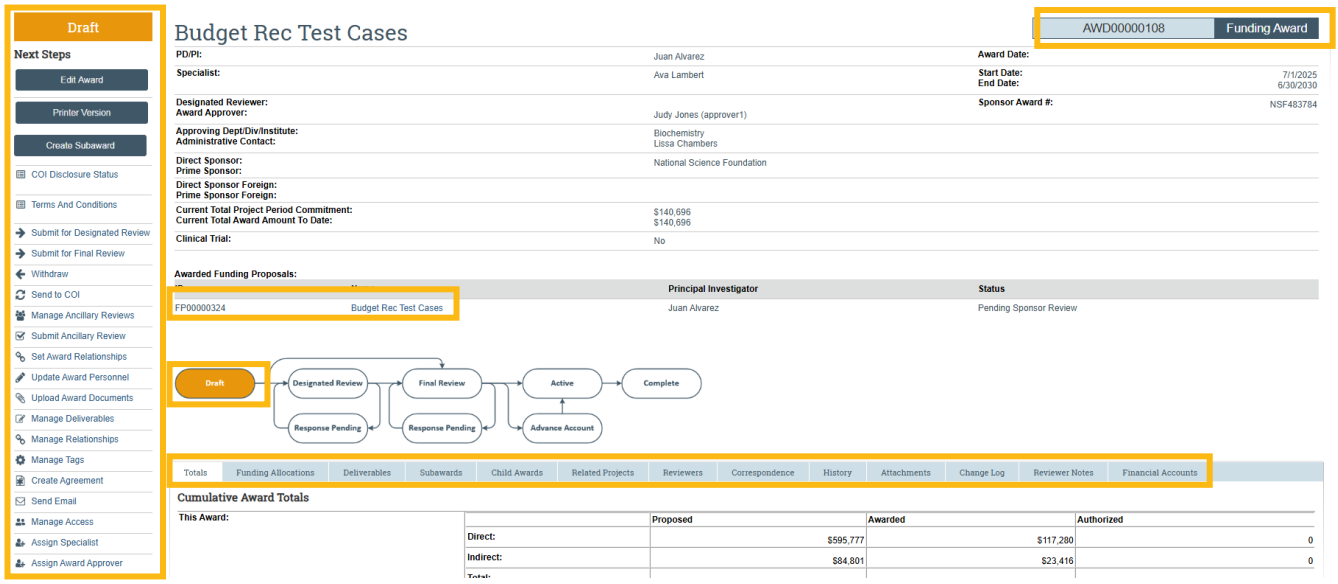
The Awarded Funding Proposals area lists the funding proposals related to this award. You will see the funding proposal ID, name, PI, and the status. Click the funding proposal Name link to open the funding proposal workspace.

The award Workflow Map is shown in the middle of the workspace.

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

- **Child Awards:** Shows any child awards that were linked to the award using the **Set Award Relationships** activity.
- **Related Projects:** Shows all agreements, including Subaward agreements, IRB protocols, and proposals 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:** Displays the contacts and reviewers 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.

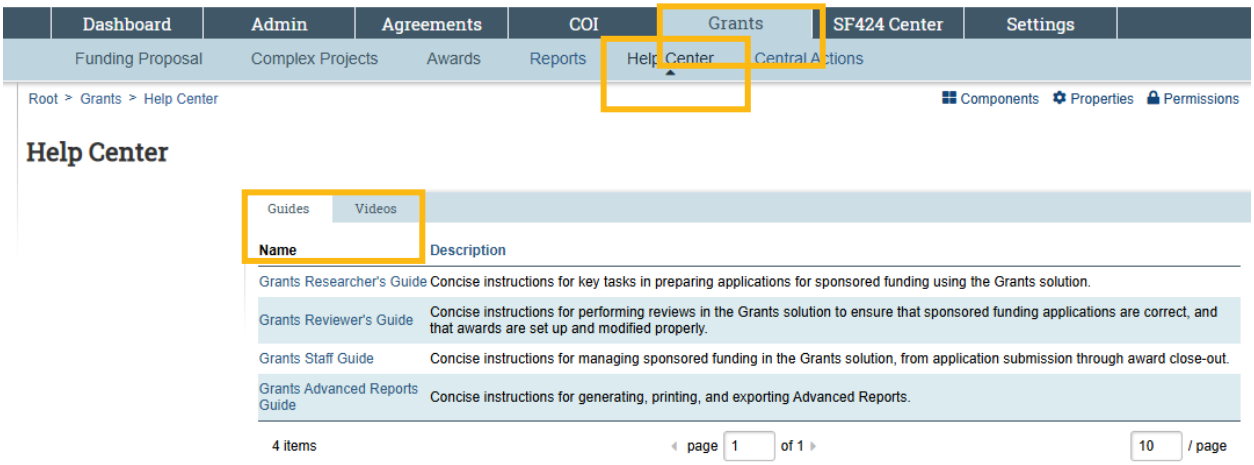
- **History:** Shows the activities that have been performed on the award, including who performed the activity and when it occurred. Click on a completed activity to see details about what occurred.
- **Attachments:** Shows links to documents added to the award, including documents added using the **Upload 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.
- **COI Status:** Provides a summary of the UAB and non-UAB personnel, the date of their last COI disclosure update, COI training completion date, and current COI review status related to this project.
- **Financial Accounts:** 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

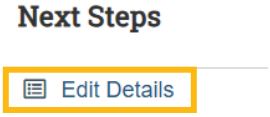
The **Modify Person Profile** activity allows all users to update select data on their profile, including address, email, phone number, and ORCID. All users have access to the **Modify Person Profile** activity for their own profile only. Users with the Salary Access role or the Specialist Finance/Grants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

Update Your Own Profile

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



3. Click **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 User's 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 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**.

Note: If edits are needed to a user profile that you are unable to update, contact OSP.

Creating and Submitting Funding Proposals

Funding Proposal Workflow

The workflow map provides a high-level summary of the review process. Funding proposals (FPs) 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, was not funded, or it was removed from the workflow. Orange indicates where the proposal currently is in the workflow. Since the workflow map is a high-level summary, the state listed at the top left of the funding proposal workspace will provide more detail about where it is in the workflow.

When the proposal team completes the funding proposal and the budget, the PI reviews their proposal and certifies it is complete and accurate. Then the research administrator (RA) submits the funding proposal into the *Department Review* state to be reviewed by the appropriate department reviewers. During *Department Review*, the funding proposal and budget smartforms are locked and cannot be edited by the PI or RA. If department reviewers require clarification or changes to the funding proposal or budget, they will send the funding 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 reviewer (if the department has more than one department reviewer).

When the last department reviewer completes their review, the funding proposal moves forward in the workflow to the *Specialist Review* state, which is performed by the Office of Sponsored Programs (OSP). The OSP Specialist can also request clarifications or changes from the PI and/or RA. If the proposal is sent back for revision, the funding proposal budget becomes editable so the proposal team can make the necessary changes. The RA can then resubmit the funding proposal to the department reviewer(s) or OSP Specialist for re-review.

If clarifications are not needed by OSP, the OSP Specialist moves the funding proposal to the Final Review status which moves the funding proposal to the Pending Submission to Sponsor state. The appropriate steps can then be taken to submit to the sponsor. For system-to-system proposals, the OSP Specialist proceeds to the submission steps in the SF424.

Workflow Map



Funding Proposal States

*The title in bold represents the state that is shown in the upper-left corner of the funding proposal workspace, the title in italics below represents the corresponding state on the workflow map

Current State	What Takes Place During this State	Qualifications to Move to the Next State	Next State
None – proposal is in creation	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 SF424 to make the appropriate changes, and resubmit it for department re-review	Submit Changes to Department Reviewer	Department Review
Specialist Review *(Specialist Review)*	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	RA can edit the FP, budgets, and SF424 to make the appropriate changes, and resubmits for	Submit For Department Review	Department Review Specialist Review

Current State	What Takes Place During this State	Qualifications to Move to the Next State	Next State
(Clarification Requested)	department and/or Specialist re-review.	Submit Changes to Specialist	
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 Specialist 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

Current State	What Takes Place During this State	Qualifications to Move to the Next State	Next State
Proposal Status Confirmation *(Sponsor Review)*	The FP can be updated to reflect that funding is anticipated, an award letter has been received and can be returned to the *Pending Sponsor Review* state. The JIT process can also be initiated.	Return to Pending Sponsor Review Funding Anticipated Award Letter Received	Pending Sponsor Review Pending Sponsor Review Award Anticipated Award Notification Received
Not Funded *(Complete)*	The FP was not funded by the sponsor. A resubmission proposal can be created.	Create Resubmission Reinstate Proposal (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	
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	

Creating Funding Proposals

Create a Funding Proposal

1. From the Dashboard, ~~click~~ the **Create** menu and then select **Create Funding Proposal**.
2. Fill out each page of the funding proposal and click **Continue**.

   Notes:

   - The Program Director / Principal Investigator / Project Lead / Fellow field on the *General Proposal Information* page automatically populates to the user who creates the proposal. If you are creating a funding proposal on behalf of someone else, click the remove icon to clear the information, and then search for the appropriate investigator.
   - The direct sponsor you select determines whether you are subsequently queried for Federal or non-Federal grant information. If the organization you are searching for is not listed, select TBD from the list, type the name of the organization in the provided text box, and submit a request for a new organization.
   - Once you specify the sponsor, the system creates a budget you can complete.
   - The funding proposal does not exist until the first page of the smartform is saved. After the first page is saved, the system will generate an ID for the funding proposal starting with "FP."
   - You can save, exit, and return to the funding proposal later. Select the proposal from your inbox. From the workspace, click **Edit Funding Proposa**l to edit proposal pages.
3. On the *Personnel* page, click **Add** to include project personnel, including all responsible personnel named on the sponsored project and responsible personnel who will be named on related protocols submitted to the IRB. Select **Yes** if the individual is to be considered responsible for COI purposes. Complete the information in the slide-in window and click **OK**.

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

   Notes:

   - TBD personnel do not need to be added to the *Personnel* page. You will add them to the budget instead.
   - If the funding proposal will include an SF424 for a federal system-to-system submission, it is important to add all project personnel and subaward personnel to this smartform page. What is added here will populate the SF424.
   - Integration with COI is triggered automatically using the personnel listed on the funding proposal. If the appropriate personnel are not listed, their COI disclosures can be missed.

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

4. For federal system-to-system proposal submissions, search for the specific Federal opportunity on the *Submission Information* page. The submission type and direct sponsor will automatically populate based on the direct sponsor and prime sponsor, if applicable, entered on the *General Proposal Information* page. On the *Submission Information* page, you will either provide a package ID, opportunity ID, or CFDA number in the appropriate field and click **Find**. Grants.gov returns matching opportunities, their requirements, and forms. Select the desired opportunity from the returned matches and click **Save**.

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

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

5. For federal submissions that are not system-to-system submissions, on the *Submission Information* page:

   - The submission type and direct sponsor will automatically populate based on the direct sponsor and prime sponsor, if applicable, entered on the *General Proposal Information* page.
   - Select **No** when answering this question: Will this application be submitted system-to-system?
   - Enter the Package ID or Opportunity ID and the opportunity title.
   - Select the funding mechanism.
   - Add the submission documents.

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

7. The Funding Opportunity Announcement page only appears if the sponsor is federal and **Yes** was selected to indicate it is a system-to-system submission. If the system reports all required forms are supported but an error message indicates otherwise, return to the *Submission Information* page, and click the **Refresh Form Submission** button. If a confirmation prompt appears, click **OK**.

8. Continue to the *Budget Periods and Key Dates* page and provide the required information.

   On this page, you can add, remove, and update budget periods. By default, the system creates five budget periods.

   - Click **Add Period** to add budget periods.

- Click **Remove Period** to delete unnecessary budget periods.
- Click **Update Periods** to update the period end dates or to define periods that include partial months. Check the box next to *Use Advanced Editing*, and specify the end dates, as in the example below. In such cases, the system calculates a decimal value for the period duration by dividing the number of days in the partial month by 30.
- Note: Changing budget period duration by editing the start date or editing period intervals may produce changes in budget totals. This is because budget period duration is a variable in calculated salary totals.

9. Continue to the *Compliance Review* page and answer the series of compliance-related questions.
10. On the *Additional Proposal Information* page:
    - The applicant institution should be populated (University of Alabama at Birmingham).
    - Select Yes or No for “Will there be program income?”
    - Select any additional resources that are required for the proposal.
    - Select Yes or No for “Clinical Trial.”
    - Select any high growth research areas that the project involves.
11. After completing all required fields and any optional fields on the proposal pages, follow the completion instructions on the last page, validate the proposal, and then click Finish.

Add Attachments to a Funding Proposal

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

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

For federal opportunities submitted via system-to-system, attach proposal documents to their respective areas in the SF424 form. Attachments can also be added by using the **Update SF424 Research Plan** activity on the funding proposal workspace. When a funding proposal is routing for approvals, the system will allow you to edit or update the research plan documents.

For non-federal opportunities and federal opportunities not submitted via system-to-system, upload documents to the General Submission Documents section in the *Submission Information* page of the funding proposal smartform. When a funding proposal is routing for approvals, the system will allow you to edit or update the research plan documents by using the **Update Research Plan** activity on the funding proposal workspace.

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

Manage Relationships

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

To manage relationships:

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

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

Manage Tags

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

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**.

Creating and Completing Budgets

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

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

Users without the Salary Access Role will only be able to see the Financials tab on the funding proposal workspace.

Complete a Budget

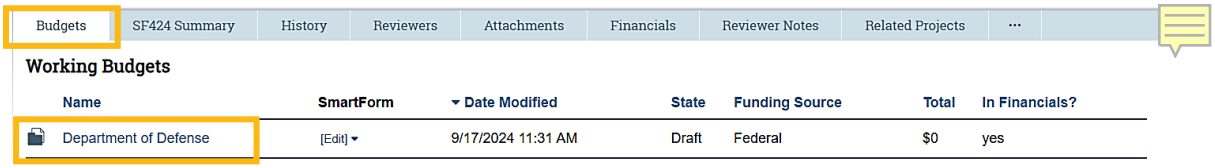
After you create a funding proposal, select a sponsor, and click **Save** on the initial page of the funding proposal smartform, the system automatically creates a primary sponsor budget.

Note: Only users with the Salary Access role can view and edit budgets and budget attachments, export budgets, and see salary information. If your role requires salary access and you do not have the appropriate permissions, you will need to complete the myUABResearch Salary Access Role Training (brief elearning course) in the UAB Campus LMS to get access.

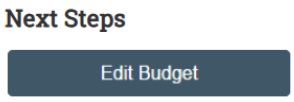
If the funding proposal will be submitted to a federal sponsor via system-to-system, ensure the funding proposal and budget are complete prior to creating the SF424. Information from the funding proposal and budget auto-populate the SF424 pages. Each time the **Create-Update SF424** activity is used,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

To fill out budgets for a proposal

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

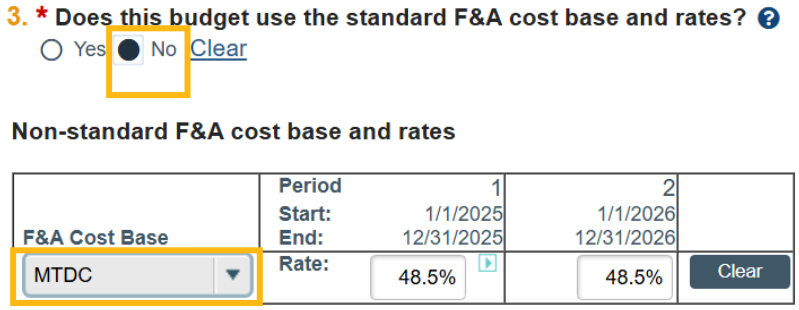


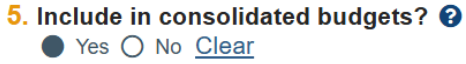
2. On the budget workspace, click **Edit Budget**.



3. On the first page of the budget smartform, enter or update the general budget information, including the:
    - Option to enter non-standard F&A cost base and rates

If the F&A is not standard, such as the sponsor does not allow F&A or limits the amounts, select **No** when answering this question: *Does this budget use the standard on campus indirect cost bases and rates*? Click the down arrow to select the appropriate F&A Cost Base and enter the F&A rate for each project period.

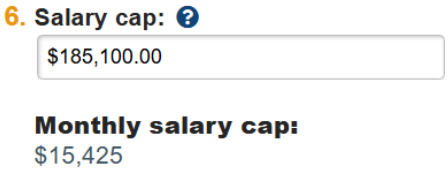




E

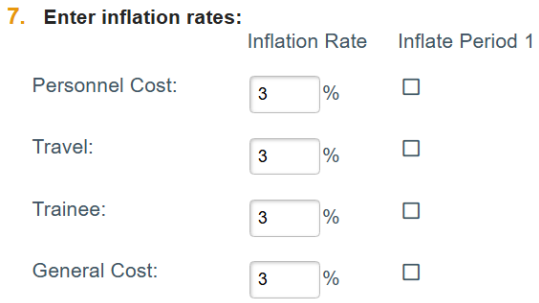
Example: Regarding consolidated budgets**,** you may not want to consolidate a non-mandatory cost-share budget you are creating that is for internal purposes only and will not be sent to the sponsor.

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



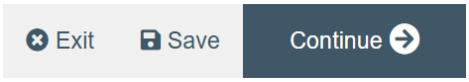
Note: To avoid generating a cost-share budget only for over-the-cap salary, override the individual investigator's pre-loaded salary with the annualized salary cap on the *Personnel Cost Definition* page.

- Inflation rates



When done, click **Continue**.

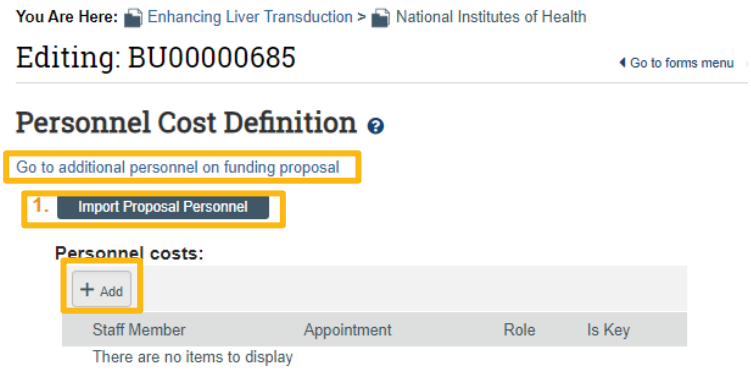




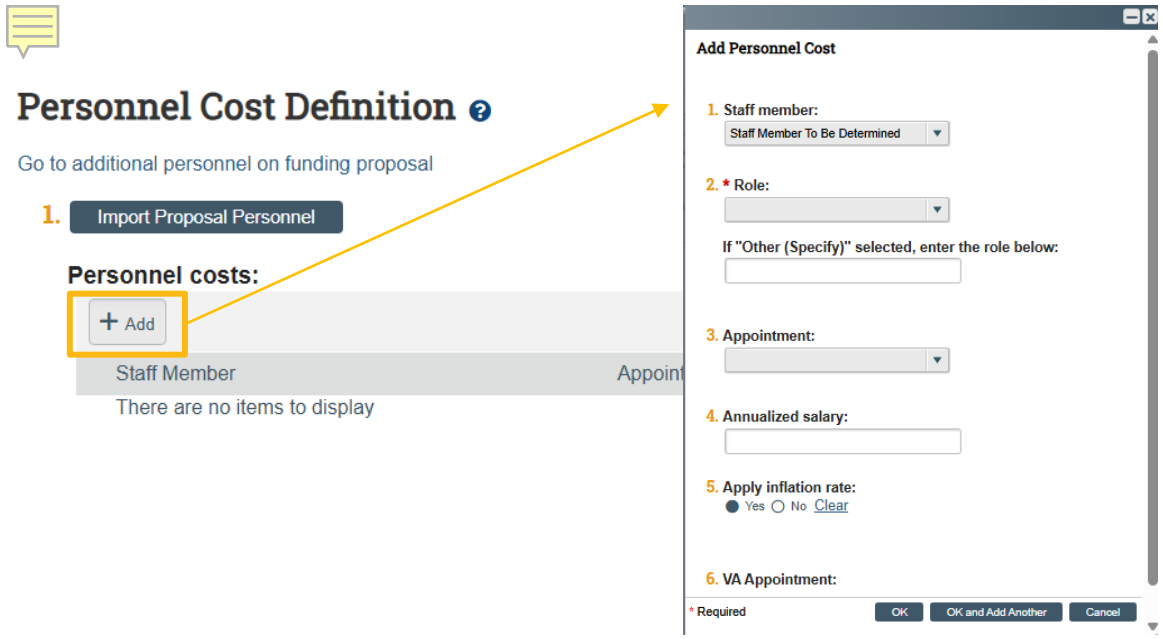
4. On the *Personnel Cost Definition* page, add personnel.
   a. To view or add personnel on the funding proposal, click the **Go to additional personnel on funding proposal** link.
   b. Click **Import Proposal Personnel** to import the PI and all personnel who were added to the funding proposal's *Personnel*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

      Notes:

      - Entering personnel on the funding proposal and importing them auto-populates more information than adding them manually as described here.
      - If any of the personnel listed on the funding proposal do not need to be on the budget, you can remove them by clicking on the "x" icon next to their name.



   d. Click **Update** next to a staff member's name to check or update their information, if needed. Pre-loaded salary and appointment length information is automatically added.



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



5. On the *Personnel Costs* page, click **Edit**.

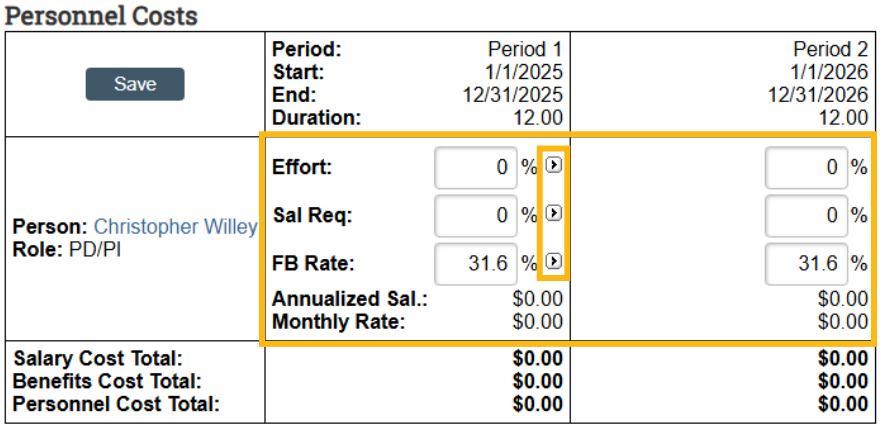
Personnel Costs

Edit Show Effort	**Period:** **Start:** **End:** **Duration:**	Period 1 1/1/2025 12/31/2025 12.00	Period 2 1/1/2026 12/31/2026 12.00
Person: Christopher Willey **Role:** PD/PI	**Salary:** **Benefits:** **Total:**	$0.00 $0.00 $0.00	$0.00 $0.00 $0.00
Salary Cost Total: **Benefits Cost Total:** **Personnel Cost Total:**		**$0.00** **$0.00** **$0.00**	**$0.00** **$0.00** **$0.00**

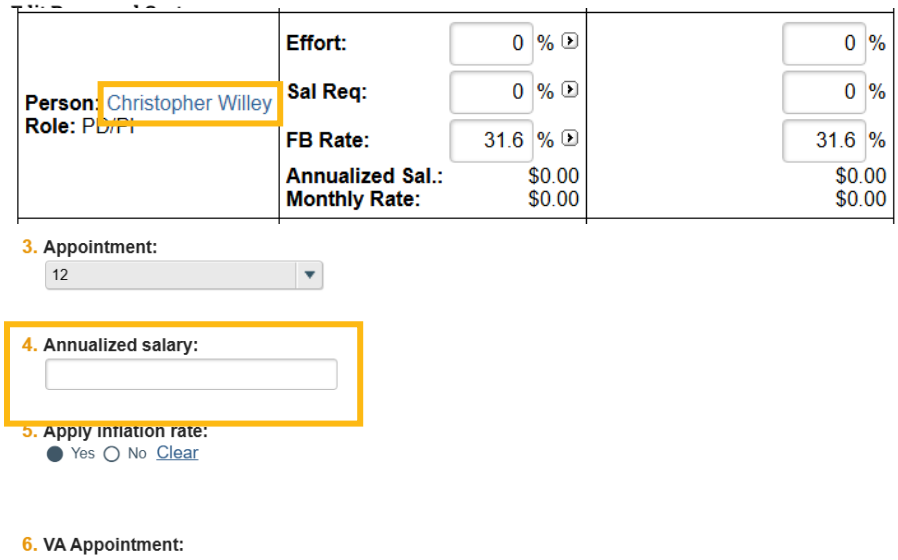
6. In each personnel cost row, type the planned effort months and salary requested months on the project.

Notes:

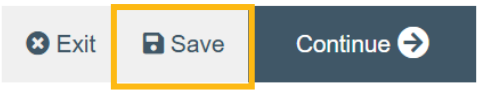
- **Effort Mos:** The total number of effort months for this person, including any cost-shared effort months.
- **Sal Req Mos:** (Salary Requested Months) The number of effort months for which salary is being requested from the sponsor.
- If the salary requested for any person is less than their projected effort (Effort Mos. > Sal Req Mos.), when you save the budget, the budget workspace alerts the RA to create a cost-share budget to show how the additional funds will be provided. Review the Create a Cost Share Budget section for more information.
- Click the push arrows at the right of a budget period column to replicate values in successive budget periods.



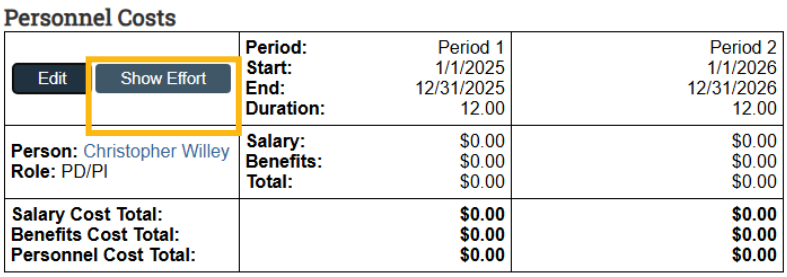
7. Modify the defaults for the fringe benefit rate and the base salary if appropriate. To edit a person's base salary, click their name at the left, and edit the Annualized salary field in the form that appears.



8. When satisfied with your entries, click the **Save** button to update the figures in the Totals view of the budget tables.



9. To view all rates and totals (with effort and salary requested represented as both months and percentages), click **Show Effort**.



Note: Budget viewers as well as editors can do this.

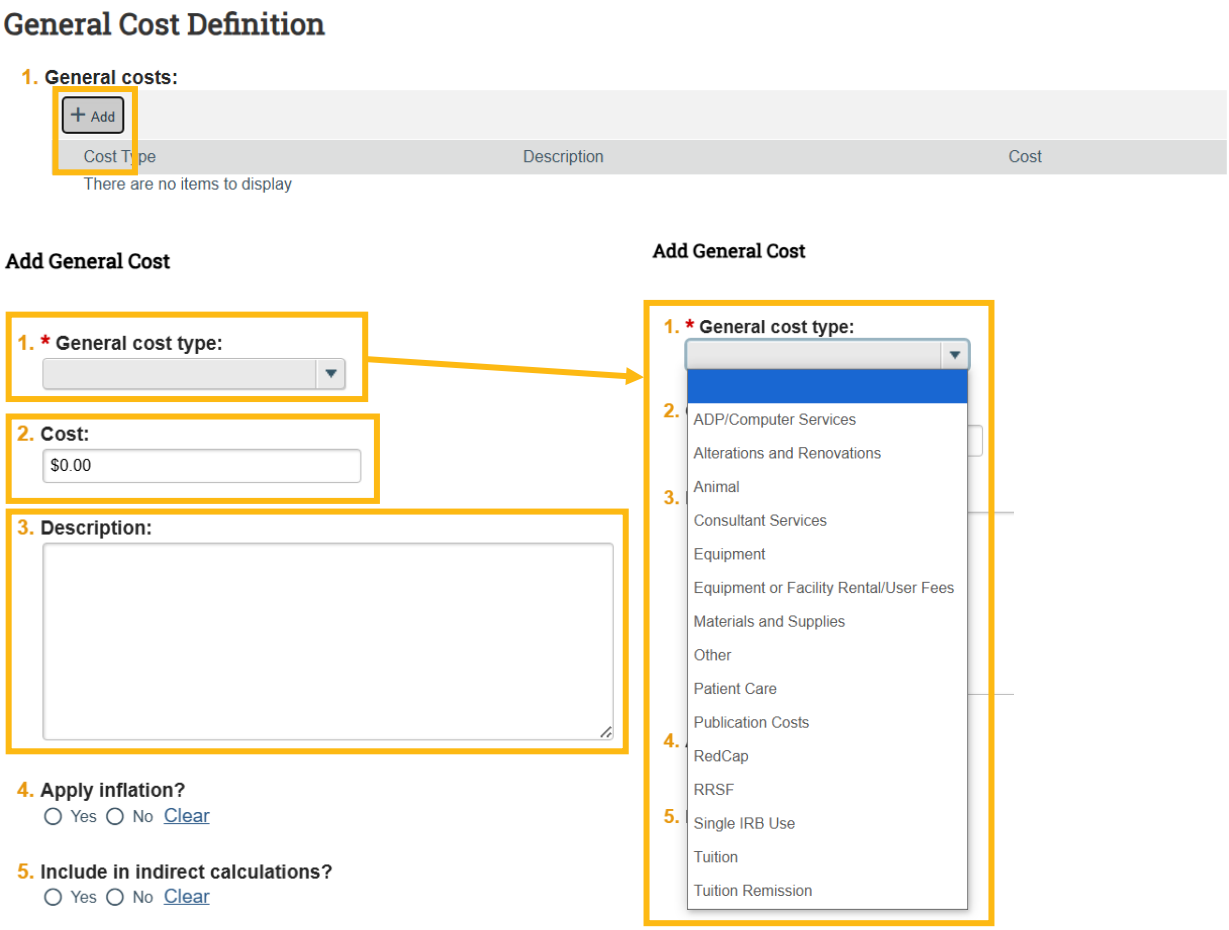
10. When done specifying personnel costs, click **Continue**.



11. If you selected **Yes** to include detailed budget tables on the *General Budget Information* page for either Travel or Trainee costs, additional financial tabs populate in the Left Navigator. Complete the definition and costs tables for each of them as you just did for personnel costs. When done, click **Continue**.



12. On the *General Cost Definition* page, add line items for general costs not accounted for on detailed budget tables. Click **Add**, select the general cost type from the drop-down list, add the amount for the item, and enter a description. Click **OK**.



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

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

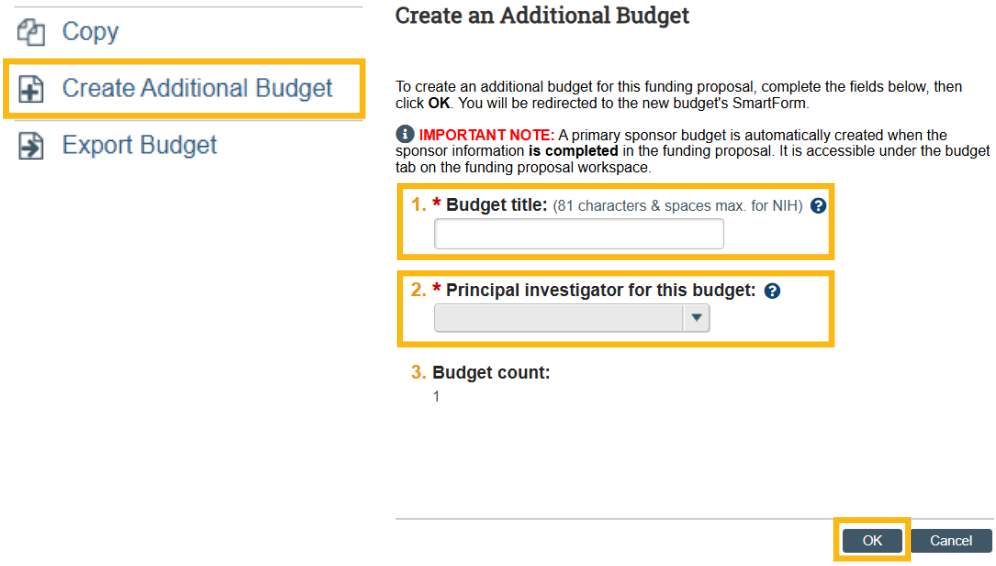
13. When done, click **Continue**.
14. The general costs added on the *General Cost Definition* page will populate on the *General Costs* page.
    - If inflation **is** applied, the amounts increase by the appropriate amount each period. The amounts are not editable on the *General Costs* page. Return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

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

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

Create an Additional Budget

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



To create an additional budget

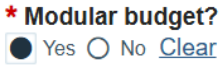
1. On the funding proposal workspace, click **Create Additional Budget**.
2. Enter a title for the additional budget.
3. Select the Principal Investigator for the additional budget.
4. Click **OK**.

Create a Modular Budget

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

To create a modular budget

1. On the *Budget Periods and Key Dates* page of the funding proposal smartform, select **Yes** to the modular budget question.

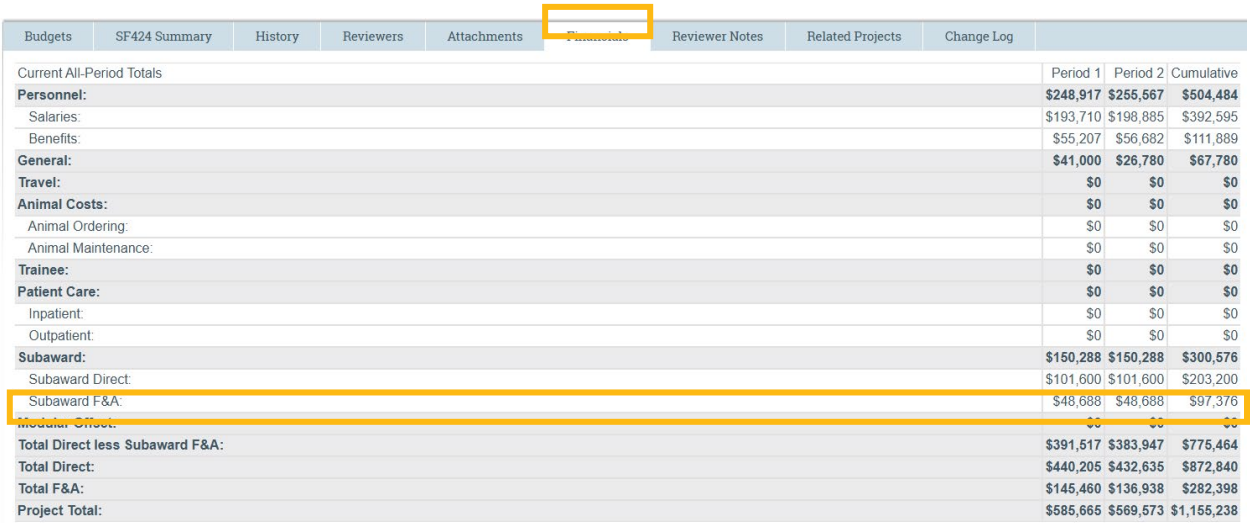
2. Complete the primary sponsor budget with the level of detail your department requires. Review the Complete a Budget section for more information.

Notes:

- The system maps the budget information to the SF424 and calculates the modules ($25,000 increments) and modular offsets automatically.

- On the **Financials** tab of the funding proposal and budget workspaces, a row for **Modular Offset** appears.

- Modular budgets are only used for System-to-System submissions



Budgets | SF424 Summary | History | Reviewers | Attachments | Financials | Reviewer Notes | Related Projects | Change Log

Current All-Period Totals	Period 1	Period 2	Cumulative
Personnel:	**$248,917**	**$255,567**	**$504,484**
Salaries:	$193,710	$198,885	$392,595
Benefits:	$55,207	$56,682	$111,889
General:	**$41,000**	**$26,780**	**$67,780**
Travel:	**$0**	**$0**	**$0**
Animal Costs:	**$0**	**$0**	**$0**
Animal Ordering:	$0	$0	$0
Animal Maintenance:	$0	$0	$0
Trainee:	**$0**	**$0**	**$0**
Patient Care:	**$0**	**$0**	**$0**
Inpatient:	$0	$0	$0
Outpatient:	$0	$0	$0
Subaward:	**$150,288**	**$150,288**	**$300,576**
Subaward Direct:	$101,600	$101,600	$203,200
Subaward F&A:	$48,688	$48,688	$97,376
Modular Offset:	$0	$0	$0
Total Direct less Subaward F&A:	**$391,517**	**$383,947**	**$775,464**
Total Direct:	**$440,205**	**$432,635**	**$872,840**
Total F&A:	**$145,460**	**$136,938**	**$282,398**
Project Total:	**$585,665**	**$569,573**	**$1,155,238**

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

WARNING: Selecting "OK" below will **override** any manual changes previously made directly in an already created SF424 form. Do not use this activity if you are making a correction requested by a specialist.

If this is the first time this activity is being executed, select "OK" and this activity will create your SF424 application.

If this is not the first time this activity is being executed, selecting "OK" will override any manual changes made in the SF424 form.

Select "Cancel" if you do not wish to execute this activity.

Action	Status
Required Forms	
Research & Related Other Project Information V1.4	SF424 Locked
Project/Performance Site Location(s) V4.0	SF424 Locked
PHS Human Subjects and Clinical Trials Information V3.0	SF424 Locked
SF424 (R & R) V5.0	SF424 Locked
PHS 398 Cover Page Supplement V5.0	SF424 Locked
PHS 398 Research Plan V5.0	SF424 Locked
Research & Related Senior/Key Person Profile (Expanded) V4.0	SF424 Locked
Optional Forms	
Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0	SF424 Locked
Research & Related Budget V3.0	SF424 Locked
PHS 398 Modular Budget V1.2	SF424 Locked
PHS Assignment Request Form V3.0	SF424 Locked

OK Cancel

Validate Compare

- PHS 398 Cover Page Supplement V5.0
- Research & Related Budget V3.0
- **PHS 398 Modular Budget V1.2 - Period 1**
- PHS 398 Modular Budget V1.2 - Period 2
- PHS 398 Modular Budget V1.2 - Period 3
- PHS 398 Modular Budget V1.2 - Period 4
- PHS 398 Modular Budget V1.2 - Period 5
- PHS 398 Modular Budget V1.2 - Cumulative
- PHS 398 Research Plan V4.0
- PHS Human Subjects and Clinical

Editing: SF-42400000231

PHS 398 Modular Budget, Period 1

*Number Of Budget Periods: 5

Budget Period: 1 * Start Date: 7/1/2023 * End Date: 6/30/2024

A. Direct Costs Funds Requested ($)

* Direct Cost less Consortium (F&A):	$50,000.00
Consortium (F&A):	$0.00
Total Direct Costs:	$50,000.00

B. Indirect (F&A) Costs

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

Cognizant Agency (Agency Name, POC Name and Phone Number):

DHHS, Arif Karim, (214) 767-3261

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

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

C. Total Direct and Indirect (F&A) Costs (A + B) Funds Requested ($): $80,000.00

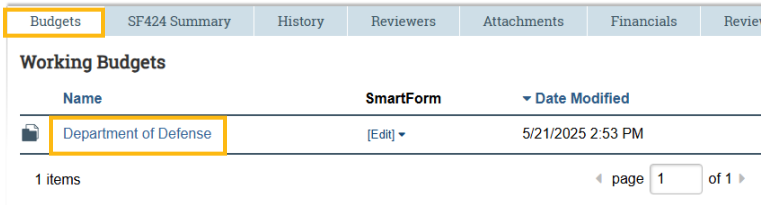
4. On the *PHS 398 Modular Budget Cumulative* page, attach the necessary budget justifications.

Create a Subaward Budget

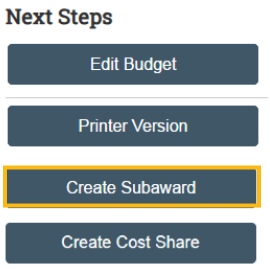
If an external collaborator will be contracted to perform work as part of a larger sponsor project, add the subaward funds budgeted for the external collaborator in the funding proposal. A subaward budget is created from and linked to a primary sponsor budget. RAs have the option to enter high-level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

To create and fill out a subaward budget

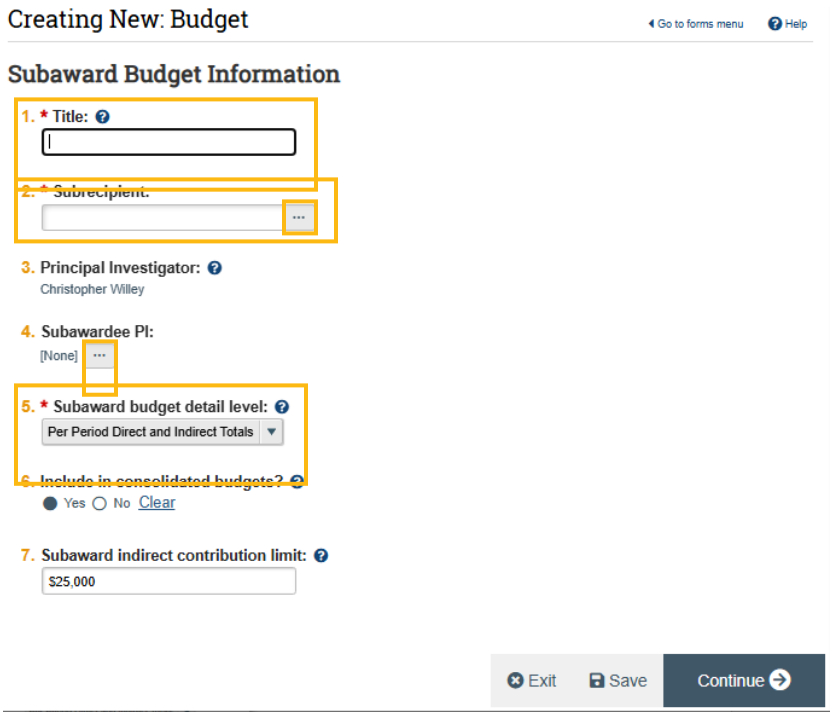
1. From the **Budgets** tab on the funding proposal workspace, click the name of the primary sponsor budget where you want to add a subaward budget.



2. From the primary sponsor budget workspace, click **Create Subaward**.



3. On the *Subaward Budget Information* page, provide the required information. Type a descriptive budget title.



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

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

5. If the subawardee's project has a PI, click the ellipsis, supply the PI information in the resulting form, and click **OK**.

6. Under "Subaward budget detail level," choose how to supply financial information. You can select either **Per Period Direct and Indirect Totals** or **SF424 Subaward Import.** Both options are described below.

   Option 1 – Per Period Direct and Indirect Totals

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

   Notes:

   - This option also populates an *All Personnel* page. Click **Add** to supply information on other Key personnel, graduate students, post grads, etc., on the subaward. **Subawardee personnel added on the subaward budget are not mapped to the SF424. Ensure the subawardee personnel are entered on the *Personnel* page of funding proposal smartForm. The subawardee personnel will map to the SF424 from there**.
   - This option does not allow you to enter a detailed subaward budget. Additionally, the funding proposal subaward budget area is separate from the *SF424 R&R Budget*

and *R&R Subaward Budget*. There is no detailed mapping to the *SF424 R&R Subaward Budget* when using period totals.

- Make sure to attach a detailed subaward budget to the *Attachments* page of the subaward budget smartForm.

Option 2 – SF424 Subaward Import

If you select **SF424 Subaward Import**, upload the SF424 R&R Subaward Budget PDF, provided by the subawardee, on the *SF424 Subaward Import* page for a detailed view. Click **Continue**. The totals from the form with load into the system and map to the SF424 budget for federal system-to-system proposal.

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

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

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

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

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

1. Select the **Per Period Direct and Indirect Totals** option on the subaward budget smartForm, as described in the Create a Subaward Budget section.
2. Attach a detailed subaward budget (e.g., Excel version) to the *Attachments* page of the subaward budget smartForm.
3. The RA can still manually enter the subaward amounts directly on the SF424 *R&R Subaward Budget Attachment(s) Form*. Review the Update an SF424 Form for more information.

To import a Subaward Budget in the Subaward Budget SmartForm

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

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

Create a Cost-Share Budget

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

To create a cost-share budget

1. From the **Budgets** tab on the funding proposal workspace, click the name of the primary sponsor budget that will include cost sharing.
2. On the budget workspace, click **Create Cost Share**.
3. On the *Cost Share Information* page, select the cost share type(s):
    - **Mandatory:** required by the sponsor.
    - **Voluntary Committed:** a voluntary but binding commitment.
    - **Third Party In-Kind:** external party non-cash contribution.
4. Under *Cost share entity*, start typing the submitting department's name, then select it from the list of matches. You can use "%" as a wild card. Alternatively, click the ellipsis to browse for the organization.
5. Click **Save or Continue**. The system creates a cost-share budget and lists it on the **Budgets** tab of the funding proposal workspace. If any effort months exceed the corresponding salary requested months, the system automatically populates the cost-share budget you've created with the difference.
6. Complete the other pages of the cost share budget as you would for a primary sponsor budget. Review the Complete a Budget section for more information.

- The cost-shared effort of each person entered on the *Personnel Costs* page of the primary sponsor budget will automatically populate into the cost-share budget.
- For cash contribution, on the *General Cost Definition* page of the cost-share budget, select the General cost type **Other**. Enter the amount of the cash contribution in the cost field and enter “Cash contribution” in the description field.
- For fellowships, on the *General Cost Definition* page of the cost share budget, select the General cost type **Other**. Enter the amount of the fellowship stipend in the cost field and enter “Fellowship Stipend” in the description field.
- On the *General Budget Information* page of primary sponsor budget, click **No** for a detailed Trainee budget. On the *General Cost Definition* page of the cost-share budget, select the General cost type Tuition. Enter the amount of the tuition in the cost field and enter “Tuition” in the description field.
- Leave the selection as **Yes** to apply inflation. If the cost-share amount differs each year for a specific line item, select **No**. This allows the user to edit the amount for each year on the *General Cost* page.

General Costs

Save	Period: Start: End: Duration:	Period 1 2/1/2023 1/31/2024 12.00	Period 2 2/1/2024 1/31/2025 12.00	Period 3 2/1/2025 1/31/2026 12.00
Cost Type: Other **Description:**Cash contribution		$10,000.00	$13,000.00	$8,000.00
Cost Type: Other **Description:**Fellowship stipend		$9,000.00	$9,270.00	$9,548.00
Cost Type: Tuition **Description:**Tuition		$15,000.00	$15,450.00	$15,913.00
General Cost Total:		**$34,000.00**	**$37,720.00**	**$33,461.00**

- Leave the selection as **Yes** to include F&A costs in calculations. Unrecovered F&A will automatically be calculated.

7. On the last page, click **Finish**.

Once the cost-share budget is complete, if applicable, submit the request for approval via Ancillary Review to the submitting unit. All cost sharing at UAB requires review by dean per UAB policy.

Cost Share Ancillary Review

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

1. On the funding proposal workspace, click **Manage Ancillary Reviews**.
2. On the *Manage Ancillary Reviews* slide-in window, click **Add**.
3. On the *Add Ancillary Review* slide-in window, select the appropriate unit or person in which to route the request.

4. Select **Cost Share Approval** as the review type.
5. Select **Yes** to make the response required.
6. Add any necessary comments you wish the ancillary reviewer to see.
7. Click **Add** to attach required supporting documents
8. When finished, click **OK**.

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

Creating and Updating SF424 Forms

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

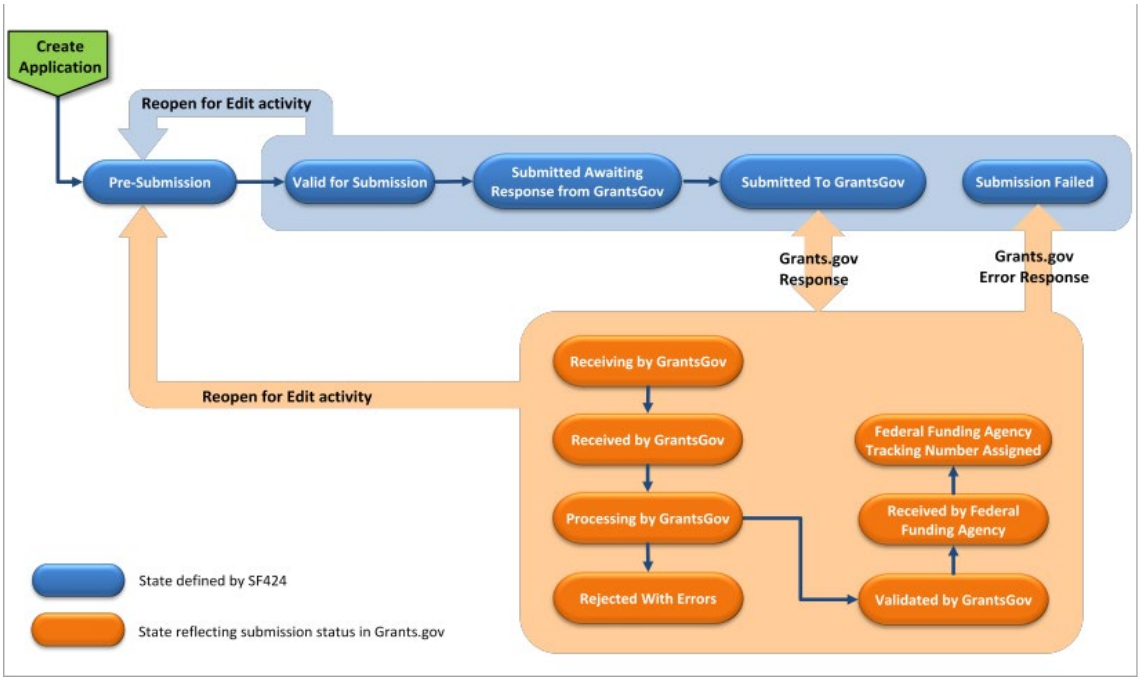
Warning: If the SF424 forms have been edited directly, re-creating or updating them from within the system could overwrite those edits. Always make your changes in the funding proposal and budget first, and then execute the **Create-Update SF424** activity. This will ensure that the funding proposal, budget, and SF424 always stay in sync. Keep in mind that reporting from the system comes from the funding proposal, so it is key to keep that information updated and then update the SF424 as needed.

SF424 Workflow

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

RAs will create the SF424 once the funding proposal smartForm and budget(s) are complete and ready to be mapped. Once it is created, the SF424 will be in a *Pre-Submission* state. After the RA validates the application, it moves to the *Valid for Submission* state. An OSP federal grants officer with university Signing Official authority will submit the proposal system-to-system to Grants.gov. Grants.gov will process the application and send automatic updates back regarding the processing status. These updates will be visible to all users with access to the SF424 record.

See the SF424 states below.



Create an SF424 Form

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

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

   If all conditions for generating SF424 forms are met, but these activities are not available in the workspace, go to the *Submission Information* page and click the **Refresh Form Support** button. If a confirmation prompt appears, click **OK**. Formatting issues here – need to correct A list of required and optional SF424 forms appears in a slide-in window. Select the appropriate SF424 forms and any additional forms that need to be created or updated.

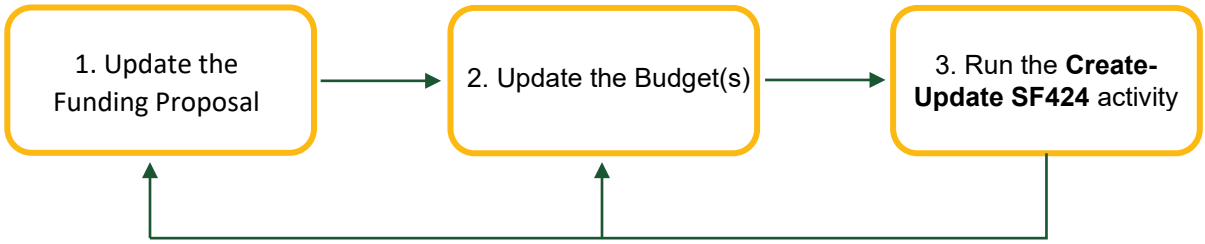
   Note: If the proposal includes any subawards, be sure to select the *R&R Subaward Budget Attachment(s) Form*.
3. Click **OK**.

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

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

Update an SF424 Form

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

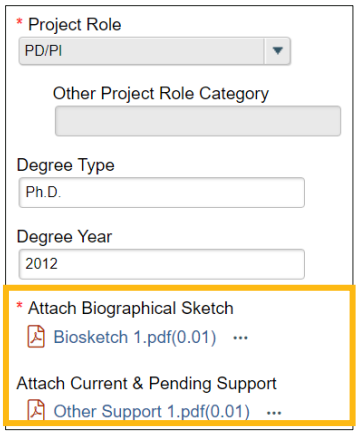


To update SF424 forms and add missing data

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

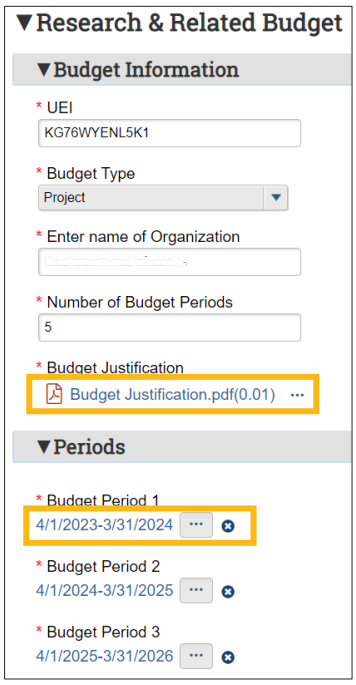
   Note: If you missed a form previously, it is recommended that you re-execute the **Create-Update SF424** activity, as shown in the diagram above, so the information from the funding proposal auto-populates into the SF424 forms.
4. Click **Continue**
5. Verify the information is correct on the SF424 forms. Add or modify data in the SF424 forms as needed.
6. On the *R&R Other Project Information* page, answer the required questions and upload the required proposal documents (e.g., Project Summary/Abstract, Project Narrative, etc.)
7. On the *R&R Senior/Key Person Profile* page, verify the information imported from the funding proposal is correct.

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



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

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



2. If the proposal includes any subawards, be sure to select the *R&R Subaward Budget Attachment(s) Form* when creating or updating the SF424 and attach the subaward budget justification. To enter the subaward budget, RAs can either:

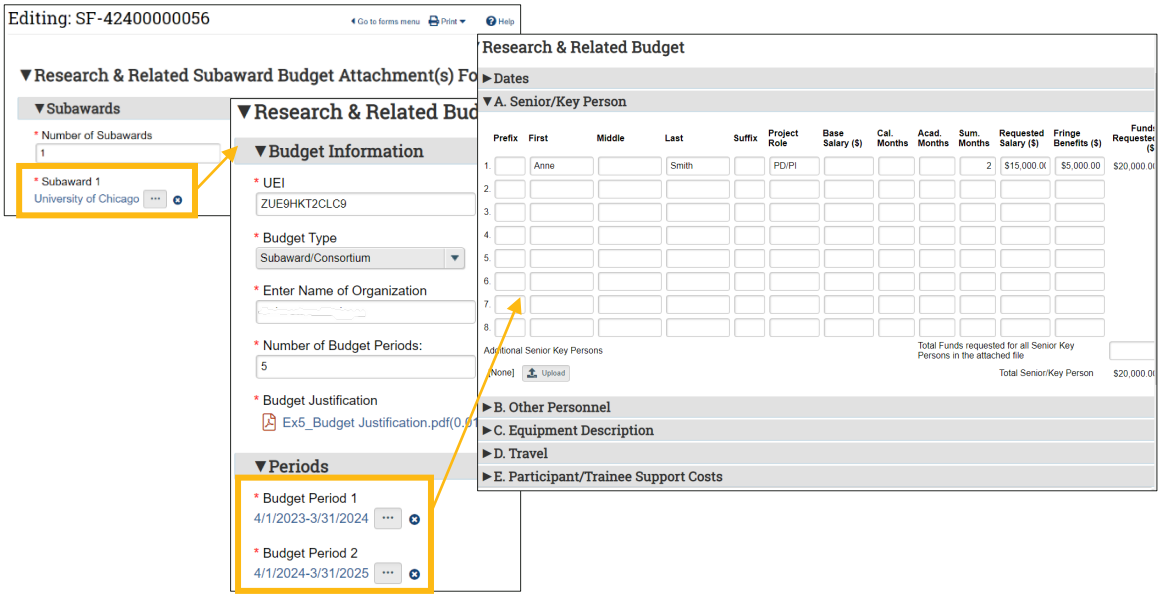
   a. Import the *R&R Subaward Budget* from the funding proposal subaward budget. This is the preferred way to enter the subaward budget if the RA has a copy of the *R&R Subaward Budget PDF*. The information from the import will automatically populate the *R&R Subaward Budget Attachment(s) Form*. Review the Create a Subaward Budget and Import a Subaward Budget sections for more information.

   b. Manually enter the subaward amounts on the SF424 *R&R Subaward Budget Attachment(s) Form*. On this page:

i. Enter the number of subawards.

ii. Click the ellipsis by each one to open the R&R Budget form. Enter the subaward's UEI, select **Subaward/Consortium** as the *Budget Type*, enter the name of the organization, the number budget periods, and attach the subaward budget justification.

iii. Click on the budget period links to enter the subaward costs in detail, by period.



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

To update SF424 Research Plan while proposal is routing for approvals

The Research Plan attachments, such as the Research Strategy, Specific Aims, and Project Summary, can be edited by the PI or the RA while the project is in routing for approvals, if necessary. Attachments can be updated by using the **Update SF424 Research Plan** activity on the funding proposal workspace.

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

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

Once OSP marks as final or submits the proposal, the documents can no longer be edited.

Generate a PDF Version

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

To generate a PDF version

1. On the SF424 workspace, click the **Generate PDF Version** activity.

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



Review and Certify a Funding Proposal

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

To review a funding proposal

1. From your inbox, click the name of the funding proposal you want to open. Alternatively, click the funding proposal ID link provided in the *PI Certification Required* email notification.
2. Review the tabs on the funding proposal workspace, including the:
   a. **Attachments** tab
   b. **Financials** tab to review the budget summary
   c. **Personnel Summary** tab to review the project personnel and their levels of effort
   d. **Related Projects** tab to ensure any IRB or IACUC protocols associated with the funding proposal are present

Note: If the funding proposal is selected as the **Funding Source** IRB or IACUC protocol in the IRB or IACUC solutions, the solution sends information about the associated IRB or IACUC protocol to Grants. The data displays on the **Related IRB Protocols** and **Related IACUC Protocols** sections on the *Compliance Review* pages of the funding proposal and award smartforms. The information displayed should be in **real-time** and is **for information purposes only**. It cannot be edited in Grants. If the IRB or IACUC protocol was previously approved, it requires an amendment to change the **Funding Source**.

3. Click **Edit Funding Proposal** to review detailed information included in the funding proposal smartform.

To certify a funding proposal

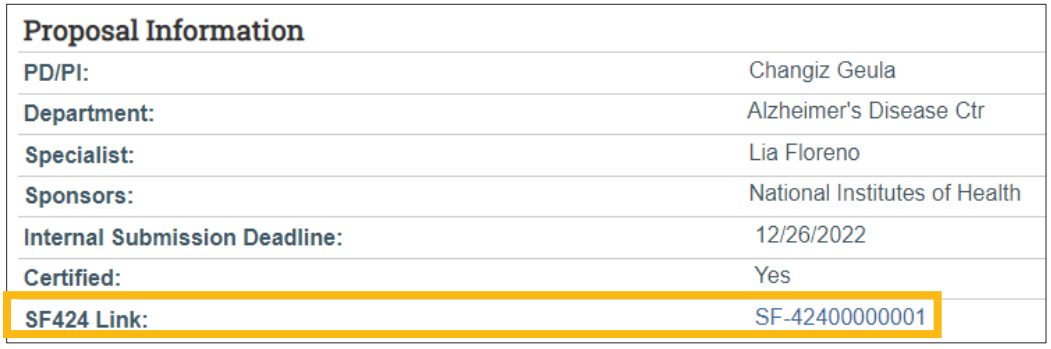
1. Once you complete your review of the funding proposal, certify that it is complete and accurate. On the funding proposal workspace, click **Certify**.
2. Read the attestations in the resulting *Certify* form.
3. Type any comments and add any pertinent attachments.
4. Click **OK**.

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

Note: The final step of the department approval cannot take place until the PI completes the **Certify** activity on the funding proposal. If PI Certification is outstanding when the proposal is submitted for Department Review, the PI receives a reminder notification prompting them to complete the certification. If a PI certifies a funding proposal while it is in the *Department Review* state, the Department Reviewers for that funding proposal will receive an email notification informing them that it has been certified and can now receive final approvals to move to the *Specialist Review* state. Review the Email Notifications section for more information.

To check certification status

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



Proposal Information	
PD/PI:	Changiz Geula
Department:	Alzheimer's Disease Ctr
Specialist:	Lia Floreno
Sponsors:	National Institutes of Health
Internal Submission Deadline:	12/26/2022
Certified:	Yes
SF424 Link:	SF-42400000001

Submit a Funding Proposal for Review

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

To submit a funding proposal for review

1. From the workspace, click **Submit for Department Review**.
2. If the system reports errors, such as required fields that were not completed, correct them, and submit again.
3. If the *Submit for Department Review* dialog box reports required ancillary reviews that have not been completed, it will not prevent the funding proposal from entering *Department Review* or *Specialist Review* states. However, required ancillary reviews must be completed before the funding proposal can move forward to the *Pending Sponsor Review* state.

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

Notes:

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

Reviewing Funding Proposals

Review a Funding Proposal

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

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

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

Note: If a PI certifies a funding proposal while it is in the *Department Review* state, the Department Reviewers for that funding proposal will receive an email notification informing them that it has been certified and can now receive final approvals to move to the *Specialist Review* state.

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

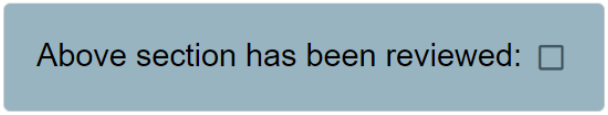
This topic shows the basic procedure for a department review. It is essentially the same for OSP reviews. While RAs generally will not be reviewing proposals, unless they are also considered a Department Reviewer, it is helpful to understand the review process.

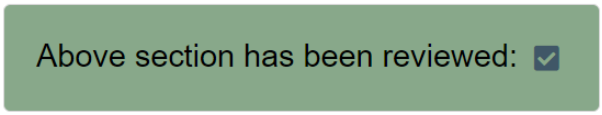
1. Open the proposal by clicking its name from the email notification or your inbox.
2. From the funding proposal workspace, click **Review Funding Proposal**.



3. Review the data in the funding proposal. You can scroll through the proposal sections or use the Left Navigator to jump to specific sections.
    a. To see what changed between this and a previous version, click **Compare** on the Left Navigator and select the version to compare against.
    b. If you find problems, you can add reviewer notes for the PI. Review the Request Changes or Additional Information section for more information.

4. After reviewing each section, select the check box at the bottom to indicate you have reviewed it.





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

      Note: If you do not use this change tracking feature, or miss a check box, it does not prevent the funding proposal from moving forward in the review process.

5. When finished reviewing, click **Exit** to return to the funding proposal workspace.
6. If you found problems in the proposal, you can request changes from the PI and RA. Review the Request Changes or Additional Information section for more information.
7. If you are satisfied with the proposal, submit it for the next review in its workflow. Review the Submit a Department Review section for more information.

Print Proposal Pages

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

Request Changes or Additional Information

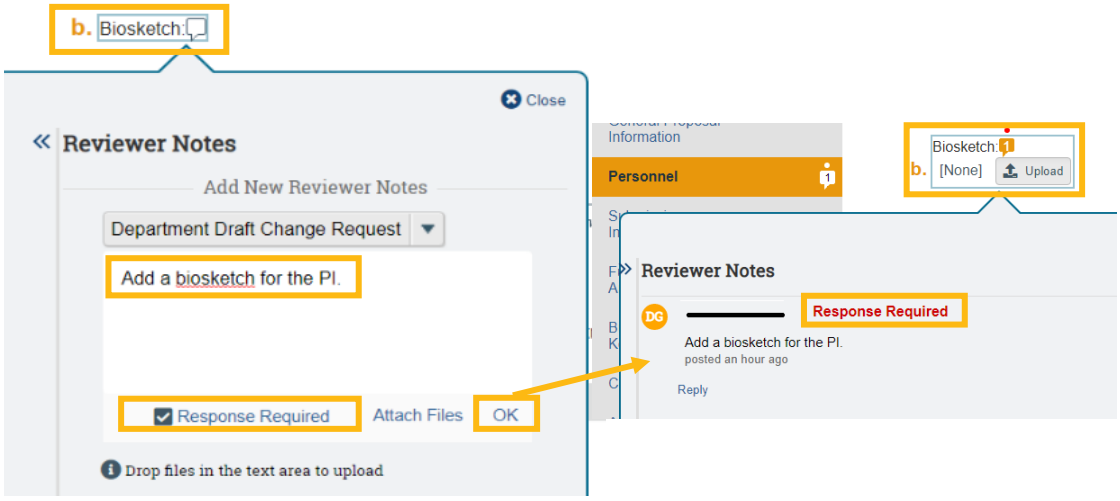
During both department and OSP reviews of a funding proposal, the reviewer can request clarifications or changes. You do this by adding reviewer notes to specific fields and pages in the funding proposal, and then issuing a clarifications request to the project owner.

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

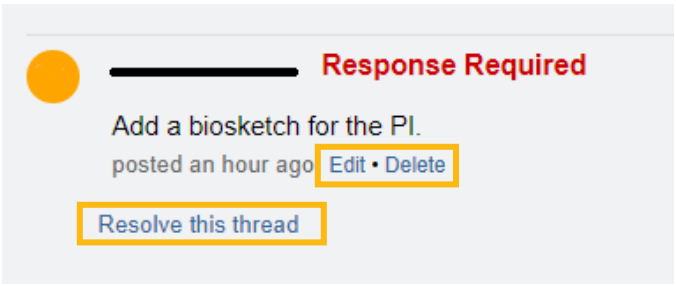
   The note icon turns orange and shows the number of notes on that item. If you selected the **Response Required** checkbox, then "Response Required" will appear in red text above your note.



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

To view, change, or resolve a reviewer note

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

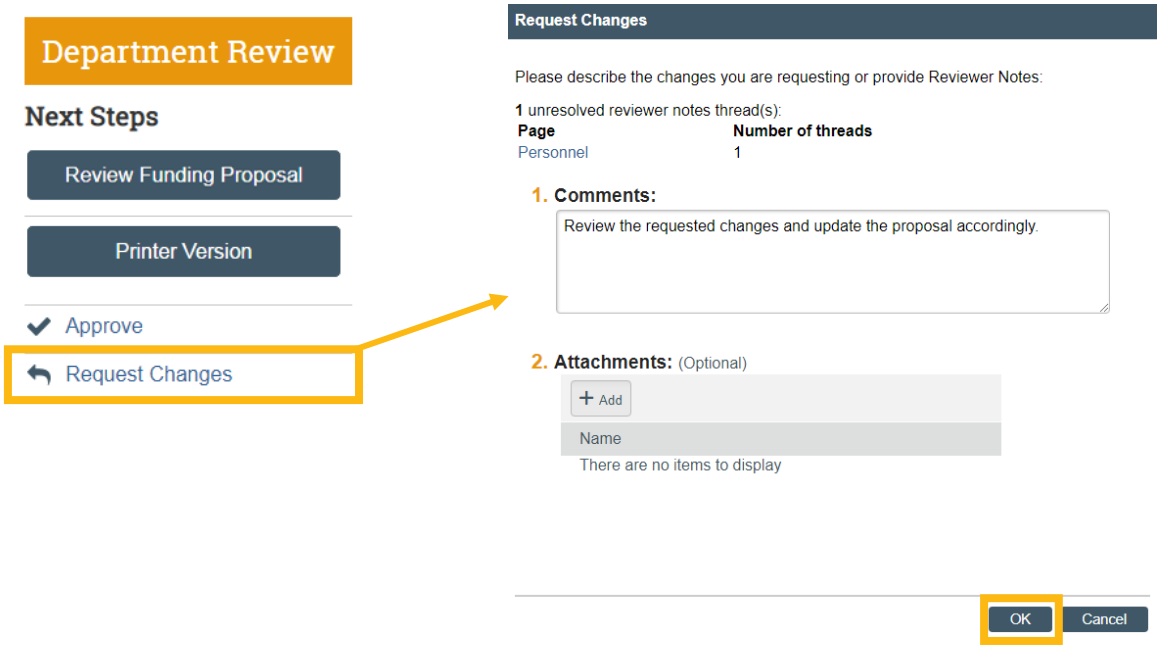


2. To make changes in a note, click **Edit**.
3. To remove a note, click **Delete**.
4. When the project owner has adequately addressed a note, you can document this by clicking **Resolve this thread**.

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

To send a clarification request to the project owner

1. On the funding proposal workspace, click **Request Changes**.
2. Type your general instructions in the *Request Changes* form and click **OK**.



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

Respond to a Clarification Request

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

To respond to a clarification request

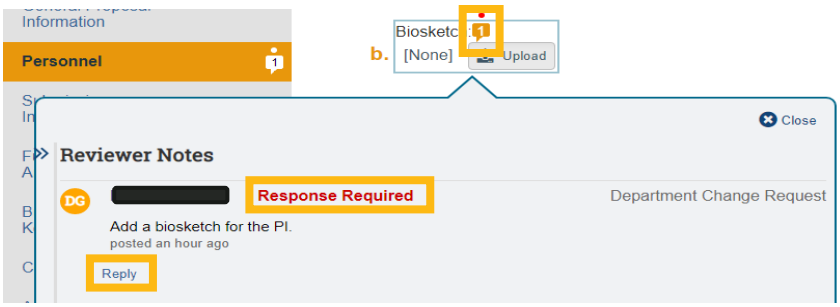
1. Navigate to the funding proposal by clicking its name in the email notification or from your inbox.
2. You can click the **History** tab to review the change request.
3. From the funding proposal workspace, click **Edit Funding Proposal**. You can also use the **Reviewer Notes** tab on the workspace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



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

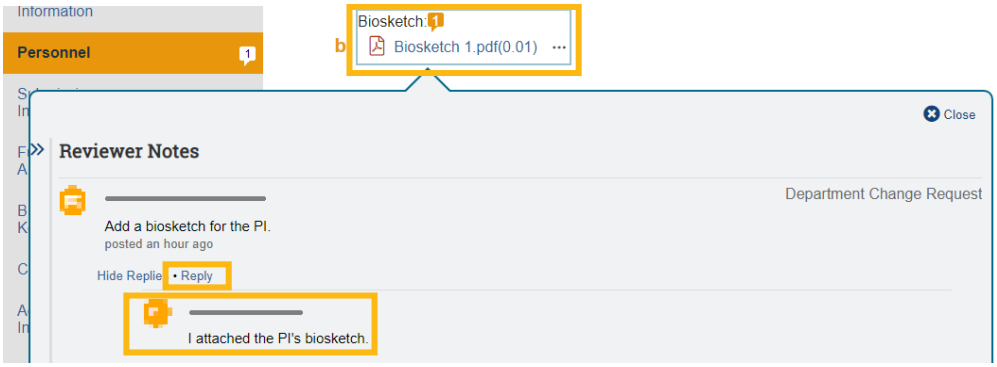


5. Review the notes the reviewer left. The reviewer may have indicated that your response is required to the note. Make the appropriate changes to the proposal.
6. When you've made the change for that reviewer note, or if no change is needed, open the reviewer note, and click **Reply**. If a note is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



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

   Your response appears beneath the review note.



8. Close the reviewer note once you've replied. Make sure to reply to all reviewer notes that are flagged as **Response Required**.
9. When finished responding to reviewer notes, click **Save**, and then **Exit**.
10. On the funding proposal workspace, click **Submit Changes to Department Reviewer** to send it back to the department reviewer (only if their re-review is required).

    To send the funding proposal back to the Specialist (OSP) for re-review, click **Submit Changes to Specialist**. If the Specialist indicates the department should re-review first, use the **Submit Changes to Department Reviewer** activity.
11. Complete the *Submit Changes* form and click **OK**.

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

Department and Specialist Review of Clarification Request Responses

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

1. Open the funding proposal by clicking the link in the email notification or from their inbox.
2. On the funding proposal workspace, click **Review Funding Proposal**.
3. Navigate to the items that indicate a clarification. Review the clarifications made by the RA and read their reply.

4. If the reviewer agrees and accepts the clarifications, click **Resolve this thread**. If not, repeat the steps outlined in the Request Changes or Additional Information section.



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

Submit a Department Review

When the assigned department approver has reviewed a funding proposal and is satisfied with its contents, they will submit it for the next step in the workflow. This could be another level of Department Review or an OSP Specialist Review. For information on the review process, review the Review a Funding Proposal section.

To submit a department review

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

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

Note: The PI must certify the funding proposal before the *final* department reviewer can execute the **Approve** activity. If the PI has not completed the **Certify** activity on the funding proposal by this point, then the final department reviewer will receive an error message when they try to complete this step.

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

Additional Proposal Activities

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

Send an Email

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

To send an email

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

Add a Comment

Users can add comments to funding proposals.

To add a comment

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

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

Manage Access

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

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

To Provide Access

1. In the funding proposal workspace, click **Manage Access**.

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

To remove access

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

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

Copy a Proposal

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

To copy a funding proposal:

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

Note: The questions on the *Compliance Review* page will need to be recompleted on the new, copied funding proposal along with application submission deadline on *the Budget Periods and Key Dates* page.

Withdraw a Proposal

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

To withdraw a proposal:

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

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

Locate Submitted Proposals

Submitted funding proposals no longer appear in the RAs inbox. There are many reasons why an RA may need to open a submitted funding proposal, including:

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

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

To locate a submitted proposal

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

Request an Advance Account

OSP approves and establishes advance accounts in response to formal requests submitted by faculty and research staff to incur expenditures for necessary project activities prior to receipt of an award. Advance accounts for new awards are established for a period not to exceed 120 days, or the sponsor’s limit, whichever is shorter. RAs can request an advance account to be set up by OSP in any funding proposal state from which an award can be created. Advance accounts:

- Are established prior to the receipt or issuance of a sponsored award (pre-award).
- Are established with the understanding that risk is borne by the department.
- Require provision of a non-sponsored departmental account as guarantor.

Advance accounts may be approved when a new award is expected with reasonable assurance or when the negotiation process of a new award is expected to exceed 45 days.

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

To request an Advance Account

1. Click the name of the funding proposal for which you want to request an advance account.
2. From the funding proposal workspace, click **Send Grant Status Update**.
   Note: If you don't see the activity, you are likely not currently assigned as the Admin Contact or an editor for the funding proposal. If this is the case, request edit access from the Admin Contact, which can be provided via the **Manage Access** activity on the funding proposal workspace. Once you receive edit access, the activity will appear.
3. Fill out the At Risk/Pending Account request form with the required information and attach to the **Send Grant Status Update** request.

Notify Office of Sponsored Projects of Grants Status

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

To send a Grants Status Update

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

OSP will review the update and take the appropriate steps to move the funding proposal into the appropriate state.

Updating the Funding Proposal with the Sponsor Determination

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

To respond to pre-official award notification

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

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

To respond to official award notification

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

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

Create an Agreement from a Funding Proposal

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

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

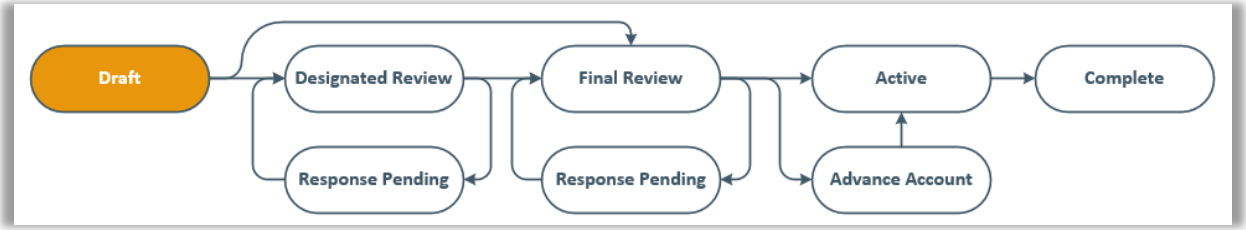
Creating and Activating Awards

Award Workflow

An OSP Specialist creates awards when UAB receives an award notification from the sponsor (or is confident UAB will receive one). 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 (Financial Accounting personnel). The assigned Award Approver performs the final review, and either sends the award back to the OSP Specialist for changes or activates the award, which formalizes the sponsor's authorization to spend funds and establishes the award in the financial system.

The Award Workflow Map below provides a high-level summary of the review process. Awards start in a *Draft* state when created in the system. The workflow ends in a *Complete* state, which means the award performance has ended, and it is closed out in 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)*	Assigned OSP Award Approver (in Financial Accounting) reviews the award and can request changes or activates the award	Request Changes Activate	Final Review – Response Pending Pending Activation
Final Review – Response Pending	Assigned OSP Specialist makes appropriate changes and submits	Submit Changes	Final Review

Current State	During This State…	To Move to the Next State…	Next State
(Response Pending)	them to OSP Award Approver in Financial Accounting		
Pending Activation ***(Complete)***	The system sends out award information to the Awards module.	An Award is created, and the status is updated.	Active Advance Account
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 is set up for spending in financials. 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
Completed ***(Complete)***	The award performance period has ended. The award is closed out in the system.		

Note: The bold states are the award states shown in the top-left corner of the award workspace. The italicized states in parentheses are the corresponding states shown in the Award Workflow Map.

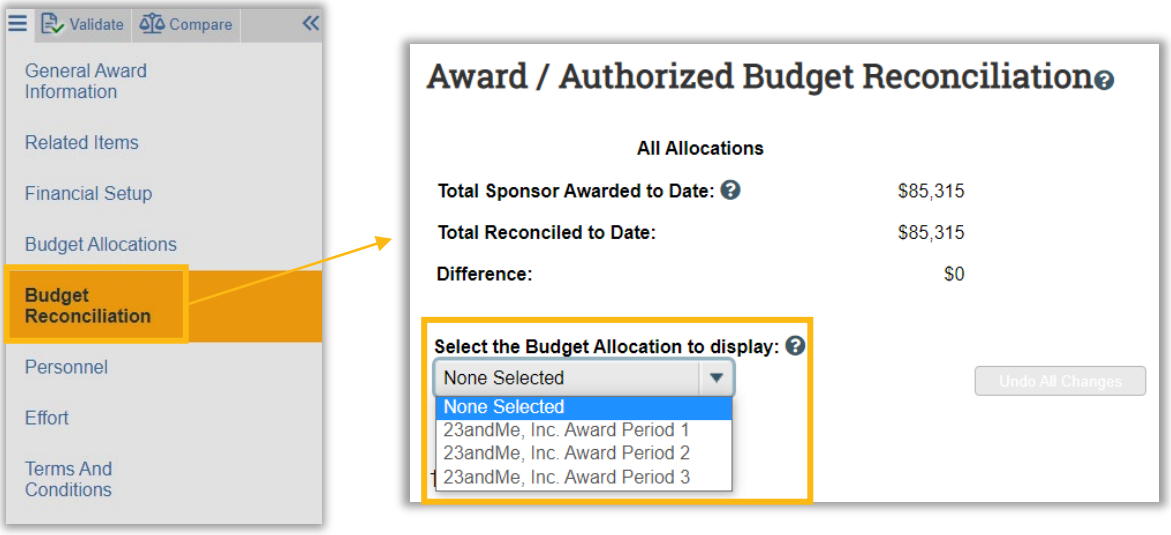
Reconcile an Award Budget

OSP may contact a Research Administrator (RA) to reconcile a budget if an award is significantly cut by the sponsor from the amount proposed, if the award is complex and requires multiple financial accounts/chart strings, if the award has changes to subaward total dollars, or to confirm the budget.

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, the OSP Specialist will indicate this in the ancillary review comments. The RA will select the first allocation that needs to be reconciled, complete that reconciliation, and save it. Then, the RA will repeat the same process for the additional allocations.

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

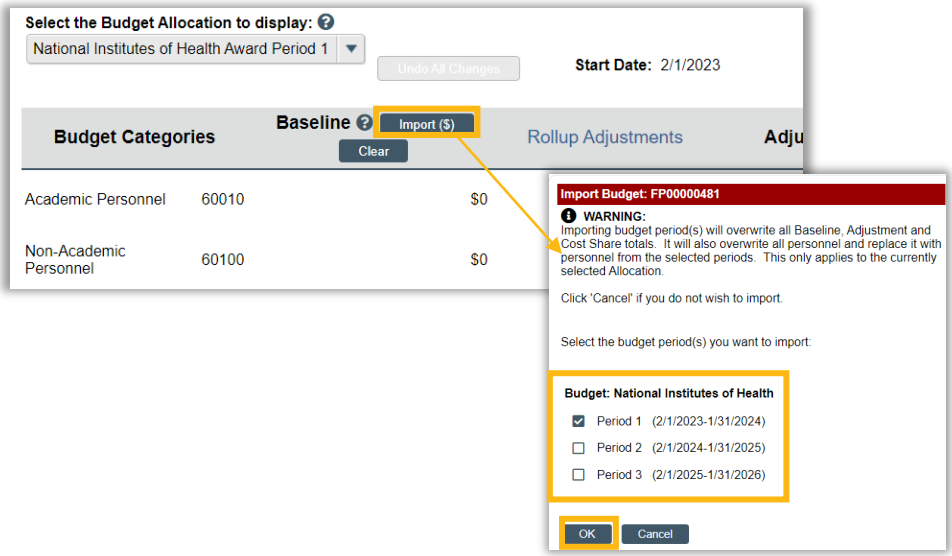


4. There are two approaches RAs can take to populate the budget: Importing from a proposal budget or manually adding the authorized amounts.

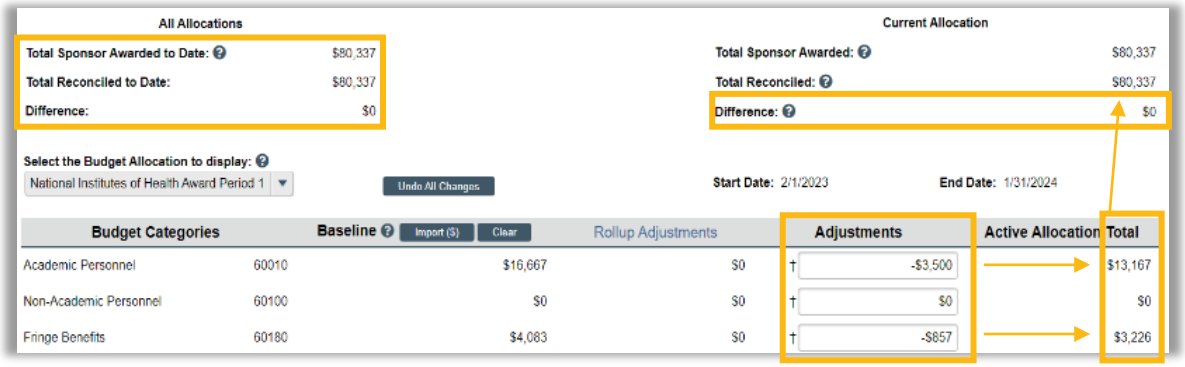
   Option 1: Import Budget

   a. To populate the Baseline column with amounts from the proposal's budget, click **Import ($)**.

   b. On the *Import Budget* form, select the budget periods from which to import amounts, and click **OK**.



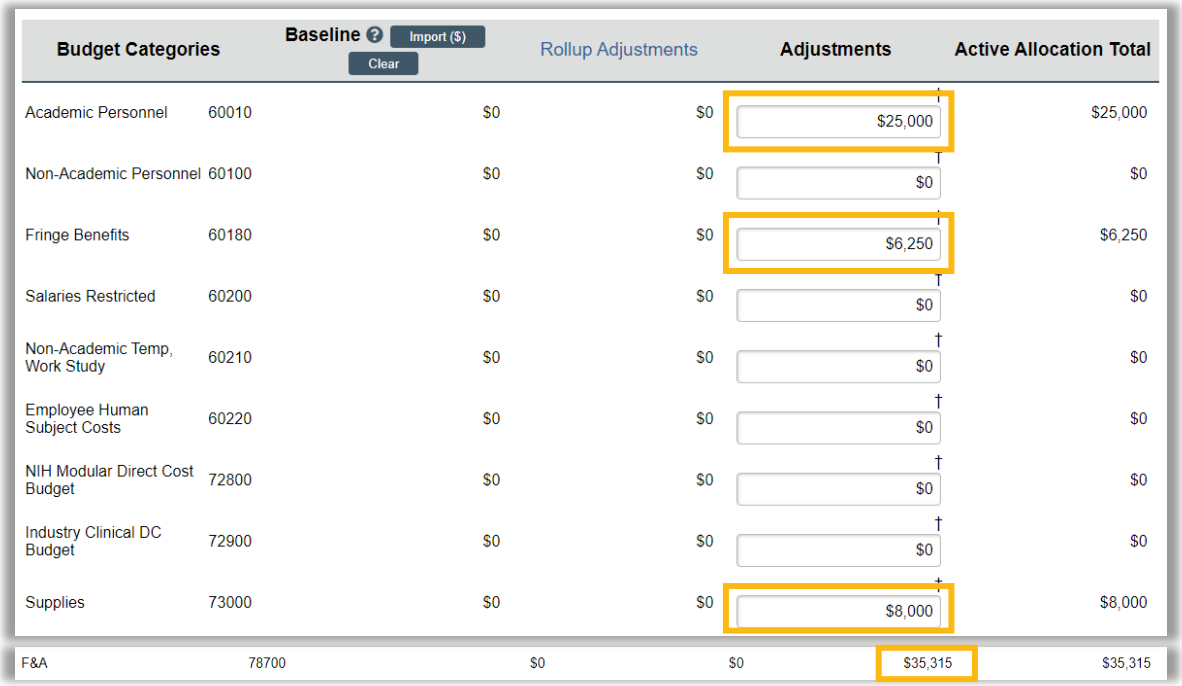
c. Adjust the imported values by entering positive or negative values in the Adjustments column values until the Difference amount in the page header reaches zero. The Total column will automatically update to reflect the difference. **Active Allocation Total amounts cannot be less than zero in any budget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



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

Option 2: Manual Entry

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

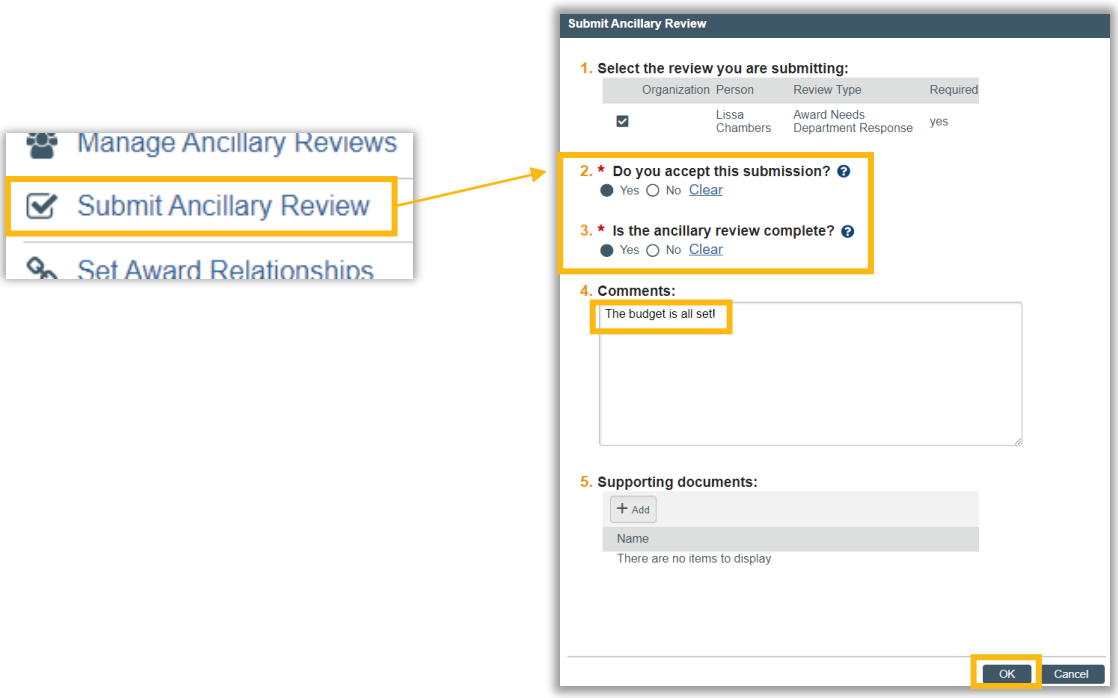


Budget Categories		Baseline (Import ($) / Clear)	Rollup Adjustments	Adjustments	Active Allocation Total
Academic Personnel	60010	$0	$0	$25,000	$25,000
Non-Academic Personnel	60100	$0	$0	$0	$0
Fringe Benefits	60180	$0	$0	$6,250	$6,250
Salaries Restricted	60200	$0	$0	$0	$0
Non-Academic Temp, Work Study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

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 then **Exit** at the bottom of the page.
6. To notify OSP that the reconciliation is complete, click **Submit Ancillary Review** on the award workspace.
7. Complete the *Submit Ancillary Review* form. Answer **Yes** to the questions to indicate the reconciliation is complete. Any comments entered will populate in the email notification to OSP.



8. Click **OK**.

You are returned to the award workspace. Once the Ancillary Review is updated, the **Reviewers** tab will reflect the new information. The award no longer appears in the RAs inbox.

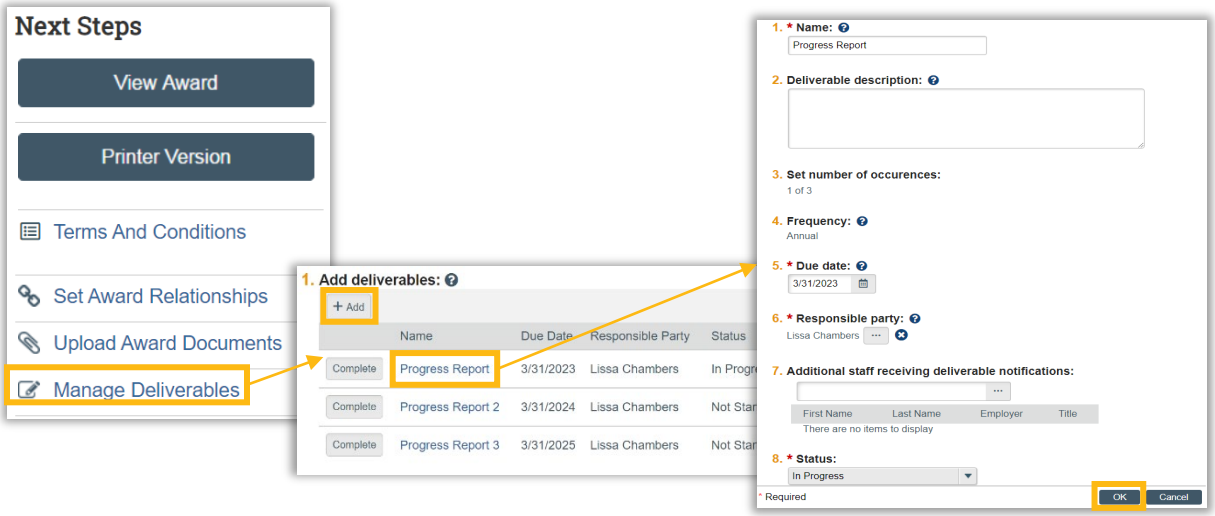
Additional Award Activities

Manage Deliverables

Department research administrators (RAs) have the option to manage award deliverables on the *Deliverables* page or by using the **Manage Deliverables** activity to track sponsor and UAB requirements for the award, such as deadlines, special reports, and progress reports. RAs can add deliverables during initial award setup. **Managing deliverables is optional for RAs,** but RAs can update deliverables over the period of performance to capture deliverable submission dates. For NIH RPPR submissions, OSP will update the associated deliverable when the progress report is submitted.

To Add or Edit Deliverables

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 completing the form.
4. Click the deliverable name link to update an existing deliverable.
5. Click **OK**.

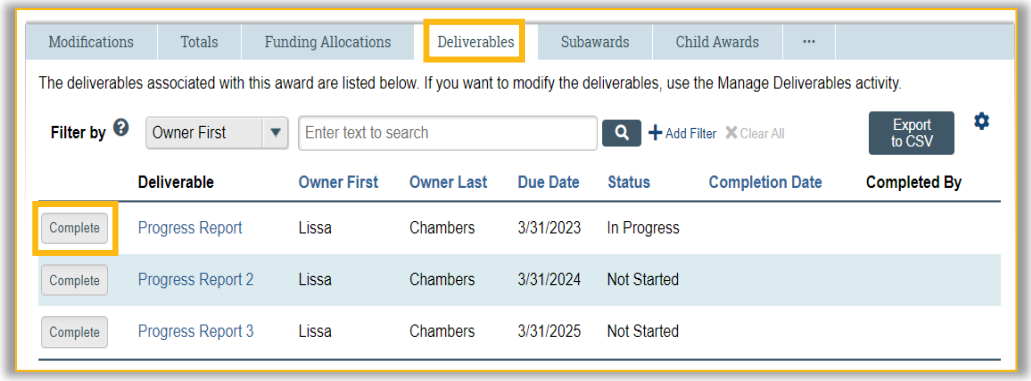


Note: The system will send reminder emails to responsible parties 90, 60, and 30 days prior to the deliverable due date if the deliverable is outstanding. The deliverable also appears in the *My Deadlines* section of the Dashboard.

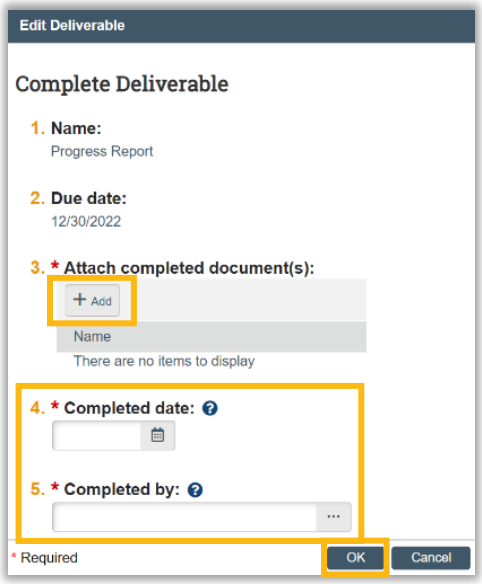
To Complete Deliverables

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



5. Click **OK**.

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

Create an Agreement from an Award

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

To create an Agreement from an Award

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

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

Subawards

Outgoing Subaward Workflow

Outgoing subawards span both the Grants and Agreements modules in the system. They require the creation of the award in the Grants Award module and an Outgoing Subaward Agreement in the Agreements module. A subaward record can either be created during the setup of a new award or because of an award modification.

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

1. When the award is activated, the department will be notified and can begin to submit the subawards.
2. The department will navigate to the award and create a subaward agreement record.
3. The department will complete the first four pages of the agreement record (all pages except the risk assessment).
4. Submit to OSP for review.
5. OSP will review the subaward agreement and generate the subaward.
6. OSP will route the subaward to the recipient for their review and approval.

Initiating a Subaward and Subaward Agreement from an Award Modification

1. An award modification adding a new subaward transitions to an *Approved* state. If the award modification does not add a new subaward or affect an existing subaward, no further action is necessary.
2. If the award modification adds a new subaward, the RA can add the subaward once the approval is in route. The RA will initiate the agreement record from the award workspace.

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 /	OSP makes necessary updates to subaward	Subaward Review Update Complete	Active

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

RA Responsibilities Overview

All the research administrator (RA) responsibilities for subaward setup and modification take place in the Agreements module. The information below highlights the RA's responsibilities in the subaward workflow.

If the subaward is no longer moving forward, the RA can discard the agreement.

The RA can re-assign the agreement to other unit staff or add collaborators by using the **Manage Access** activity on the agreement workspace.

> **Note:** Make sure to list yourself as a collaborator (even if you are already the Primary Contact) so you can receive email notifications related to this agreement.

- The RA completes the *Outgoing Subaward Agreement Information* and *Outgoing Subaward Regulatory Compliance* pages of the agreement and attaches supporting materials as needed, as well as checks the information already input on the *Outgoing Subaward Setup Questions* page.
- Once the agreement is complete, the RA submits it to move it to the *Unassigned* state.

Requesting Award Modifications

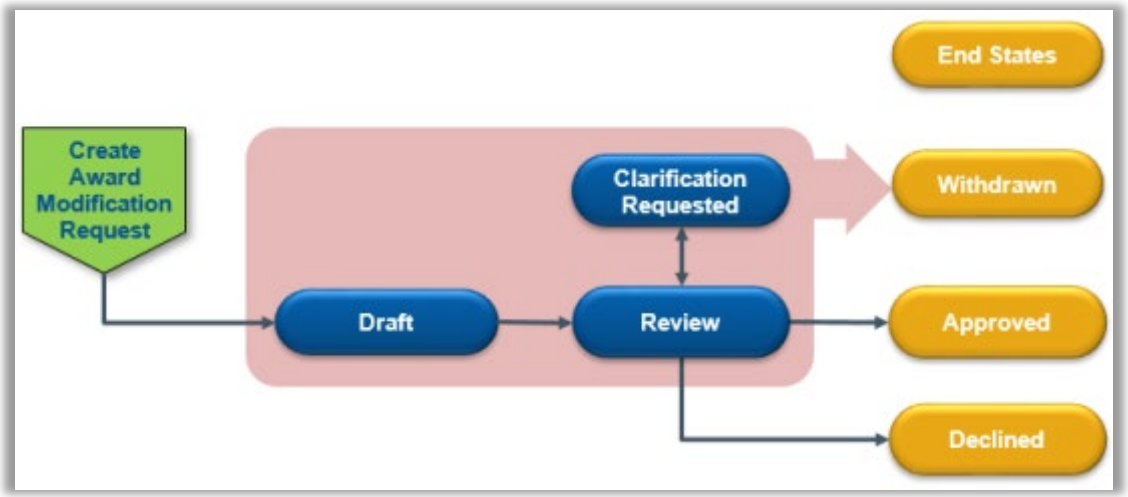
Award Modification Request Workflow

There are times when it is necessary to make a change to an active award. The 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, request changes, or withdraw it	Approve Decline Request Changes Withdraw	Approved Declined Clarification Requested Withdrawn
Clarification Requested	RA makes the necessary edits to the Award Mod Request	Submit Clarifications Withdraw	Review Withdrawn

Request an Award Modification

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

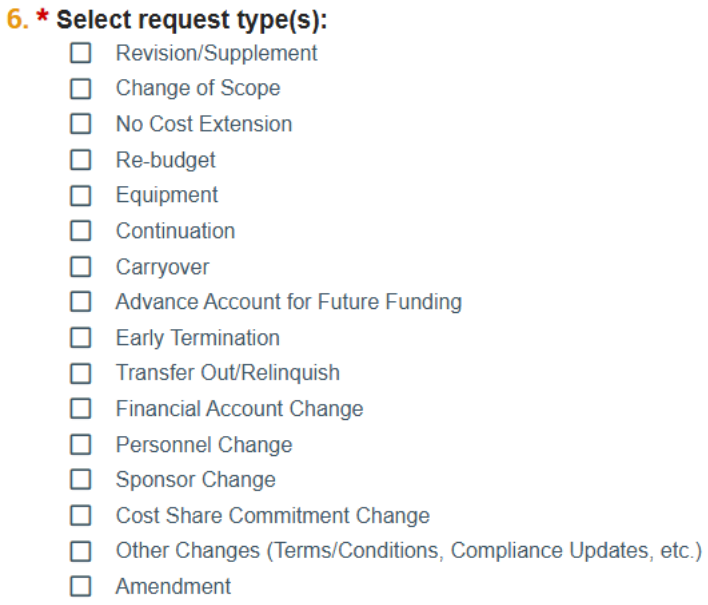
Award modifications can be requested on awards in *Active* or *Advance Account* states. The system supports multiple award modification requests for a single award. Typically, the RA (administrative contact) on the award requests the modifications, though several other roles have permissions to do so.

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

To submit an award modification request

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

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



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

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

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

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

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

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

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

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

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

Complete Department Edits for an Award Modification

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

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

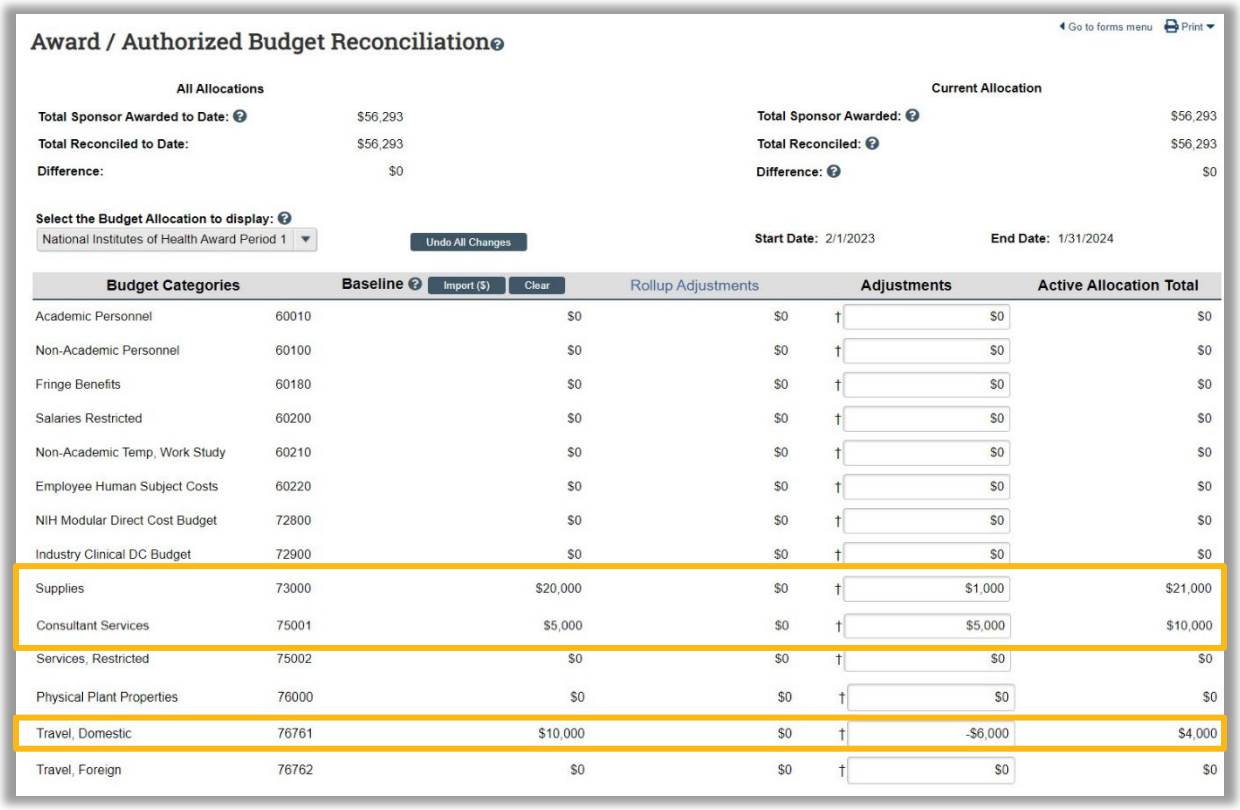
OSP will inform the RA through an Ancillary Review, the RA will receive an email notification, and the award modification will appear in their inbox.

Example: Department Edits for a Re-Budget Award Modification

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



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



Award / Authorized Budget Reconciliation

Go to forms menu | Print

All Allocations		Current Allocation	
Total Sponsor Awarded to Date:	$56,293	Total Sponsor Awarded:	$56,293
Total Reconciled to Date:	$56,293	Total Reconciled:	$56,293
Difference:	$0	Difference:	$0

Select the Budget Allocation to display: National Institutes of Health Award Period 1 | Undo All Changes | Start Date: 2/1/2023 | End Date: 1/31/2024

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

6. When finished reconciling, click **Save and Exit**.
7. Submit your ancillary review to notify OSP that the budget reconciliation is complete. Review the Submit an Ancillary Review section for more information.

Follow-On Submissions

Create a Continuation/Progress Report Proposal from an Active Award

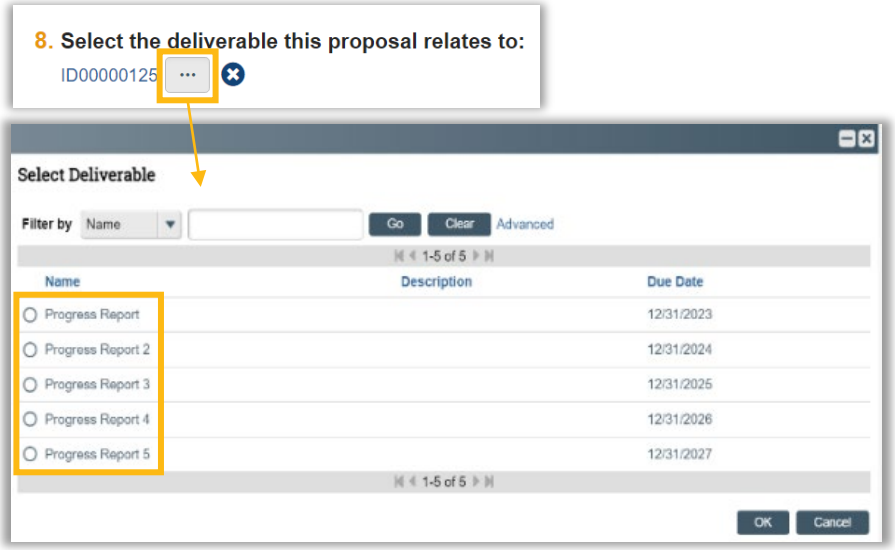
A continuation is a type of follow-on submission in the system used primarily for submitting progress reports for review and approval and to request funding of an active award for the upcoming budget year. Typically, it includes a progress report for the closing budget year. RAs will create continuations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

To create a continuation proposal

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

   A new funding proposal opens for editing. The system gives it a default name composed of the award name suffixed with the word “Continuation,” but it can be modified as desired.
3. On the *General Information* page, update the title, if necessary, add a description, add the upcoming budget period dates, and respond to the remaining questions. Some of the information, such as the PD/PI, the submitting department, direct sponsor, and the sponsor award number automatically populate on the page. Click **Save** and **Continue**.

   Note: The continuation proposal and its ID do not exist until the first page is saved. The ID is suffixed with “-Con” and the corresponding continuation number (e.g., “FP00001234-Con1”).
4. On the *Level of Effort & Budgeting* page, answer the questions regarding changes in other support, effort, and budget categories. Attach a detailed budget for the upcoming period and click the ellipsis next to the deliverables questions to view the list of deliverables and select the one relevant to the continuation proposal.



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

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

Notes:

- For continuation proposals, all attachments are internal since there is no system-to-system submission. RAs can use the Add Attachments activity on the workspace to add internal documents.
- If OSP receives a Notice of Award (NoA) by email, it is not necessary for the RA to submit an award modification request for continuation funding. When the continuation proposal reaches the *Awarded* state, the OSP member assigned to the award automatically creates a continuation-type award modification and adds the funds the sponsor has released for the next budget period.
- The funding proposal workspace indicates when it is a continuation proposal. The title has the suffix “- Continuation” (unless it was edited), and a link to the original funding proposal appears below it. Additionally, the ID is suffixed with “-Con” and the corresponding continuation number (e.g., “FP00001234-Con1”). The word “Continuation” is found next to the ID.



Create a Renewal Proposal from an Awarded Funding Proposal

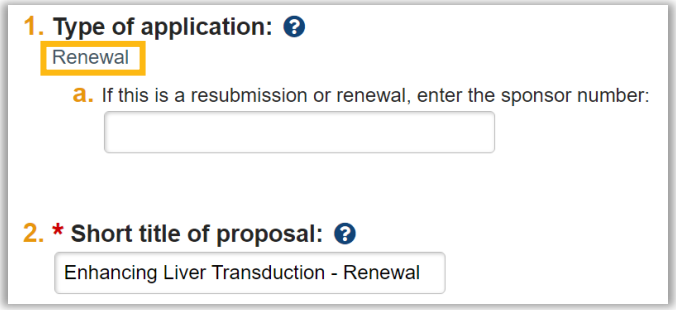
A renewal proposal is a type of funding proposal used as a competitive application for a new project with a scope based on or related to a current expiring award. To create a renewal proposal, you must be logged in as a user with a role that can edit funding proposals (typically study staff).

To create a renewal proposal

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

   A new funding proposal opens for editing. The system gives it a default name composed of the award name suffixed with the word, "Renewal," but it can be modified as desired.
3. Supply the information requested on each page as you would for a regular funding proposal. Click **Continue**.

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



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

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

Notes:

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



Create a Revision to an Awarded Funding Proposal

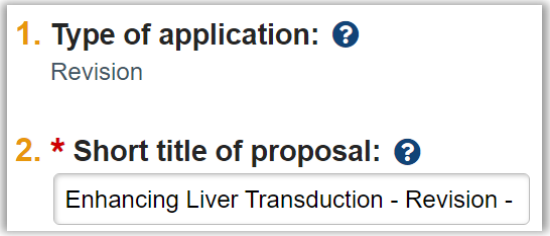
A revision proposal is a type of funding proposal used to request additional funding for an active award. Revisions are also known as supplements. To create a revision proposal, you must be logged in as a user with a role that can edit funding proposals (typically study staff).

To create a revision to a proposal

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

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

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

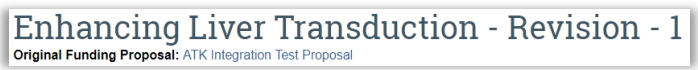


5. On the final page, follow the completion instructions and click **Finish**.
6. On the proposal workspace, click **Submit for Department Review**.

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

Notes:

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





Create a Resubmission Proposal from a Not Funded Proposal

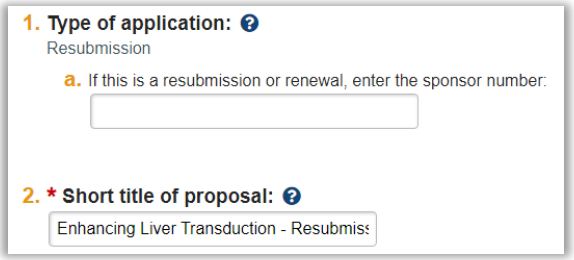
A resubmission proposal is a type of funding proposal used when a sponsor previously reviewed and declined to fund an application, but the investigator has modified and is resubmitting it for consideration. To create a resubmission proposal, you must be logged in as a user with a role that can edit funding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

To create a resubmission proposal

1. From the Grants Funding Proposals page, click the name of the previously **not funded proposal** for which a resubmission is needed.
2. Click the **Create Resubmission activity**.

   A new window opens. The system gives it a default name composed of the previous proposal name suffixed with the word, “Resubmission” and a corresponding revision number (e.g., “Resubmission-1”), but it can be modified as desired.
3. Click **OK**.
4. Supply the information requested on each page as you would for a regular funding proposal and click **Continue**.

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

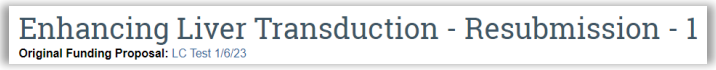


5. On the final page, follow the completion instructions and click **Finish**.
6. On the proposal workspace, click **Submit for Department Review**.

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

Notes:

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





Managing Ancillary Reviews

Ancillary reviews are optional reviews that can be included on a per-project basis. Reviewers can be any specific person or organization in 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. Many ancillary review types will be used exclusively by OSP when obtaining input from other compliance offices at the university.

Add Ancillary Reviewers

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

To add ancillary reviewers

1. From your inbox or one of the tabs on the appropriate Grants page, click the name of the project for which to assign an ancillary reviewer.
2. In the project workspace, click **Manage Ancillary Reviews**.

   Note: If you do not see the Manage Ancillary Reviews activity, contact the Administrative Contact to provide you with edit access.
3. In the *Manage Ancillary Reviews* form, click **Add**. A *Manage Ancillary Reviews* slide-in window appears.
4. On the *Add Ancillary Review* form, select an organization or person to complete the review. Begin typing the name of the organization or person you want to add as a reviewer. Alternatively, you can click the ellipses on the right to select an organization or person from the list.
5. Click the **Review Type** drop-down arrow and select the appropriate Ancillary Review Type.
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 for submission to a sponsor. If ancillary reviews that are marked as required are outstanding, the workflow will stop at the *Pending Submission to Sponsor* state, and the funding proposal cannot be submitted for sponsor review.
   - *Awards* and *Award Modifications* – All required ancillary reviews must be completed or the workflow will stop at the *Draft* state and it cannot move forward for final review.
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.

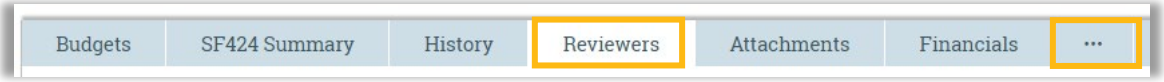
Check the Progress of an Ancillary Review

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.

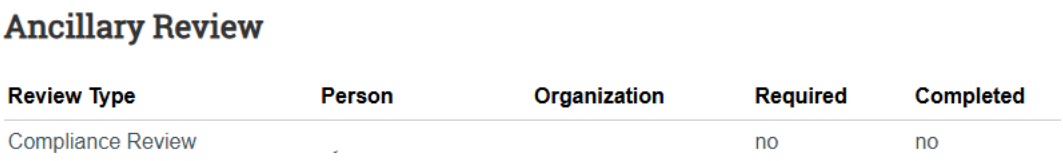
To check the progress of an ancillary review

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.

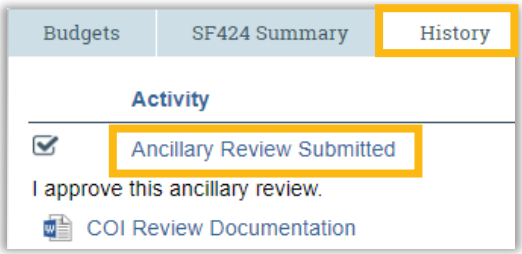
   Note: If the **Reviewers** tab does not display, click the ellipsis to show additional tabs.



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 their inbox, and the **Submit Ancillary Review** activity becomes available in the project workspace.

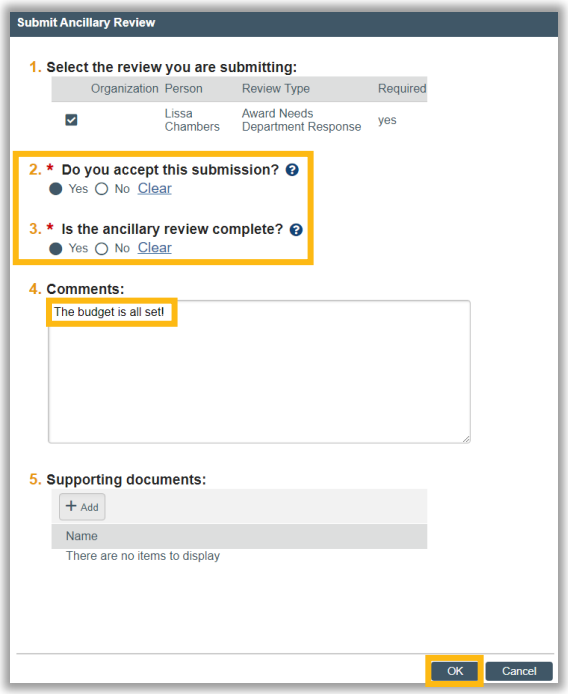
The only ancillary reviews RAs will submit in the system are in response to a request from OSP for an award budget reconciliation. Review the Reconcile an Award Budget section for more information.

Note: In Grants, any workflow blocks resulting from a required ancillary review depends on whether it is related 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, 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.
8. Add any comments and supporting documents if necessary.
9. 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.

Generating Grants 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 print, email, or export the report to a CSV file.

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

Glossary

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
Certify	Certified	Award Notification Received Department Review Department Review: Response Pending from PI Draft JIT Response Required Pending Sponsor Review Pending Sponsor Review Award Anticipated	• PI • Assigned Specialist

Activity Name	Completed Name	Valid States	Who can execute?
		Pending Submission to Sponsor Specialist Review Specialist Review: Pending Changes by PI SPO 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
Manage Access	Updated Access	All states	• Administrative Contact • PI • Specialist Finance/Grant • Study Staff
Manage Ancillary Reviews	Ancillary Reviews Updated	Department Review Department Review: Response Pending from PI Draft Pending Sponsor Review Pending Submission to Sponsor	• Registered users with edit rights • Specialist Finance/Grant

Activity Name	Completed Name	Valid States	Who can execute?
		Specialist Review Specialist Review: Pending Changes by PI	
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
Request Advance Account	Requested Advance Account	Approved Award Notification Received Awarded JIT Response Required 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
Send Email	Email Sent	All states	• Registered Users
Send Grants Status Update	Send Grants Status Update	Pending Sponsor Review	• Administrative Contact • Contract Specialist • PI
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 JIT Response	JIT Response Submitted	JIT Response Required	• Study Staff

Activity Name	Completed Name	Valid States	Who can execute?
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

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

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

Award Activities

Activity Name	Completed Name	Valid States	Who can execute?
Create Agreement	Agreement Requested	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit rights
Log Comment	Log Comment	All states	• Registered User
Log 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
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?
Upload Award Documents	Uploaded Award Documents	All states	• Award Approver • Specialist Finance/Grant • Registered users with edit access

Award Modification Request Activities

Activity Name	Completed Name	Valid States	Who can execute?
Assign Submitter	Submitter Assigned	All states	• Award Approver • Specialist/Finance Grant • Registered Users
Copy	Copied	All states	• Registered Users
Log Comment	Comment Logged	All states	• Registered Users
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?
Log Comment	Comment Logged	All states	• Registered Users
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
Send Email	Email Sent	All states	• Registered Users

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